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	LC-MSC-001	A4	可持续水产产品认证规则	技术部

可持续水产产品认证规则

Rules for Sustainable Aquatic Product

Certification



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1 Purpose

This manual is to define the method by Shanghai Leading Certification Co., Ltd (hereinafter refer to LC) by which new / surveillance/renewal applications for certification to the Marine Stewardship Council (MSC) Chain of Custody and Aquaculture Stewardship Council (ASC) Chain of Custody Program are processed. 本手册定义了上海砺鼎认证有限公司(以下简称 LC)处理海洋管理委员会(MSC)产销监管链和水产养殖管理委员会(ASC)产销监管链项目的首次申请/监督/再次认证申请的程序要求。

2 Scope

This manual covers applications for certification under the: 本手册覆盖下认证申请:

- MSC Chain of Custody Certification Standard (MSC COC)
- ASC Chain of Custody Certification Standard (ASC COC)

The procedure sets out the activities that shall be undertaken in carrying out certification audits of operations that wish to make a claim that the product(s) they are selling are certified to the ASC and/or MSC CoC's Standards, and/or to use the MSC/ASC label to promote a product. The procedure also lays out details of the commissioning of initial audit, Surveillance, any re-audit activities and notification of results to relevant parties. 该程序规定了对声称其销售的产品已通过 ASC 和/或 MSC CoC 标准认证和/或使用 MSC/ASC 标签的产品进行认证审核时应进行的活动。该程序还列出了初始审核、监督、再认证活动以及向相关的要求

3 Normative References 引用标准

- MSC COC Certification Requirements
- ASC COC Certification Requirements.

The documents listed below are part of the MSC COC/ ASC COC Certification Requirements.

For references which have a specific date or version number, later amendments or revisions do not apply.

For references without dates or version numbers, the latest edition of the document referred to applies. 对于没有日期或版本号的引用, 以引用的文件的最新版本为准。

- Endorsed ASC CoC Standards; See www.asc-aqua.org
- Endorsed ASC Audit Manuals; See www.asc-aqua.org
- Endorsed MSC CoC Standard; See www.msc.org
- ISO IEC 17065 Conformity Assessment – Requirements for bodies certifying product process and services.
- ISO 19011:2018 : Guidelines for quality and/or environmental management system auditing
- IAF GD 5:2006 IAF Guidance on the of ISO/IEC Guide 65:1996 General requirements for bodies operating product certification systems Issue 2
- AAPG (ISO / IAF Accreditation Audit Practice Group) Guidance Documents:
 - Auditing LC Impartiality Committee

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- Key Criteria for assessing the competency of LCs and their ability to deliver credible

- MSC Fisheries Standard.
- ASC-MSC Seaweed (Algae) Certification and Accreditation Requirements.
- ASC-MSC Seaweed (Algae) Standard.
- MSC General Certification Requirements(GCR)
- MSC Chain of Custody Certification Requirements (CoC CR).
- MSC Chain of Custody Default Standard and the two variants: the MSC Chain of Custody Standard: Group version, and the MSC Chain of Custody Standard: Consumer-Facing Organization (CFO) version.
- ASC Chain of Custody Module.
- MSC Labor Eligibility Requirements.
- MSC-MSCI Vocabulary.
- MSC Variation Request Forms.

4 Terms and definitions 定义

This document listed the Concepts, terms and phrases used are defined in the MSC-MSCI Vocabulary.
本文件列出的概念、术语和短语均在 MSC-MSCI 词汇表中定义。

5 Impartiality and Confidentiality 公正性和保密性要求

5.1 Mechanism for safeguarding impartiality 公正性要求

- A mechanism for safeguarding impartiality has been established in line with ISO 17065.应根据 ISO 17065 要求建立公正性委员会。
- The mechanism shall conduct a detailed review of the impartiality of the assessment, audit, certification and decision-making processes at least annually. 公正性委员会应至少每年对公司的审核、认证和决策过程的公正性进行一次详细审查。
- The mechanism's review, their communication to LC management, and LC management's reasoning behind any subsequent decision relating to the committee's activities, shall be documented and made available for review by the accreditation body and assurance provider. 公正性评审、与最高管理者的沟通，以及最高管理者对与委员会活动有关的任何后续的决定，均应形成文件以便监管机构审查。

5.2 Confidentiality 保密性

- In addition to ISO 17065, auditors shall confirm with the client for confidentiality of the information shared during the audit.

6 General Requirements 通用要求

6.1 Conformity with ISO 17065 / ISO 19011and MSC requirements 符合 ISO 17065/ISO 19011 和 MSC 要求

- Follow guidance on auditing provided in ISO 19011. 应符合 ISO19011 审核要求。

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- Conform to the requirements of ISO 17065 and all other MSC requirements relevant to the scope of accreditation applied for or held. 应符合 ISO 17065 和其他 MSC 相关认可范围要求。
- Follow Quality Policy and target as MSC aims and objectives. 使用公司质量方针和目标作为 MSC 的宗旨和目标。
- LC shall only provide the scope of accreditation and award certificates only within the scope of accreditation. LC 仅能提供其认可范围内的服务和颁发认可范围内证书。
- LC shall keep their data entries on the MSC /ASC database up to date. LC 应保持其在 MSC /ASC 数据库中的数据条目是最新的。
- LC shall recognise that certificate holders that have been certified by other CABs conform to relevant MSC Standards LC 应承认已被其他 CAB 认证的证书持有人符合相关的 MSC 标准。

6.2 Compliance with legal requirements 遵守法规要求

- LC shall comply with the legal requirements of China.LC 遵守中国相关的法律法规要求。
- Key personnel shall show understanding of applicable legislation and regulations. 公司关键人员都熟悉并理解相关法律法规。

6.3 Certification decision-making entity 认证决策

- LC's decision-making shall authorize any changes to the conditions of certification. LC 有权根据认证的条件做出认证决定变更。

6.4 Communication with the MSC 与 MSC 的沟通

- LC shall use the forms and methods of submission of information and data as specified in MSC documents. LC 使用 MSC 规定的表格、提交信息的方法和数据。
- LC shall keep all summary of changes provided by MSC/ASC. LC 应保留与 MSC/ASC 沟通过程中的所有信息。

6.5 Language 语言

- All MSC/ASC reports and annexes to reports is English. 所有的 MSC 报告和附件都为英文。

6.6 Control of certified trademarks and logo claims 认证标签管理和标识声明

- The MSC ecolabel are trademarks that are owned by the Marine Stewardship Council. MSC 生态标签所有权为 MSC。
- The ASC logo are trademarks that are owned the by Aquaculture Stewardship Council. ASC 生态标签所有权为 ASC。
- Any party wishing to use any of these trademarks on any materials that will be seen by consumers (or business customers for promotional purposes) shall hold a license to do so from MSC. 任何希望(或出于促销目的的商业客户)看到使用这些商标的一方应持有 MSC 的许可。
- MSC and ASC may be used without a license from MSC only in a business-to-business, non-consumer facing context (e.g. certified product production and storage) and only for product identification or employee training purposes. MSC 和 ASC 可在没有 MSC 许可的情况下仅在企业对企业、非面向消费者的情况下使用(例如认证产品的生产和储存), 仅用于产品标识或员工培训目的。

6.7 Changes affecting certification 影响认证的变更

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- LC shall update MSC&ASC documentations according to MSC issue amendments to the applicable MSC Certification Program Documents. LC 应根据 MSC 发布的最新认证文件更新公司相应的文件。
- Where there is an amendment to MSC/ASC documents, LC shall provide the documents or relevant information to certificate holders within 60 days of the amended version being published. 如果 MSC 文件有修订，LC 应在修订版本发布后 60 天内向证书持有者提供文件或相关信息。

7 Resources Requirements 人员要求

Pls see MSC/ASC CoC Project Personnel Management Procedure (LC-MS-C-002) and MSC/ASC CoC auditor management process (LC-MS-WI-02) for project personnel requirements detail information. MSC/ASC CoC 项目人员要求具体可参考文件 LC-MS-C-002 和 MSC/ASC CoC 项目人员管理流程图（LC-MS-WI-02）。

7.1 Personnel 人员

- All CoC auditors have the qualifications and competencies detailed in Annex1.所有的 CoC 审核员应该满足附件 1 内容。
- Use 1 or more of the verification mechanisms in each qualification and competency criterion listed in Annex1 to verify that all CoC auditors and team members comply with the qualification and competency criteria.LC 应使用附件 1 列出的每个资格和胜任标准中的一种或多种验证机制，以验证所有 CoC 审核员是否符合资格。
 - CoC auditors and related personnel of LC should pass MSC training courses that the pass mark in examinations shall be 70%. 对于 MSC 培训课程，CoC 审核员考试合格率要求为 70%。
- CoC reviewer including Group CoC and CFO CoC shall be a qualified CoC auditor. CoC 评审人员应是合格的 CoC 审核员。
- Personnel appointed by LC as reviewers or decision makers shall be sufficiently experienced and qualified to evaluate the verification processes, working papers and associated evidence and recommendations made by the assessment/audit team (ISO 17065 7.5). LC 指定的评审人员或决策者应具有足够的经验和资格来评价审核过程、工作文件和审核组提出的相关证据和建议(ISO 17065 7.5)
- LC shall have documented procedures and criteria for monitoring and measuring the performance of all persons involved, based on the frequency of their usage and the level of risk linked to their activities. Pls see MSC/ASC CoC Project Personnel Management Procedure. LC 应根据所有相关人员工作频率和其活动相关的风险水平，制定文件化的程序和标准，以监测和测量所有相关人员的绩效。具体可参考 MSC/ASC CoC 项目人员管理程序。
- LC shall review the competence of its personnel in light of their performance, in order to identify training needs. LC 应根据其工作表现审查人员能力来制定相应的培训需求。

7.2 Contract with personnel 人员合同

- LC shall have documented procedures for reviewing and determining a timely and appropriate response to any declaration of potential conflict of interest. LC 应制定程序以审查任何潜在利益冲突。
- These procedures shall ensure that the declared actual or potential conflict of interest neither influences nor is perceived to influence the evaluations, actions and decisions of the LC. 程序应确保所申报的实际或潜在利益冲突既不会影响也不会被认为影响审核评

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估、行动和决定。

- LC shall retain records of its reasoning behind any decisions, including all actions that have been taken to resolve either the possible or actual conflict of interest. LC 应保留做出任何决定理由的记录，包括为解决可能的或实际的利益冲突而采取的所有行动。

8 Process 程序

The whole MSC/ASC project management process has detailed in the following and the flow chart also has been updated and pls see LC-MSC-WI-01 for detail.

MSC/ASC 项目管理程序具体内容如下，相应的管理流程图请参考文件 LC-MSC-WI-01。

8.1 Application 申请

8.1.1 Applicant assessment 申请评估

- If having an application of MSC/ASC COC, LC shall send the application form to applicant to fill. 如果接到一个 MSC/ASC COC 申请，LC 应先让客户填写申请表。
- Based on the information of application form, LC shall evaluate each applicant to determine the need for CoC certification using the criteria below: LC 应按以下标准评估每个申请者，以确定是否需要 CoC 认证：
 - Certification is a requirement for all organizations that take legal ownership of certified products. 所有拥有认证产品所有权的机构均须获得认证：
 - Organizations are considered to be legal owners if they issue invoices related to the sale of certified products and collect payment for the sale of certified products or are able to demonstrate their financial ownership of certified materials based on other documentation (such as internal transfer slips, contracts or deeds). 如果组织出具与认证产品销售相关的发票并收取销售认证产品的款项，或能够根据其他文件(如内部转让单、合同或契据)证明其对认证材料的财务所有权，则组织被视为合法所有者。
 - Organizations that are trading or handling products from certified fisheries or farms but do not ever identify or sell these products as certified or with the certified claim will not require CoC certification. 交易或处理经认证的渔场或农场产品的组织，但从未将这些产品标识或销售为经认证或附有经认证声明的产品，则不需要 CoC 认证。
 - Organizations that do not need CoC certification could still be required to obtain certification if the consumer ready tamper proof packaging(CRTPP) product is opened later in the supply chain. LC shall use the decision tree to verify whether products are in CRTPP. 如果 CRTPP 产品在供应链中包装会打开，这种情况不需要 CoC 认证的组织仍然可能被要求获得认证。LC 使用决策树(附件图 1)来验证产品是否属于 CRTPP。
 - While organizations may not always know how their products are used later in the supply chain, if it is aware that a product will be opened later in the chain, they should not treat the product as being CRTPP and advise the relevant organizations that CoC certification is required. 虽然组织可能并不能完全了解他们的产品在供应链后期是如何使用的，如果知道一个产品将在供应链的后期打开，该产品即不应该将该产品视为 CRTPP，并建议相关组织需要 CoC 认证。
 - Organizations that receive certified product in CRTPP and open the package only for the purpose of heating or placing on a plate before serving to a final consumer. 接收 CRTPP 认证产品且最终目的是提供给最终消费者之前仅为加热或放置在盘子上而打开包装的组织。
 - Entities that are identified by reference to or on a valid fishery, farm, or seaweed certificate. 根据有效的证书来进行判别的组织。

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- In case the CoC applicant is the first buyer of certified product from certified fisheries or farms, LC can check the most recent fishery's Public Certification Report or Farm Audit Report to determine the start of Chain of Custody. 如果 CoC 申请者获得认证的渔场或渔场认证产品的第一个买家，LC 需要查看渔场最近一次的审核报告以确定监管链的开始端。
- There may be several certification options available to an applicant, as listed in Table 1. LC shall evaluate each applicant to determine which certification option(s) the applicant is eligible for, and which option will best suit the applicant's needs. 申请人可能有几种认证选项，如表 1 所示。LC 应评估每个申请者，以确定申请者有资格获得哪种认证选项，以及哪种选项最适合申请者需求。
- LC shall verify the applicant of the validity of business license and the following ineligibility criteria relate to activities involving an organization.LC 需要对申请者的资质和是否涉及以下不合格要求进行确认。
 - a) Illegal activities or products that are not consistent with applicable laws and regulations relevant to the 'scope of the CoC Standard 与适用法律法规 CoC 标准不符的非法活动或产品
 - b) Fraudulent activities, such as forged documents or 'seafood fraud' 食品欺诈活动，如伪造文件
 - c) Corruption or otherwise unethical behavior 腐败行为
 - d) History of repeated, persistent or systematic non-conformities 重复或持续系统不符合
 - e) Successful prosecution for forced labor, child labor, slavery or human trafficking 违反劳工规定
 - f) The Organization presents a reputational risk to ASC via association due to doubt about its transparency, impartiality or overall credibility 由于对组织的透明度、公正性和可信度有所怀疑会导致 ASC 由声誉风险
- LC shall confirm that the applicant or certificate holder does not include an entity that has been convicted for a forced or child labour violation in the last 2 years or comply with the relevant MSC's labor policy within the MSC Labor Eligibility Requirements LC 应确认申请者在过去两年内没有违反童工的行为或证明符合 MSC 劳工资格。
- If the applicant is a different legal entity to the certificate holder, LC shall have a written assessment/audit agreement with all parties.如果客户与证书持有者属于不同的法律实体，LC 应对所有相关方进行评估协议。
- Prior to entering into a contract, LC shall check the MSC/ASC website, scheme database or check with the applicant to verify that the applicant is not already certified.签订合同前，LC 应在 MSC 网站确认申请者是否已获得认证。
- LC shall verify whether their certificate withdrawn within the last 2 years. Not issue a new certificate until at least 2 years from the date that the certificate was withdrawn following a suspension requirement.是否在过去 2 年撤销了证书。根据暂停要求，在撤销证书 2 年内不能签发新的证书。
- Shall verify whether their certificate suspended within the last 6 months. For intentional and/or systematic causes, not issue a new certificate until at least 6 months from the date of

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suspension. 过去 6 个月是否暂停证书。由于主观或系统原因证书暂停之日起 6 个月内，LC 不能签发新的证书。

- Shall verify whether cancelled their certificate during suspension, not issue a new certificate until at least 6 months from the date of suspension. 如果证书持有者在证书暂停期间取消了证书，暂停之日 6 个月内不能签发新的证书。
- For ASC CoC organizations/applicants whose activities include processing, contract processing, packing or repacking, LC shall verify their whether get the Global Food Safety Initiative (GFSI) recognized scheme or ISO 22000 certified. Organizations/applicants with less than EUR 2 million annual turnover or less than 200 MT annual volume of seafood traded or less than 50 seafood-business staff (including at peak times) are exempt from this requirement, however they shall still comply with food safety regulations and inspections. 对于 ASC CoC 申请者，LC 应确认是否取得 GFSI 或 22000 认证。如果组织年营业额低于 200 万欧元或年交易量低于 200 吨的或员工少于 50 人的组织可以豁免，但仍需遵守食品安全法规。
- For CoC Group applicants/organisations, LC shall determine that an applicant is eligible for certification against the CoC Group Standard if all the following criteria are met: 如果符合以下所有标准，LC 应确认申请者是否有资格获得 CoC 集团标准认证：
 - The proposed group's central office is a legal entity with whom a contract can be made. 集团办公室一个可以签合同的法律实体。
 - All sites undertake substantially similar CoC activities as defined by the MSC. If they do not, the group can be stratified for sampling according to the requirements. 所有场所都实施类似的 MSC/ASC 活动。如果没有，按照要求集团可以分层抽样。
 - The entire group operation is within 1 geographic region. If they are not, the group can be stratified for sampling. 整个集团作业都在一个地理区域。如果没有，按照要求集团可以分层抽样。
 - Verify that the same written language is used at all sites and can be read by all site managers. 所有区域使用同一种语言。
 - Adequate document control procedures are in place to ensure version consistency across different languages. 如果提供翻译，程序文件都已指定确保不同语言版本的一致性。
 - The proposed group's central office is capable of objectivity in audit and decision making. 集团办公室负责审核的客观性和决策。
 - The proposed group's central office can demonstrate through their application an understanding of the CoC Group Standard such that it is likely that they will be able to qualify for certification. 集团办公室可以通过申请来说明对 CoC 集团标准的理解以便可以获得认证。
 - Verify that the group certificate holder has excluded the convicted entity, and that the entity remains excluded from the certificate or their certificate membership status remains invalid, for 2 years from the date of the conviction. 审查并确认集团证书持有者已将违规的实体排除在外，并且该实体仍然被排除在证书之外或其证书会员身份仍然无效，自被定罪之日起 2 年内。
- For CoC CFO applicants/organisations, LC shall determine that an applicant/organisation is eligible for certification against the CoC CFO Standard if all the following applicable criteria are met: 如果符合以下所有标准，LC 应确认申请者是否有资格获得 CoC 面向顾客标准认证：
 - The Organization sells and/or serves certified seafood exclusively or primarily to final consumers. 组织仅为最终消费者销售或提供认证的海产品。
 - Any sites that carry out processing or repacking of certified seafood do so exclusively on behalf of the applicant Organization. 任何加工或重新包装获认证海产品的场所，均只代

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表申请机构

- If the Organization uses contract processors or re-packers, these Organizations have their own CoC certification. 如果组织有代加工或再包装，这些组织应有自己的 CoC 认证。
- If the applicant has more than 1 site handling certified seafood: 如果申请者有一个以上的处理认证产品的场所：
 - a) All sites are under the control of a common management system, which determines the parameters for seafood supply, traceability infrastructure, and staff operation procedures, and is maintained by the Organization's designated central office. 所有场所都由共同的管理系统来决定海产品供应、追溯系统、人员操作系统，该系统由指定的集团办公公司来负责维护。
 - b) The central office has an ownership or franchise relationship with each site, or a temporary right to manage all sites and staff where certified seafood is handled to ensure conformity with the CoC Standard. 集团办公室与每个场所具有所有权或特许经营的关系，或临时所有权管理认证海产品的站点和员工，以确保符合 CoC 标准。
 - c) The central office has oversight of purchases conducted at site level, with controls to ensure that all sites can only order certified seafood from certified suppliers. 集团办公室对在现场采购进行监督以确保所有现场只能从经认证的供应商处订购认证的海产品。
- LC shall confirm at initial application, and subsequent surveillance/recertification. LC 应与申请者确认首次认证、监督和再次认证状态信息。
- LC shall determine if the applicant is eligible for interim certification, due to exceptional circumstances, against any of the certification options. LC 应根据认证选项和特殊情况确定申请人是否有资格获得临时认证。
- For handling seaweed, shall also sign the Seaweed Partnership Agreement. 对于处理海藻的客户还需要签署海藻合作协议。

8.1.2 Documents for applicant 文件

- LC shall send the following to the applicants: LC 应给申请者发送以下信息：
 - A copy of LC's standard contract for certification. 认证合同；
 - issued current versions of all MSC/ASC Standards and other requirements relevant to their scope of certification as application in the MSC Certification Program Documents. MSC/ASC 标准的最新版本，以及与 MSC 认证计划中应用的认证范围相关的其他要求；
 - Information on the use of the certification program's trademarks, including: 使用认证项目标签的信息，包括：
 - a) The website address where the MSC Ecolabel User Guide may be found. MSC 生态标签使用指南网址。
 - b) An explanation that a license agreement will be required prior to the use of the ecolabel, logo or other trademarks for promotional or consumer-facing use. 说明生态标签、标识或其他商标用于促销或面向消费者的用途之前需要签署许可协议。
 - The website address where applicants can find information relevant to certification. 申请者可在网址找到有关认证的资料。
 - Information on the MSC's right to change program documents and that certification is

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conditional on conforming to new or revised standards or the consequence of changed certification requirements within stated timeframes. 关于 MSC 有权更改项目文件的信息，以及认证是否符合新的或修订的标准或在规定的时间内更改认证要求的结果。

- A description of the information about the applicant that shall be made public as a requirement of certification. 作为认证要求应公开的申请人信息说明。
- Relevant MSC Certification Program Documents. 相关的 MSC 认证文件。

8.1.3 Contract 合同

- LC shall have a signed legally-enforceable agreement for provision of assessment/audit activities to its clients, which may include the application form. LC 应签署有效的合同和申请表向客户提供审核。
- If the applicant is already certified (including a certificate status of cancelled, suspended or withdrawn), LC shall follow certificate transfer requirements. 如果申请者已获得认证（包括证书取消/暂停或撤销），LC 应按照转机构的申请签订合同。
- The procedure is in place to ensure that applicants for certification are fully informed of, and have contractually agreed in writing to publish assessment reports on their website. These reports may include references to applicants and certificate holders. 应制定程序确保申请者了解并同意公布审核报告，报告中会包含申请者的信息。
- Where 2 or more legal entities apply for a certificate, LC shall sign a legally-enforceable agreement for provision of assessment/audit activities with all legal entities. 当 2 个或更多的实体申请 CoC 认证时，LC 应与所有的实体签订审核合同。
- Contract with CoC clients shall specify the following: 与 CoC 客户签订的合同应包含以下信息：
 - In line with ISO 17065, the contract should include the fee charged to applicant: 根据 17065，合同中应包含以下费用：
 - a) The audit fee charged for single site audits. 单场所审核费用；
 - b) Additional auditor time (applicable when the total audit time exceeds 1 day). 额外审核时间（适合于总审核时间超过 1 天的情况）
 - c) The certificate fee (for when any new certificates are issued). 证书费用
 - d) Travel time to and from the audit. 审核的差旅时间
 - e) Travel expenses to and from the audit. 审核期间的差旅费用
 - f) Group and CFO audits will be quoted on an individual basis. 集团和 CFO 客户应以但场所为基础报价。
 - g) Calculate individual quotes for specific CoC in line with the criteria above. 根据上述中的标准计算特定 CoC 客户的报价。
 - h) Clearly state all costs in advance of the client signing CoC audit contract. 客户签订 CoC 审核合同之前明确所有费用。
 - Contract shall specify that the client is required to conform to the relevant MSC/ASC CoC Standard and applicable Certification Program Documents. 客户需符合的 MSC/ASC CoC 标准。
 - Contract shall specify that the client must meet the eligibility requirements prescribed in the MSC Labour Eligibility Requirements. 申请者必须符合 MSC 劳工资格要求。
 - Contract shall specify that if applicant ops labour self-assessment, should agree to an MSC-commissioned labour audit if required by the MSC. 如果客户选择劳工自查，如果 MSC 有

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要求需要同意 MSC 的审核。

- Contract shall specify that the suspend or withdraw certification information. LC 根据手册和标准要求对证书的撤销和延期说明。
- Contract shall specify that applicant shall accept expedited audits, including unannounced audits, from LC and assurance provider. In the case of an unannounced audit, the client shall provide access to the applicable operating site(s) in scope within 30 minutes of the auditor's arrival. 客户应接受 LC 或其他的审核，包括不事先通知的审核。如果是不事先通知的审核，客户应在审核员到达 30 分钟内允许进入其进入范围内作业场所。
- Contract shall specify that the client agrees to allow samples of seafood to be taken from their operation by the MSC or its designated agents, or LC, when requested for the purposes of product authentication or conformity testing. All test results relating to samples are confidential between the client, LC, and the MSC and its designated agents, and shall only be communicated to other parties in anonymized and aggregated form. 客户同意允许 MSC 或其指定机构或 LC 的要求从其操作中提取海产品样品，用于产品认证或符合性测试。所有与客户现场取样相关的单个产品认证测试结果在客户、LC、MSC 及其指定代理之间保密，并仅以匿名和汇总的形式传达给其他方。
- Contract shall specify a description of the steps that shall be taken by the client before it can be authorized by MSC to use the trademarks. 合同中应说明如果申请者只有取得 MSC 授权才能使用生态标签。
- Contract shall specify that data and information regarding applicants and certificate holders shall be shared by the LC with the MSC/ASC and made public, as indicated in the applicable MSC Certification Program Documents. 合同中应说明申请者的信息由 LC 和 MSC/ASC 共享，这些文件中会包含申请者的 MSC/ASC 认证的信息。
- Contract shall specify that for clients handling seaweed, the client shall sign the Seaweed Partnership Agreement before certification can be granted. 对于处理海藻的客户，客户需签署《海藻合作协议》方可获得认证。
- After receiving a signed contract for certification, LC shall record the applicant on the scheme database within 10 days. LC 应在收到合同 10 天内数据库中记录申请者信息。

8.1.4 Scope of certification 认证范围

- LC shall define the proposed scope of certification with the applicant by identifying: LC 应与申请者确认申请认证的范围：
 - The certified species that are to be purchased or handled. 购买和处理的认证品种
 - The activities to be undertaken with respect to certified products, as per the definitions in Table 2. 根据表 2 中的定义确定认证的活动。
 - Where the Organization is intending to handle seaweed, LC shall advise the applicant of the need to sign the Seaweed Partnership Agreement before certification can be granted. 如果组织计划处理海藻，LC 应告知需要签订海藻协议。
 - The main activity undertaken by the client with regards to certified products. 认证的主要活动。

8.1.5 Proposed suppliers 供应商

- LC shall identify whether the applicant's proposed suppliers are certified. If not, LC shall inform the client need to change the certified. 应确定申请者建议的供应商是否经过认证。如果没有认证，LC 应通知客户更换为已认证的供应商。

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8.1.6 Use of subcontractors 使用分包商

- If the applicant intends to use non-certified subcontractors, the names of any proposed subcontractors (excluding transportation), address and the activity they perform will be provided. LC shall inform the applicant that the non-subcontractors need to be audited. 如果申请人使用非认证的分包商，应提交分包商(不包括运输)的名称、地址和所进行的活动。并告知申请者非认证的承包商也需要进行审核。
- If the applicant intends to use certified subcontractors, LC shall check that the proposed subcontractor's scope includes the relevant activities. 如果申请人计划使用认证的分包商，LC 应检查分包商的范围是否包括相关活动。

8.1.7 Site lists 场所清单

- For all certificates that are to cover more than one site, LC shall ask the applicant for a current site list that provides both physical and postal addresses. 对于涵盖多个场所的证书，LC 应要求申请者提供当前场所列表，其中包括实际地址和邮政地址。
- For CoC CFO certificates, the list shall classify sites as consumer-facing sites, operations sites or sites that do both, and provide contact details for each site. 对于 CoC CFO 证书，应分别记录面向消费者的场所、运营场所或两者兼而有之的场所，并提供每个场所的详细联系方式。
- For CoC Group certificates, the list shall include a name, position and email or phone number for a designated contact at each site who is responsible for ensuring the site conforms to the CoC Group Standard. 对于 CoC 集团证书，清单应包括每个场所的指定联系人的姓名、职位和电子邮件或电话号码，该联系人负责确保该站场所符合 CoC 集团标准。

8.1.8 Eligibility for interim certification 临时认证

- If apply the interim certification, LC shall verify that: 如果申请进行临时认证，LC 应确保：
 - There are exceptional circumstances making it impossible to carry out an on-site initial audit. 特殊情况下，无法进行现场初步审核。
 - A risk assessment has been completed considering the entire scope of certification and how risks identified will be mitigated. 考虑到认证范围和分线已经减轻，已完成风险评估。
 - Risks to the integrity of certified products have been determined to be minimal. 已确定获证产品完整性的风险已经最低。
- If the interim certification is appropriate, LC shall: 如果适用于临时认证，LC 应
 - Inform the applicant that MSC is not responsible for any costs associated with lapsing of an interim certificate prior to a CoC certificate being obtained. 通知申请者，在获得 CoC 证书之前 MSC 不负责与临时证书失效相关的任何费用。
 - Apply for interim certification by submitting a variation request to MSC, providing the proposed scope of certification and written justification of the exceptional circumstances and risk assessment. 通过向 MSC 提交变更申请来申请临时认证，并提供申请的认证范围和特殊情况和风险评估的书面说明。
 - Carry out a remote initial audit once the MSC has granted approval and by following the defined MSC Remote Auditing Procedure. The audit shall be recorded in the MSC scheme database. 一旦 MSC 批准，应遵循 MSC 远程审核流程并实施审核。审核应记录在 MSC 数据库中。
 - Conduct an on-site follow up audit within 90 days of the initial remote audit. 初始远程审核

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后 90 天内应实施现场跟踪审核。

8.1.9 Application and scope extension 增加范围申请

- The applicant/client needs the following request information if applying the scope extension:如果是申请增加范围，LC 应要求申请者提供以下信息：
 - The proposed extension scope of certification. 增加的认证范围
 - The names of suppliers of extension certified products. 增加的认证产品的供应商
 - Names of extension subcontractors that would handle certified product.处理认证产品的分包商
 - The proposed list of extension sites to be covered by the certificate.认证的所有场所

8.1.10 Variation requests 变更申请

- LC shall apply using the MSC Variation Request Form to submit a variation request. LC 应使用 MSC 变更申请表提交申请
 - Specify which clause of the MSC requirements a variation is applied for. 说明适用于 MSC 要求变更的哪个条款;
 - Provide a justification for the variation that addresses each of the criteria (if any) for accepting the variation request (where specified in relevant requirement clauses). 提供变更的理由，说明接受变更请求的每个标准(如果有的话)(在相关要求条款中有规定);
 - Explain how the variation request does not alter the conformity of the applicant or certificate holder with the relevant MSC standard. 解释变更请求如何不会改变申请者或证书持有者与相关 MSC 标准的一致性
 - Submit the MSC Variation Request Form to the relevant MSC program via email to supplychain@msc.org. : 发电子邮件到 supplychain@msc.org 向 MSC 提交 MSC 变更申请。
- When submitting a variation request as allowed under these requirements, LC shall note that: 在提交要求允许的变更请求时，LC 应注意：
 - The decision to accept or decline a variation request is usually made by the MSC within 14 days of receipt of the request. MSC 在收到请求后 14 天内作出接受或拒绝变更请求的决定。
 - LC shall ensure that the conditions set by the MSC when a variation request is accepted are met. LC 应确保满足 MSC 在接受变更请求的条件。
 - LC shall only submit variation requests in advance of the circumstances occurring. The MSC will not accept retrospective variation requests. LC 只应在情况发生前提交变更申请，MSC 不接受追溯变更申请。
- LC shall keep records of all variation requests it has submitted and the MSC's responses. LC 应保存其提交的所有变更请求和 MSC 答复的记录

8.1.11 Use of trademarks 标签使用

- LC shall inform that client/applicant can contact MSC to sign a license agreement to use the MSC and/or ASC label, or other trademarks if using label once getting certified: 如果客户需要适用 MSC/ASC 标签，LC 应告知客户获得认证后联系 MSC 签署许可协议后才能使用。
- Providing the client complies with the MSC ecolabel and/or ASC label guidelines. 给客户提提供 MSC 生态标签和/或 ASC 标签使用准则。

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- LC shall direct the client to MSCI (ecolabel@msc.org) for all enquiries regarding use of the label or trademarks. LC 应告知客户向 MSCI (ecolabel@msc.org) 查询有关标签或商标使用的所有问题。
- If there is any doubt about whether a license is required, LC shall refer to MSCI for advice. 如对是否需要许可有疑问，LC 可以提供 MSCI 作为建议。
- LC shall have documented procedures for the issue and use of any logo or trademark of the LC based on ISO 17065 for the certification program, including procedures for pre-publication review and authorization. 应按照要求制定使用、发放所有标识包括 LC 商标的程序，包括标签审查程序以及授权。

8.2 Certification 认证

The MSC/ASC CoC audit process also has been updated and pls see LC-MSC-WI-03.

认证过程的流程图已经更新，具体请参考文件 LC-MSC-WI-03.

8.2.1 Audit planning

- LC shall provide a plan for each CoC assessment or audit to all personnel involved prior to commencing work. The plan shall: LC 应在审核前向所有参与审核的人员提供 CoC 审核的计划。计划应：
 - Be individually tailored to each assessment or audit. 应根据每次评估或审核而个别调整
 - Specify division of responsibilities between team members. 明确团队成员的职责分工
 - Nominate a team leader responsible for conducting the assessment or audit in conformity to MSC requirements. 指定组长负责根据 MSC 标准进行审核
 - Set out processes to be undertaken by team members prior to and during the assessment or audit (including consultations with stakeholders, where undertaken). 列出小组成员在审核之前和期间应执行的程序(包括与利益相关者协商，如已进行)
- LC shall ensure that the planning should include the following information: LC 应确保审核计划包含以下信息：
 - Expected scope of the assessment or audit. 预期的评估或审核范围
 - Draft work schedule. 草拟工作时间表
 - Names and affiliations of proposed team members and/or auditors. 小组成员和/或审核员信息
 - Sufficient information or a summary list of the objective evidence required about audit process for the applicant to make proper preparations for the assessment or audit. 有关评估或审核程序的资料，以便申请人为审核作出适当的准备
 - Nature of stakeholder consultation, if any. 利益相关者咨询（如有）
- LC shall have a documented procedure for dealing with an applicant's concerns about a member of the team proposed to carry out the assessment or audit and maintain records of the justification for its action. LC 应制定程序以处理申请者对即将进行的审核提出的问题并保留相关记录。
- LC shall plan on-site and off-site audit activities and duration, taking account of: LC 应计划现场和非现场审核活动和持续时间时，考虑以下因素：
 - The proposed or actual scope. 建议或实际的范围
 - The management system used by the client. 客户使用的管理系统
 - The CoC Standard the client will be audited against. 审核的 CoC 标准
 - The need to allow sufficient time to verify the effectiveness of the client's management system for the proposed scope. 需要有足够的时间来验证客户管理体系的有效性

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- Audits of non-certified subcontractors as requirements. 按照要求对非认证分包商进行审核。
- Any other certifications held.其他认证证书。
- Opportunities to synchronize and combine CoC audits with other audits where possible and appropriate. 在可能的情况下，将 CoC 审核与其他审核结合的机会。
- LC shall determine the number and type of sites to be audited as follows: LC 应按以下方式确定待审核场所的数量和类型：
 - For single and multi-site certificates, every site shall be audited. 对于单场所和多成所证书，每个场所都应进行审核。
 - For CoC CFO certificates, sites shall be audited as CFO requirements. 对于 CoC CFO 证书，应按 CFO 要求对现场进行审核。
 - For CoC Group certificates, sites shall be audited as requirements. 对于 CoC Group 证书，应按 Group 要求对现场进行审核。
- LC shall plan for a minimum audit duration of 1.5 days on-site for single and multi-site clients that meet all the following criteria: 对于满足以下所有标准的单场所和多场所客户，LC 应计划至少 1.5 天的现场审核时间：
 - Include processing or contract processing in their scope as the defined in Manual. 范围包含手册中定义的加工或代加工。
 - Are located in a country with a score below 41 in Transparency International's latest Corruption Perception Index (cpi.transparency.org). 位于国际透明度最新的清廉指数 (cpi.transparency.org)中得分低于 41 分的国家的客户。
 - Handle both certified and non-certified seafood. 处理认证和非认证海产品的客户。
 - Purchase more than 5,000 MT of seafood annually, or more than 20 seafood batches annually. 每年采购海产品 5000 吨以上，或 20 批次以上。
- The decision and rationale for the audit duration for clients shall be recorded in the audit report. 客户审核时限的决定和理由应记录在审核报告中。
- If an audit is planned for 1.5 days based on the criteria, but is completed in less time, LC shall document the rationale for this in the audit report. 如果根据标准，审核计划为 1.5 天，但在较短时间内完成，LC 应在审计报告中记录其理由。
- LC shall plan that audits are carried out on-site and only clients with activities limited to Trading (buying and/or selling) and/or Use of Subcontractor as defined in Manual are eligible to become certified through a remote initial (and re-certification) audit. LC 应现场进行审核，除只有活动仅限于交易(买卖)和/或手册中定义的分包商的客户才有资格通过远程初始(和重新认证)审核获得认证。
- Surveillance audits can be remote for certificate holders that conduct only "trading" activities/ located in a country with a Transparency International CPI score of 41(CPI .transparency.org) / with the exception of activities carried out by subcontractors are assessed. If the criteria above are met by the client, but proposing to audit on-site, LC shall document their rationale in the scheme database. 对满足这些标准的证书持有者，监视审核可以远程进行。如果客户满足上述标准但建议进行现场审核，LC 应将其理由记录在数据库中。
- LC shall plan for a minimum audit duration of 1 days remote for single clients. 对于满足标准的单场所客户远程审核，LC 应计划至少 1 天的审核时间：

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- Subcontractors are separately assessed as detail requirements. 分包商按要求单独进行审核。
- Based on factors not identified that increase the client’s risk profile, If the criteria are met the requirements of remote audit by the client, but an on-site audit is still planned, LC shall document their rationale in the audit report. This should be. 基于未识别的会增加客户风险的因素，如果客户满足标准，但仍计划现场审核，LC 应在审核报告中记录其理由。
- LC shall determine the surveillance frequency for certificate holders after each certification, surveillance and re-certification audit according to the following criteria: LC 应根据以下标准确定每次认证、监督和再认证审核后对持证者的监督频率：
- A frequency of 18 months for single or multi-site CoC certificate holders that meet at least 1 of the following criteria: 100% of the seafood handled at all sites is certified seafood/ conduct only “trading” activities directly as defined in Table 2, and do not use any non-certified contract processors or packers to handle certified product (contract transport and storage is permitted)/ only handle certified product in sealed boxes or containers and do not repack, process or alter sealed boxes in any way. 单场所或多场所 CoC 证书持有者至少符合所有场所处理的海产品 100% 是认证产品/只直接进行表 2 所定义的“贸易”活动，不使用未经认证的合同加工商或包装商处理认证的产品(允许合同运输和储存)/ 只处理密封包装或容器中的认证产品，不以任何方式重新包装、加工或更改密封包装之一，审核频率可以调整为 18 个月。
- The surveillance audit's timing may be advanced or delayed by up to 90 days before or after the due date as necessary to coordinate a suitable date. The due date is determined by the certification date 根据需要，监督审计的时间可以提前或延迟，在截止日期之前或之后最多 90 天。截止日期由认证日期确定。
- LC shall verify if the client holds other accredited certifications issued by an accredited CAB to a relevant nationally- or internationally recognized standard. LC 应核实客户是否有其他经认可的 CAB 颁发的符合相关国家或国际认可标准的其他认可证书。
 - If the client does hold accredited certifications, LC may use this as a substantive indication of conformity with relevant elements of the CoC Standard by: 如果客户确实持有认可的证书，LC 可以通过以下方式将其作为符合 CoC 标准相关要素的证据：
 - a) Requesting the most recent audit report from the client. 要求客户提供最近的审计报告
 - b) Undertaking a gap analysis of the differences between the CoC Standard and the other standard. 对 CoC 标准与其他标准进行差异分析。
 - c) Using knowledge of conformity demonstrated by the other certification to support LC’s audit and certification decision. 利用其他认证的符合性来证明 LC 的审核和认证决策。
- For ASC CoC, prior to each audit, the auditor shall confirm that Organizations whose activities include processing, contract processing, packing or repacking are certified by a Global Food Safety Initiative (GFSI) recognized scheme or ISO 22000 covering the scope of their supply chain activities throughout the entire time period of their ASC CoC certification (unless the Organization is exempt based on size; refer to Eligibility criterion). 对于 ASC CoC，每次审核之前审核员应确认其活动包括加工、合同加工、包装或再包装的组织已通过全球食品安全倡议(GFSI)认可的方案或 ISO 22000 认证，该认证涵盖了其 ASC CoC 认证的整个期间内的供应链活动范围(除非该组织因规模而获得豁免;参考资格标准)。

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- For CFO clients: CFO 客户
 - LC shall complete a risk assessment for the entire CFO prior to each audit against the CoC CFO Standard in order to determine the audit activities to be carried out. This risk assessment shall be documented in the CoC audit report. LC 应在每次审计前根据 CoC CFO 标准完成整个 CFO 的风险评估，以确定要进行的审核活动，风险评估应记录在 CoC 审核报告中。
 - Where the client handles only certified seafood at all sites, LC shall score the client as Low Risk and plan audit activities as Table 5. 如果客户在所有场所只处理经过认证的海产品，LC 应将客户评为低风险，并根据表 5 计划审核活动。
 - In all other cases, LC shall: 其他所有情况下，LC 应
 - a) Score every risk factor for all consumer-facing sites using Table 3 and sum the total. 使用表 3 对所有面向消费者的场所的每个风险因素进行评分，并将总数相加。
 - b) Use the total score to determine in Table 4 whether the client is Low Risk or Standard Risk. 使用总分在表 4 中确定客户是低风险还是标准风险。
 - c) Plan audit activities in accordance with requirements, taking into account all the activities listed. 根据要求计划审核活动，并考虑到所列的所有活动。
 - LC shall inform the client that for Organizations with multiple sites, the central office, operations sites (where relevant) and a sample of consumer-facing sites will be audited. LC 应通知客户，对于拥有多个场所的组织，将对中心办公室、运营场所(如相关)和面向消费者的场所样本进行审计。
 - Prior to each audit, LC shall use Table 6 and the site list provided by the client to determine the number of sites to be audited. 每次审核前，LC 应使用 Table 6 和客户提供的现场清单确定待审核的现场数量。
 - LC shall select the sites based on the factors below, in decreasing order of importance: LC 应根据以下因素(按重要性降序排列)选择场所:
 - a) Site determined for sample by the MSC's assurance provider or the MSC. 由 MSC 的供应商或 MSC 确定的取样场所
 - b) Likelihood that certified seafood will be handled on-site. 认证的海产品在现场处理的可能性
 - c) Same site not to be selected for consecutive audits where possible. 尽可能不选择同一地点进行连续审核
 - d) Logistical considerations: combination of trips, availability of auditors, geographic proximity. 应考虑差旅、是否有审核员、地理位置相近等因素。
 - e) Any additional criteria or constraints that would prevent sites from having short notice audits. 任何妨碍进行临时通知审核的标准或限制条件。
 - Operations sites that carry out business-to-business processing or repacking activities of certified products shall be audited in addition to the sample size determined by Table 6. 除表 6 确定的样本量外，还应对进行认证产品 B2B 处理或重新包装的运营场所进行审核。
 - Where the CFO has operations sites involved in only storage or distribution (such as depots), at least 1 of them shall be audited in addition to the number of consumer-facing sites sampled during the 3-year certificate validity. 如果 CFO 的运营场所仅涉

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及仓储或分销(如仓库)，除了在 3 年证书有效期内抽样的面向消费者的场所数量外，还应至少审核其中 1 个。

- For clients of Standard Risk category, LC shall: 对于属于标准风险类别的客户，LC 应:
 - a) Ensure that all auditors can demonstrate knowledge of the latest version of the MSC Seafood Sampling Procedure. 确保所有审核员了解最新版本的 MSC 海产品抽样程序。
 - b) Compare the species handled by the client with the 'Priority' and 'Optional' species specified in the MSC Seafood Sampling Procedure to determine if sample collection will be applicable. 将客户处理的品类与 MSC 海产品取样程序中指定的“优先”和“可选”品种进行比较，以确定样本收集是否适用。
- Where site audits are carried out at short notice, LC shall notify the client not more than 48 hours in advance of the specific sites to be audited. If there are exceptional circumstances preventing sites being audited, it shall be reduced the number of short- notice site audits but a full justification shall be provided in the CoC audit report 如果现场审核是临时通知的，LC 应在不超过 48 小时前通知客户待审核的具体现场。如果特殊情况无法临时对现场进行审核，LC 可以减少临时现场审核的场所，但应在 CoC 审核报告中提供充分的理由。
- For Group clients:
 - Shall include all activities covered by the certificate's scope in site audits. 应包括现场审核中证书范围所涵盖的所有活动。
 - Shall audit the central office and a sample of sites. 应审核中心办公室和取样地点。
 - Shall review the group's proposed scope and sites to make a decision on whether sample stratification is required. 应审查小组提出的范围和场所以决定是否需要样本分层。
 - a) Stratification shall take place where the group's sites can be classified into distinct sub-groups according to activities. 应进行分层使集团的场所可以根据活动划分为不同的子组。
 - b) Stratification shall take place where manufacturing and/or processing activities occur within a group but where not all sites perform these activities. 当生产和/或加工活动发生在一个集团内部，但并非所有场所都进行这些活动时，应进行分层。
 - c) Stratification shall take place where a group operation is not within 1 geographic region. 如果集团经营不在一个地理区域内，则应进行分层。
 - If stratification is required, LC shall follow the site sampling procedure for each sub-group independently. 如果需要分层，LC 应独立执行每个子组的现场抽样程序。
 - Shall complete the sample stratification and document the rationale in the scheme database. LC 应完成样本分层，并在数据库中记录基本原理。
 - LC shall complete a risk assessment using the Table 9. And each risk factor shall be allocated 1 score. If it appears there are 2 scores within the same sub-group, the higher score shall be allocated. LC 应使用表 9 完成风险评估,并为每个风险因素分配 1 分。如果在同一子组中出现两个分数，LC 将分配较高的分数。
 - LC shall allocate the applicant group or sub-group to a sample Table 10. LC 应将申请人组或子组分配到样本表 10 中。
 - LC shall perform the initial audit following the initial audit-sampling plan within the

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sample table selected. LC 应在选定的样本表内按照初始审核抽样计划进行初始审核。

- Following an audit, LC shall decide whether sample sizes for the next surveillance audit should be increased or decreased from the current sampling plan. 审核后 LC 应决定下一次监督审核的样本量是在当前抽样计划的基础上增加还是减少。
- LC shall increase the sampling plan for the next surveillance audit by one level according to Table 10 if the group meets at least 1 of the criteria below: 如果集团至少满足以下标准中的一项，LC 应根据表 10 将下一次监督审核的抽样计划提高一级。
 - a) One critical non-conformity was raised against a site, or more than 3 major non-conformities were raised against the central office at the last audit conducted by LC. LC 进行的最后一次审核中，对一个场所提出了一个严重不符合项，或对中心办公室提出了 3 个以上的主要不符合。
 - b) Internal audits or internal control system not operational and corrective, or preventive actions are inappropriate. 内部审核或内部控制体系不运行，纠正或预防措施不适当。
 - c) The CoC Group certificate was suspended or withdrawn in the last 12 months. CoC 集团证书在最近 12 个月内被暂停或撤销。
- Where the group is already in the High-Risk Sample Plan (Table 12) and meets at least 1 of the criteria the sample size shall be multiplied by 1.5 and rounded up for the next surveillance audit. 如果集团已经在高风险抽样计划(表 12)中，并且满足至少一项标准，则样本量应乘以 1.5 并取整以备下次监督审核。
- If the group does not meet any of the criteria and meets at least 1 of the criteria below, LC may decrease the sampling plan by 1 level from Table 12 for the next surveillance audit: 如果集团不符合任何一项标准，但至少符合以下一项标准，LC 可以在下一次监督审核时将抽样计划从表 12 中减少一级：
 - d) No major or critical non-conformities with the CoC Group Standard demonstrated at the last audit of the central office and sample of sites. 中心办公室和现场抽样的最后一次审核中，没有发现与 CoC 集团标准的重大或关键不符合。
 - e) Internal audits or internal control system are operating well (i.e., identifying issues and applying appropriate corrective and preventive action). 内部审核或内部控制系统运行良好(即发现问题并采取适当的纠正和预防措施)。
- Where the group is already in the Very Low Risk Sample Plan (Table 15) and meets at least one of the criteria the sample size may be multiplied by 0.5 and rounded up for the next surveillance audit. 如果该集团已经在极低风险样本计划(表 15)中，并且至少满足其中一项标准，则样本量可以乘以 0.5 并取整，以便下一次监督审核。
- The sampling plan shall not be reduced by more than 1 level during the lifetime of a certificate. 在证书有效期内，抽样计划的减少幅度不得超过一级。
- LC shall select the sample of sites to be audited following the hierarchy. LC 应按照等级选择待审核的场所样本。
 - f) LC shall select sites from criterion 1 before criterion 2, from criterion 2 before criterion 3, and so on. LC 应先从标准 1 中选择场所，再从标准 2 中选择，再

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从标准 3 中选择以此类推。

- LC shall not inform the client of the sample of sites selected until as close to the audit date as practicable, and in any case not more than 20 days prior to the proposed audit date. LC 应在尽可能接近审计日期之前，在任何情况下不超过拟审核日期前 20 天，将所选场所的样本通知客户。
- **Additional audit planning for MSC Labour Eligibility Requirements MSC 劳工资格要求的额外审核计划**
 - If determining that the activity(Contract processing/Manual off-loading/Packing or repacking/Processing primary/Processing secondary/Processing preservation/Processing other/Use of subcontractor) has been met, LC shall send the applicant or certificate holder a copy of the self-assessment form as soon as possible, in advance of the CoC audit. 如果确定活动(分包/人工卸载/包装或重新包装/一次加工/二次加工/加工存储/其他处理/分包商的使用)已经满足，LC 应在 CoC 审核之前尽快向申请者或证书持有者发送一份自我评估表。
 - If the applicant or certificate holder has opted for self-assessment, LC shall confirm that the self assessment form is complete by or before the day of the CoC audit and document in the scheme database and upload to the scheme database that the applicant or certificate holder has completed a self-assessment form. 如果申请者或证书持有者选择了自我评估，LC 应确认自我评估表格在 CoC 审核当天或之前完成，并将其记录在方案数据库中，并将申请者或证书持有者已完成的自我评估表格上传到方案数据库。
 - If the applicant or certificate holder has opted for an on-site labour audit of third party, LC shall note in the scheme database that the applicant or certificate holder has completed an on-site (or remote audit in exceptional circumstances), third-party, MSC recognised labour program audit and verify that the performance criteria have been met as requirements for the applicant or certificate holder. 如果申请者或证书持有者选择了第三方的现场劳工审核，LC 应在方案数据库中注明申请者或证书持有者已完成现场(或在特殊情况下远程审核)、第三方、MSC 认可的劳工计划审核，并验证是否符合绩效标准要求。
 - If not finishing self-assessment or third-party labour audit is not met, LC shall consider that the applicant or certificate holder ineligible for a CoC audit or certification and not continue the audit process. 如果没有完成自我评估或第三方劳工审核，LC 应认为申请者或证书持有者没有资格进行 CoC 审核或认证，并不再继续审核过程。

8.2 Evaluation 评估

8.2.1 Requirements for all CoC audits

- Shall evaluate the client based on Website information. 应在所有审核前对客户进行评估。
- Shall evaluate the client against the requirements for initial, surveillance, and re-certification audits. 应根据初始审核、监督审核和重新认证审核要求对客户进行评估。
- Shall verify if organization has a process in place to ensure that all certified products are purchased from certified suppliers, fisheries, or farms. 查验组织是否制定程序确保所有认证产品来源于认证的供应商、渔场或农场。

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- Organizations that buy directly from MSC/ASC farms, including when a new farm supplier is added, shall check the starting point of CoC and confirm there is no gap in CoC certification coverage between the point where the farm certification ends and their point of purchase as first buyer in the supply chain. 直接从 ASC 养殖场购买的组织，包括添加新的养殖场供应商时，应检查 CoC 的起点并确认养殖场认证结束与供应链第一个买家之间，CoC 认证范围已经全部覆盖没有中断。
- Organizations that buy directly from MSC/ASC farms, including when a new farm supplier is added, shall check factors that may affect eligibility of product to be sold as certified. 直接从养殖场购买产品的组织包括增加新的养殖场供应商时，应检查是否可能影响产品作为认证产品销售。
- If such a gap is identified and left unaddressed, the certified chain of custody is broken and the Organization shall not sell affected products as certified. LC shall raise a non-conformity. 如果发现供应链有中断，则该组织不能将这些受影响的产品作为认证产品售卖。LC 应开出不符合。
- If seafood is purchased as MSC/ASC certified but then converted to a non-certified status (and will never be sold as certified), LC shall verify records of such converted products as needed for investigations. 如果海产品作为 ASC 认证产品购买但是作为非认证产品，组织应提供相关转换记录以供调查。
- If products are non-conforming, verify if following the non-conforming product process. 如果产品不合格，应遵守不合格产品流程。
- For an applicant or certificate holder with the 1 or more requirements activities opts to submission of a forced and child labour self-assessment: 对于申请者和证书持有者，需提交自查报告或完成第三方社会责任审核。
 - Before the day of the CoC audit, the applicant or certificate holder shall use the ‘MSC Chain of Custody Labour Self-Assessment Form’ (“self-assessment form”) to detail the policies, practices and measures in place to ensure the absence of forced and child labour and complete one (or more, as appropriate) self-assessment form per certificate. And ensure that the self-assessment information covers all applicable sites and subcontractors within the certificate scope. 在 CoC 审核前，申请人或证书持有人应使用“MSC 监管链劳工自我评估表”(“自我评估表”)详细说明为确保没有强迫劳动和童工而采取的政策、做法和措施，并根据情况每份证书都需填写一份(或多份)自我评估表。同时确保自评信息涵盖证书范围内的所有适用场所和分包商。
 - Review the self-assessment form annually and update if there are any changes. 查验自我评估表，并确认是否有变化并及时更新。
 - For an applicant or certificate holder opts to complete an on-site labour audit, verify if completing an independent, third-party labour audit with one of the following programs recognised by the MSC. 对于申请者或持证者选择完成第三方劳工审核，需验证是否采用 MSC 认可的以下项目之一：
 - a) amfori Business Social Compliance Initiative (amfori BSCI) Audit.
 - b) SEDDEX’s Sedex Members Ethical Trade Audit (SMETA).
 - c) Social Accountability International’s SA8000 Certification.
 - d) Brand Reputation Compliance Global Standards (BRCGS) Ethical Trading and Responsible Sourcing Standard (ETRS).
 - e) Programs (for manufacturing and processing) recognised by the

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Sustainable Supply Chain Initiative (SSCI).

- Shall review that applicant meets the performance criteria of the relevant labour audit program based on provided evidence as requirements, including relevant sites and subcontractors comply with. 根据要求查验包含所有分包商是否满足相关劳工审核要求。
- Verify whether inform LC within 2 days of any of its sites or subcontractors failing to comply with. 查验申请者或证书持有人的任何地点或分包商未能遵守上述规定，查验是否在 2 天内通知 LC。
- Verify whether to resolve any subsequent Zero Tolerance (Amfori BSCI) or Business Critical findings (SEDEX SMETA) within 30 days. 查验是否 30 天内关闭审核中提出的零容忍(Amfori BSCI)或关键发现项(SEDEX SMETA)。
- Shall note in the scheme database that the applicant or certificate holder has completed an on-site (or remote audit in exceptional circumstances), third-party, MSC recognised labour program audit. LC 应在数据库中注明申请人或证书持有人已完成现场(或在特殊情况下远程审核)MSC 认可的第三方劳工审核。
- For ASC CoC Certification:
 - Organizations/applicants whose activities include processing, contract processing, packing or repacking shall be certified by a Global Food Safety Initiative (GFSI) recognized scheme or ISO 22000 covering the scope of their supply chain activities throughout the entire time period of their ASC CoC certification. organizations with less than EUR 2 million annual turnover or less than 200 MT annual volume of seafood traded or less than 50 seafood-business staff (including at peak times) are exempt from this requirement, however they shall still comply with food safety regulations and inspections. 活动包括加工、合同加工、包装或再包装的组织应获得全球食品安全倡议（GFSI）或 ISO22000 认证，涵盖了组织整个 ASC CoC 供应链活动范围。如果组织年营业额低于 200 万欧元或年交易量低于 200 吨的或员工少于 50 人的组织可以豁免，但仍需遵守食品安全法规。
 - Verify if the Organization has an effective process to inform LC within two (2) days if their GFSI-recognized or ISO 22000 certification becomes invalid/having other legal action related to the scope of the CoC Standard arises/ their products not in conformance with any relevant applicable standards an requirements.对于 ASC CoC，验证是否有有效程序并在 2 天内通知 LC：
 - Verify if organization has a food fraud vulnerability assessment (FVA) procedure that covers farmed seafood products including an up-to-date intervention plan.验证组织是否建立 FVA 食品欺诈程序并确保防护计划及时更新。

Opening meeting 首次会议

- All audits shall begin with an opening meeting, where auditors shall confirm with the client all the following as a minimum: 所有审核应以首次会议开始，审核员应与客户至少确认以下内容：
 - Continued eligibility for CoC / Group CoC/CFO CoC certification. 继续获得 CoC 认证的资格。
 - Participant introductions and roles. 参与人员介绍。
 - The purpose of the audit.审核目的。
 - The audit plan, including how the audit activities will be undertaken and any audits of other sites and/or subcontractors. 审核计划，包括如何进行审核活动

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以及对其他场所和/或分包商的审核。

- The access required and the type of information needed. 所需的资料。
- Confidentiality of the information shared during the audit. 审核过程中信息的保密性。
- The proposed scope of certification. 建议的认证范围。
- The list of certified suppliers. 经认证供应商名单
- The list of any subcontractors that are, or will be, handling certified products and which ones are independently certified, list of certified Organizations for which the client conducts contract processing of certified products if applicable. 处理认证产品的分包商以及已获得独立认证的分包商清单及。对获认证产品进行代加工的获认证组织名单（如适用）
- For each of the activities listed in the proposed scope, LC shall collect and review evidence that the client's management system and procedures, as recorded and implemented, meet the requirements of the relevant version of the CoC Standard. 对于范围内所列的每一项活动，LC 应收集和审查记录和实施的客户管理体系和程序符合相关 CoC 标准要求的证据。
- Auditors shall review the content and implementation of procedures relevant to CoC. 审核员应审查 CoC 相关程序的内容和实施情况。
- If the client is carrying out contract processing activities for certified products, the auditor shall review the relevant procedures to ensure that contract processing is undertaken in conformity with the CoC Standard. 如果客户代加工，审核员应审核相关程序，以确保处理符合 CoC 标准。
- During the audit, auditors shall review records relating to the receipt, sale and any applicable physical handling of the products listed in the proposed scope. 审核期间，审核员应审查与所列产品的收货、销售和相关处理有关的记录。
- Shall assess against the same criteria and requirements as an on-site audit if this audit shall be remote. 远程审核应根据与现场审核相同的标准和要求对申请者进行审核。

Interviews 访谈

- Auditors shall interview responsible personnel to verify their competency in understanding and applying the relevant CoC Standard. 审核员应与负责人员面谈以验证其理解和应用相关 CoC 标准的能力。
 - The number of interviews carried out shall reflect the size of the Organization, the complexity of operations, and the range of staff who could affect the integrity of certified products. 面谈的人数和范围应反映组织的规模、业务的复杂程度以及可能影响认证产品完整性。
 - Interviews shall be used to determine if personnel understand the relevant process or procedure which ensures conformity with the CoC Standard. 应通过面谈确定员工是否理解确保符合 CoC 标准的相关过程或程序。
 - Interview questions shall not be leading. 面试问题不能带有引导性。

Segregation 隔离

- Auditors shall establish that appropriate measures are taken by the client to segregate, identify and prevent mixing between: 审核员应确定客户已采取适当措施，以隔离、识别

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和防止以下情况的混淆：

- Certified and non-certified seafood. 认证和非认证产品。
- Where relevant, between seafood certified to other recognized schemes sharing the CoC Standard. 在相关情况下，通过分享 CoC 标准的其他认可计划来确认认证的海产品。
- If subcontractors are used, auditors shall verify that appropriate systems are in place to ensure identification and traceability of certified products at point of dispatch and receipt. 如果使用分包商，审核员应验证是否有适当的体系以确保认证产品在发运和接收点的识别和可追溯性。

Record-verification exercises 记录验证

- Auditors shall conduct the following record-verification exercises while on site, relating to certified products (or similar non-certified product): 审核员应在现场对认证产品(或类似的非认证产品)进行以下记录验证：
 - Traceability tests on a batch or batches of product sold or ready for sale. The test shall link input to output or vice versa through unique lots or delivery numbers, internal traceability records, purchase records (that identify the supplier(s), and the lots or batches of purchase), handling records, and supply records. 对已销售或准备销售的一批或多批产品进行可追溯性测试。测试应通过唯一的批号或交货号、内部可追溯性记录、采购记录(标识供方及采购的批号或批次)、处理记录和供应记录，将输入与输出联系起来，反之亦然。
 - Cross-checks of a sample of purchase records with delivery records and, where possible, against the actual product received. Include the following records where relevant: bills of lading, invoices, delivery notes, health certificates/veterinary checks, catch certificates, purchase orders, and packing list/loading records. 将采购记录与交货记录进行交叉核对，并在可能的情况下与实际收到的产品进行核对。包括以下相关记录:提货单、发票、交货单、检验记录、捕获证书、采购订单、装箱单/装货记录。
 - Input/output reconciliation based on a time-period and/or batch of product. This exercise shall include calculation of the yield if relevant, and consideration of whether this is justifiable. 根据时间和/或产品批次进行输入/输出对账，包括计算相关的产量，并考虑是否合理。
 - For consumer-facing operations, traceability tests on any labelled product sold as certified at the point of sale or serving. The test shall link input to output or vice versa at the time of the audit through labelled product on the menu or fish counter, internal traceability records, or a delivery or transfer note that identifies the certified supplier. 对于面向消费者的业务，在销售点或服务点对认证的任何标签产品进行可追溯性测试。在审核时，测试应通过菜单或鱼柜台上有标签的产品、内部可追溯性记录或标识获证供应商的交付或转移单，将输入与输出联系起来，反之亦然。
- Auditors shall determine the number of samples or products to use for record verification exercises, ensuring this sample is: 审核员应确定用于验证的样品或产品的数量，确保该样品：
 - Of the auditor's choice and obtained and reviewed whilst on-site, or during the same day as a remote audit. 由审核员选择并在现场或远程审核当天获取和审

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核。

○ Of sufficient number to: 数量足够的情况:

- a) Take into consideration the range of different handling processes, species in scope, and responsible parties. 考虑不同处理过程的范围、范围内的品类和责任方。
 - b) Be confident that the system is effective for all the products listed in the potential scope. 确信该体系对潜在范围内列出的所有产品都有效。
 - c) Include checking traceability and/or volume records for product sent to and received from subcontractors, if applicable. 如适用，包括对发给分包商和从分包商收到的产品的可追溯性和/或数量记录的检查。
 - d) Include records of any contract processing where relevant. 包括任何合同处理的相关记录。
- For records requested, the auditor should set a time limit for receipt during the audit and raise a non-conformity if this is not met. 对于要求的记录，审核员应在审核期间设定接收记录的时间限制。如果不符合要求，审核员应提出不符合项。
 - At an unannounced audit, records for the traceability test and input/output reconciliation shall be verified on-site, but other management system records may be requested after the audit. 在不事先通知的审核中，可追溯性测试和输入/输出对账记录应在现场进行验证，但审核后可要求提供其他管理体系记录。
 - Auditor shall also verify records available at the audit with information that was supplied by the client to the MSC previously. 审核员还应验证客户之前向 MSC 提供的信息作为审核时可用的记录。

Verifying use of the ecolabel, logo, or other trademarks 验证生态标签、标识或其他商标的使用

- Auditors shall verify if used the trademarks without a license or sold products as certified prior to being certified. 审核员会确认申请者是否未经许可使用商标，或者是否在认证前以认证方式销售产品。
- If used the trademarks without a license agreement or sold products as certified prior to being certified, the LC shall raise a non-conformity, and instruct the applicant to immediately cease use of the trademarks and selling products as certified. 申请者未经许可协议使用商标或在认证之前出售认证产品，LC 会提出不符合项并要求申请者立即停止使用商标和停止销售未经认证的产品。
- If the client uses the MSC and/or ASC label, or other trademarks on their own products or for a customer, auditor shall verify that the client is permitted to use the trademarks by confirming that the products are covered by a license agreement from MSC and the proof of product approval from MSC for packaging designs for a sample of products. 如果客户在自己的产品或为消费者使用的产品上使用 MSC 和/或 ASC 标签或其他商标，审核员还应验证该产品是否经 MSC 许可及出示 MSC 对产品样品包装设计的批准证明。
- LC shall verify that the trademark license status of the client shows as active on the scheme database or, where the client is not the license holder, shall seek written confirmation from MSC that a third party is the license holder. LC 应在系统数据库中核实客户的商标许可状态显示为有效状态，或如果客户不是许可持有人，则应向 MSC 寻求第三方为许可持有人的书面确认。
- Where the client includes non-certified seafood ingredients in products sold as certified, the

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auditor shall verify the client's calculation for all or a sample of products to which this applies, as specified by the non-MS-C/ASC certified seafood ingredients rules. 如果客户在作为认证产品销售的产品中包含未认证的海鲜成分，审核员应根据非 MS-C/ASC 认证的海鲜成分规则的规定，验证对所有或样本产品的计算。

- For clients handling seaweed, LC shall verify that they have signed and remain in compliance with the Seaweed Partnership Agreement before certification can be granted. 对于处理海藻的客户，LC 应核实是否签署并遵守海藻合作协议。

Closing meeting 末次会议

- Auditors shall conduct a closing meeting at the conclusion of each audit with the client's representative(s) to verify that the client understands: 审核员应在每次审核结束时与客户代表召开末次会议，以验证客户是否明确：
 - That until its certification status and information, including scope of certification, is displayed on the MS-C and/or ASC website, the client is not certified and cannot make any claims concerning certification. 在其认证状态和信息(包括认证范围)显示在 MS-C 和/或 ASC 网站上之前，客户尚未获得认证，也不能做出认证承诺。
 - Any actions the client may have to complete and their timeframes before certification can be awarded. 客户在获得认证之前可能必须按照要求完成整改。
 - Any findings or non-conformities that have been identified during the audit and their likely categorization (subject to approval by LC's decision-making entity), timeframes to address these findings or non-conformities, and the process for verifying their completion. 在审核过程中发现的任何发现或不符合项及其可能的等级(须经 LC 的决策组批准)，解决这些发现或不符合项的时间限制，以及验证其完成情况的程序。
 - Any significant future changes that affect certification, as specified in the contract. 任何影响认证的任何重大变化。
 - That the scope, subcontractor, and supplier list is correct and agreed. 范围、分包商和供应商名单正确并保持一致。
 - The reporting timeframes for changes as detailed in the CoC Standard. CoC 标准中详细说明了变更报告时间表。

Additional certification requirements for Group CoC audit

- If adding new sites total more than 10% of previous number to group and sites with new activities to the group not already covered in the group's CoC scope, LC shall: 批准有新活动的场所总数超过原场地数量的 10%，LC 应该：
 - based on the evidence (such as an internal audit report) that the new sites comply with relevant sections of the CoC Group Standard and details required for the site register and verify that the central office has the required resources to manage the increased workload. 有客观证据(如内部审计报告)表明新场所符合 CoC 集团标准的相关章节和新场所所需的详细资料。而且 LC 应验证中心办公室有足够的资源来管理新场所。
 - If an audit to be performed, the sample table and schedule plan currently used

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for the group shall be used to determine the number of new sites to be audited, unless justifying why a different sample size is appropriate. 如果要求进行审核，则应使用集团样本量和计划来确定要审核的新场所数量，除非证明不同的样本量合适的原因。

- Shall also audit the central office to address above requirements if not confirming that the group has the required resources to manage the increased workload. 如果对集团是否拥有必要的资源来管理新的场所不能确定，则还应审核中心办公室来验证。
- If adding new sites total more than 10% of previous number to group and sites, LC shall verify that the new sites do not add new activities to the scope of the certificate. 批准有新活动的场所总数不超过原场地数量的 10%，LC 应核实新场所没有在证书范围内增加新的活动。
 - If new activities are added, LC may conduct an audit of the new activities if deemed necessary based on the above requirements. 如果增加了新活动，LC 可在必要时对新活动按照要求进行审核。
 - LC may at its discretion require additional audits to be undertaken. LC 可自行决定是否需要进行额外审核。

8.2.2 Evaluation for CoC CFO audits CFO 评估

Opening meeting, gathering information and procedures 首次会议，收集信息和程序

- All audits shall begin with an opening meeting, where auditors shall confirm with the client as a minimum: 所有审核应以首次会议开始，审核员应至少与客户确认：
 - Continued eligibility for CoC certification, 继续获得 CoC 认证的资格。
 - Continued eligibility for certification against the CoC CFO Standard. 继续获得 CoC CFO 标准认证的资格。
 - Participant introductions and roles. 参与人员介绍。
 - The purpose of the audit. 审核目的。
 - The audit plan, including how the audit activities will be undertaken and any audits of sites and/or subcontractors. 审核计划，包括如何进行审核活动以及对现场和/或分包商的审核。
 - The access required and the type of information needed at central office and site level, where applicable. 在适用的情况下，在中心办公室和现场所需的访问权限和所需的信息。
 - Confidentiality of the information shared during the audit. 审核过程中信息的保密性。
 - The proposed scope of certification. 认证范围。
 - The list of certified suppliers. 供应商清单。
 - The list of any subcontractors that are or will be handling certified products and which ones are independently certified. 已或将处理认证产品的分包商名单，以及已获得

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认证的分包商名单。

- The accuracy of information provided during the audit planning stage to complete3 (Risk Assessment Scoring for CFOs). 审核计划阶段提供信息的准确性，以完成表 3(CFO 风险评估评分)。
- For each of the activities listed in the proposed scope, shall collect and review evidence that the client's management system and procedures, as recorded and implemented, meet the requirements of the CoC CFO Standard. 对于范围内所列的每一项活动，应收集和审查并确认与和客户实施的管理体系和程序符合 CoC CFO 标准要求的证据。
- For clients with multiple sites, the auditor shall cross-check evidence seen at the central office with procedures and activities observed at consumer-facing and operations sites. 对于有多个现场的客户，审核员应将在中心办公室看到的证据与在面向客户和运营场所观察到的程序和活动进行交叉核对。
- During the audit, auditors shall review records relating to the receipt, sale or serving and any applicable physical handling of the products listed in the proposed scope. The auditor should set a time limit for when these records are expected during the audit and raise a non-conformity if this is not met. 审核期间，审核员应审查与所列产品的收货、销售或服务以及任何处理有关的记录。审核员应设定一个时间限制，规定这些记录在审核员审核期间应提交，并在未达到要求时提出不符合项。
- The auditor shall also verify records available at the audit with information that was supplied by the client to the MSC previously. 审核员还应验证客户之前向 MSC 提供的信息作为审核时可用的记录。
- If subcontractors are used, auditors shall verify that appropriate systems are in place to ensure identification of certified products at point of dispatch and receipt. 如果使用分包商，审核员应验证是否有适当的体系以确保在发运和接收点识别认证产品。
- Auditors shall establish that appropriate measures are taken by the client to segregate, identify, and prevent mixing between: 审核员应确定客户已采取适当措施，以隔离、识别和防止以下情况的混淆：
 - Certified and non-certified seafood. 认证和非认证产品。
 - Where relevant, between seafood certified to other recognized certification schemes sharing the CoC Standard. 在相关情况下，通过分享 CoC 标准的其他认可计划来确认认证的海产品。

Interviews 访谈

- Auditors shall interview responsible personnel to verify their competency in understanding and applying the CoC CFO Standard. 审核员应与负责人员面谈，以验证其理解和应用相关 CoC CFO 标准的能力。
- Auditors shall interview at least 1 individual per site audited and shall record their name and role and an assessment of their level of competency in the audit report. 审核员应在每个审核点至少采访 1 人，并在审核报告中记录他们的姓名和角色，以及对他们能力水平的评估。
 - Additional interviews should be carried out as necessary based on the size of the Organization, the complexity of operations and the range of staff who could affect the integrity of certified products. 根据组织的规模、业务的复杂程度和可能影响认证产品完整性的工作人员的范围，必要时应进行额外的面谈。

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- Interviews shall be used to determine if personnel understand the relevant process or procedure which ensures conformity with the CoC Standard. 面谈应用于确定人员是否理解确保符合 CoC 标准的相关流程或程序。
- Interview questions shall not be leading. 访谈问题不能带有引导性

Verifying traceability 追溯验证

- During the audit, auditors shall carry out traceability tests on products that are identified or labelled as certified to verify these products are traceable back to a certified source. 在审核期间，审核员应对认证的产品进行可追溯性测试，以验证这些产品可追溯到认证来源。
 - At consumer-facing sites, the traceability test shall verify that any products sold, served, or labelled as certified at the time of the audit can be traced back to either a certified supplier or deliveries. 在面向消费者的场所，追溯性测试应追溯到在对销售、服务或标记为已认证的任何产品到已认证的供应商或交付过程。
 - For single-site CFO clients, the traceability test shall verify that any products sold, served, or labelled as certified can be traced back to a certified supplier. 对于单场所的 CFO 客户，可追溯性测试应验证追溯到产品销售、服务或标记为认证的产品到已认证的供应商。
- Where the Organization includes operations sites, the auditor shall also trace certified products received at a consumer-facing site from the point of receipt back to the point of purchase, including any internal transfer, processing, transport, subcontractor, or storage steps.
 - The auditor shall carry out at least 1 traceability test involving an operations site during each audit.
 - Additional traceability tests can be carried out based on the auditor's judgement. 审核员可根据判断进行额外的可追溯性测试。
- The total number of traceability tests and sites audited shall be determined in accordance with the guidelines in Table 5.: 审核可追溯性测试和场所总数应根据表 5 的指引来确定。
 - Be sufficient to verify the traceability systems are effectively implemented by the central office and at all sites under the CoC CFO certificate. 充分验证可追溯性系统是由中心办公室和在 CoC CFO 证书下的所有地点有效实施。
 - Ensure that a traceability test is always carried out back to point of purchase for any products selected for product sampling. 确保对选择抽样的任何产品，始终进行追溯性测试，直至采购点。
- Shall collect samples of seafood from certified sources or other substances for the purposes of product authentication testing or verification of conformity. 根据 ASC 要求从认证的来源或其他物质中收集海产品样品，用于产品认证测试或符合性验证。
- Auditors shall use the template in the CoC CFO audit report to complete all information for the traceability test and shall clearly detail how the product can be linked across different traceability records. 审核员应使用 CoC CFO 审核报告中的模板来完成可追溯性测试的所有信息，并应清楚地详细说明产品如何在不同的可追溯性记录之间进行链接。

Product sampling 产品抽样

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- Where a client has been determined to be Standard Risk according to Table 5, the auditor shall collect product samples during surveillance and re-certification audits. 当客户根据表 5 被确定为标准风险时，审核员应在监督审核和再认证审核期间收集产品样本。
- The auditor shall: 审核员应
 - Use Table 6 to determine whether product samples are to be collected at each consumer-facing site. 使用表 6 确定在每个面向消费者的站点收集产品样品。
 - Follow the MSC Seafood Sampling Procedure to determine which species to select for sampling and how to collect the samples. If no Priority or Optional Species are available at any sites audited, the auditor does not need to collect seafood samples but shall record the justification in the audit report. 按照 MSC 海产品取样程序，确定取样的种类和取样方式。如果在任何被审核地点没有优先或可选物种，审核员不需要采集海产品样品，但应在审核报告中记录其理由。
 - For each sample collected, ensure a traceability test has been completed and all product details are recorded in the audit report. 对于所收集的每个样品，确保已完成可追溯性测试，并在审核报告中记录所有产品信息。

Verifying use of the ecolabel, logo and other trademarks 使用生态标签、标识和其他商标验证

- If the client uses the MSC and/or ASC label, or other trademarks, the auditor shall verify that the client is permitted to use trademarks by confirming that the products are covered by a license agreement from MSC and proof of approval from MSC for packaging or menu designs for a sample of products. 如果客户使用 MSC 和/或 ASC 标签，或其他商标，审核员应确认客户已被授权使用商标，确认 MSC 许可协议中包含该产品和 MSC 对产品样品的包装或菜单设计的批准证明。
- The auditor shall verify that the client's products which applies MSC ecolabel must contain a minimum of 95% MSC/ASC certified seafood ingredients in total weight of the seafood content to which this applies, as specified by the non-MSC/ASC certified seafood ingredients rules. 审核员应根据非 MSC /ASC 认证的海产品成分规则的规定，验证客户对于申请生态标签产品的认证产品最少含量为 95%。

Closing meeting 末次会议

- Auditors shall conduct a closing meeting at the conclusion of each audit with the client's representative(s) to verify that the client understands: 审核员应在每次审核结束时与客户代表召开末次会议，以验证客户是否明确:
 - That until its certification status and information, including scope of certification, is displayed on the MSC and/or ASC website, the client is not certified and cannot make any claims concerning certification. 在其认证状态和信息(包括认证范围)显示在 MSC 和/或 ASC 网站上之前，客户尚未获得认证，也不能做出认证承诺。
 - Any actions that the client may have to complete and their timeframes before certification can be awarded. 客户在获得认证之前可能必须按照要求完成整改。
 - Any findings or non-conformities that have been identified during the audit and their likely categorization (subject to approval by LC's decision-making entity), timeframes to address these findings, and the process for verifying their completion. 在审核过程中发现的任何发现或不符合项及其可能的等级(须经 LC 决策组批准)，关闭这些发现或不符合项的时间周期，以及验证其完成情况的程序。
 - Any significant future changes that affect the certification, as specified in the contract. 任

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何影响认证的任何重大变化。

- That the scope, subcontractor and supplier list is correct and agreed. 范围、分包商和供应商名单正确并保持一致。

Evaluation of subcontractors 分包商评估

- LC shall verify how the client will retain full control of each subcontractor. LC 应验证客户如何对每个分包商进行管控的信息。
- Non-certified contract processors or re-packers shall be audited on-site prior to being used by the client for certified product, and thereafter at least annually. 未认证的代加工商或再包装供应商应在进行认证产品之前进行现场审核，此后至少每年进行一次审核。
- During the on-site audit the auditor shall: 在现场审核期间，审核员应
 - Verify that all relevant requirements in the CoC Standard have been met as defined in the audit report. 报告中应写明已验证 CoC 标准中所有相关要求已符合。
 - Carry out an on-site traceability test and input/output reconciliation. 进行现场追溯性测试和输入/输出对账。
 - If the subcontractor is already handling product for the client, cross-check a sample of dispatch and receipt records, product details and volumes from the client and subcontractor. 如果分包商已经在为客户处理产品，交叉核对客户和分包商的发货和收货记录、产品详细信息和数量。
 - Verify that the agreement between client and subcontractor meets requirements. 核实客户和分包商之间的协议是否符合要求。
- The auditor shall audit non-certified storage subcontractors handling certified product at least once during the client's 3-year certificate validity if the subcontractor is: 在客户证书 3 年有效期内，审核员应审核处理认证产品的未认证存储分包商至少一次，如果分包商是：
 - Located in a country with a Transparency International CPI score (cpi.transparency.org), and 位于透明国际(CPI)评分的国家(CPI .transparency.org)
 - Handling product that is part-processed by the client, but not yet in the form in which it will be sold by the client. 处理部分由客户加工，但尚未达到客户销售形式的产品。
- During the audit, the auditor shall verify that the certified products sampled on-site audit requirements can be identified as certified. 审核期间，审核员应现场审核的要求验证抽样的认证产品是否可识别为认证产品。
- In addition, the above, the auditor should audit non-certified subcontractors, when there is any concern relating to product integrity. 除此之外，当存在与产品完整性有关的问题时，审核员应审核未认证的分包商。

8.2.3 Surveillance frequency, additional audits 监督频率，额外审核

- LC shall carry out unannounced, on-site surveillance audits at a minimum of 1 or 1%, whichever is greater, of all their clients each year. LC 应每年对客户进行不事先通知的现场监督审核，审核比例至少为 1 或 1%，以较高者为准。
- LC shall priorities clients that have been identified as high risk for product substitution by the MSC, the MSC's assurance provider, or through receipt of a complaint. LC 应优先考虑被 MSC、MSC 保证供应商或收到投诉确定为产品替代高风险的客户。

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- If not having any clients identified as high risk, or a complaint, LC may use own risk assessment to select clients or choose randomly. 如果 LC 没有确定任何高风险客户，则可以使用风险评估来选择客户或随机选择。
 - At least on an annual basis, LC shall calculate the number of unannounced audits. This number is calculated as 1% of the current number of clients (rounded to the nearest whole number), or 1 if having fewer than 10 clients. 至少每年一次，LC 应计算未事先通知的审计次数。计算为当前客户数量的 1%(四舍五入到最接近的整数)，如果客户少于 10 个，则计算为 1。
 - LC may inform the client of a 6-month surveillance window in which the audit can occur but shall provide no notice of the actual date. LC 可以通知客户 6 个月的监视窗口，在此期间可以进行审核但不应提供实际日期的通知。
 - a) Where a client carries out only seasonal production, the audit window should be reduced as appropriate to reflect this. 当客户只进行季节性生产时应适当减少审核窗口。
 - LC shall record unannounced audits in the scheme database. LC 应在数据库中记录未经通知的审核。
- If conducting an expedited audit by MSC when information has been received indicating a potential risk to the Chain of Custody, but where responsibility is not clear. In this case: 当收到表明监管链存在潜在风险的信息，但责任不明确时 MSC 可以要求 LC 进行加急审计。在这种情况下：
 - MSC will provide LC with a written request to conduct the audit which will include any relevant information or evidence. MSC 将向 LC 提供进行审计的书面请求，其中将包括任何相关信息或证据。
 - LC shall agree with MSC on the full cost of the audit in writing in advance of the audit. LC 应在审核前与 MSC 以书面形式就审核的全部费用达成一致。
 - MSC will reimburse LC for the full cost of the audit. MSC 将向 LC 报销审核的全部费用。
 - MSC can require that these audits be attended by the MSC's assurance provider or a representative of the MSC. MSC 可以要求这些审核由 MSC 的保证商或 MSC 代表参加。
- The MSC can send a request for action to LC when evidence has been received indicating a non-conformity of a client of LC. 当收到证据表明 LC 的客户不符合时，MSC 可以向 LC 发送行动请求。
 - In the case of evidence being received, LC shall risk-assess the evidence and respond to the MSC within 5 days detailing the action to be taken. 在收到证据的情况下，LC 应对证据进行风险评估，并在 5 天内回复 MSC，详细说明要采取的行动。
- Where receiving information outside of an initial, surveillance, or re-certification audit that they judge to be credible evidence of a client's non-conformity with the CoC Standard, LC shall raise a non-conformity against the relevant CoC Standard clause, classify and address the non-conformity and record it in the scheme database. 如果收到首次、监督或再认证审核之外的信息，LC 认为是客户不符合 CoC 标准，则 LC 应针对相关的 CoC 标准条款提出不符合项，对不符合项进行分类和处理，并将其记录在方案数据库中。
- CoC certificate holders shall be selected for unannounced audits on a risk basis as determined by the ASC unannounced audit risk calculator. CoC 证书持有者应根据 ASC 未通知审核风险确定的风险基础，选择进行未通知审核。

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- With less than 100 ASC CoC clients, one (1) additional high-risk ASC CoC client shall be selected for an unannounced audit. 对于少于 100 个 ASC CoC 客户应额外选择一个高风险 ASC CoC 客户进行突击审核。
- With 100 or more ASC CoC clients, two (2) additional high-risk ASC CoC clients shall be selected for an unannounced audit. 对于多于 100 个 ASC CoC 客户的 CAB，应额外选择二个高风险 ASC CoC 客户进行突击审核。
- This audit will be planned remote, not necessary for the audit to occur on-site. 对于这一要求审核没有必要现场进行。

Re-certification

- All CoC certificates shall remain valid, subject to satisfactory performance, for a maximum of 3 years. 所有 CoC 证书应保持有效，最长为 3 年。
- Mextend a client's certificate by up to 90 days in order to accommodate audit scheduling. LC 可将客户的证书延长至多 90 天，以适应审核安排。
- When a certificate expiry has been extended, the certificate validity shall be: 当证书有效期被延长时，证书的有效期应如下：
 - a) The new certificate issue date shall be in line with the re-certification date, and 证书签发日期应与重新认证日期一致。
 - b) The new certificate expiry date shall be calculated three years from the previous expiry date before the extension. This is to ensure an overall certificate validity of a maximum 3 years while maintaining a consistent audit due date calculation. 新证书的到期日从原证书延期前的到期日起 3 年计算。这是为了确保整体证书的有效期最长为 3 年，同时保持一致的审核截止日期计算。
- Shall perform a complete re-certification audit at the end of each certificate's period of validity. 应在每张证书的有效期结束时进行一次完整的再认证审核。
 - The timing of the re-certification audit shall allow enough time for potential non-conformities raised at the re-certification audit to be closed, and for the reissuing of the certificate prior to the certificate expiry date to avoid a lapse in certification. 再认证审核的时间安排应允许有足够的时间处理在再认证审核中发现的潜在不符合项，并在证书有效期之前重新颁发证书，以避免认证失效。
- Re-certification audits may also be unannounced. 重新认证审核也可能事先不通知。
- For CoC Group clients, the site sample plan shall be determined as for initial audits. 对于 CoC 集团客户，应在初始审核时确定现场抽样方案。
- For CoC CFO clients with multiple sites, the site sample plan shall be the same as for surveillance audits. 对于有多个现场的 CoC CFO 客户，现场抽样方案应与监督审核相同。

8.3 Audit findings 审核发现

Audit findings at CoC audits COC 审核发现

- Shall send a summary of all audits non-conformities to the client within 10 working days of the audit. LC 应在审核后 10 个工作日内向客户发送所有审核不符合项汇总。
- Shall raise any non-conformities found at a non-certified subcontractor with the client. LC 应

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向客户提出在非认证分包商处发现的任何不符合项。

- If used trademark without permission, shall raise non-conformities. A copy of the non-conformity shall be sent to MSCI within 7 days via ecolabel@msc.org. 如果发现没有经过许可使用标签，LC 应提出不符合。不符合项应在 7 天内通过 ecolabel@msc.org 发送给 MSCI。
- Where LC shall aware of objective evidence of a client's non-conformity at any point during the certificate cycle, LC shall timely raise a non-conformity and classify it or take a certification decision relative to the nature of the non-conformity. 证书周期内，如果 LC 意识到客户不符合的客观证据，应及时提出不符合并对其进行分类或采取与不符合性质相关的认证决定。
- A court case or other legal action related to the scope of the CoC Standard, 与 CoC 标准范围相关的法庭案件或其他法律诉讼；
- information from the Organization that it or its products are not in compliance/conformance with relevant applicable laws, regulations, ASC standards and/ or requirements. 来自组织的关于其或其产品不符合相关适用法律、法规、ASC 标准和/或要求的信息。

Audit findings at single, multi-site and CFO audits 单场所、多场所和 CFO 审核发现

- Auditors shall classify non-conformities as follows: 审核员应将不符合项分类如下：
 - Minor non-conformity: where the client does not comply with the CoC Standard, but those issues do not jeopardize the integrity of the CoC. 轻微不符合:客户不符合 CoC 标准，但这些问题不会危及 CoC 的完整性。
 - Major non-conformity: where the integrity of the CoC Standard is potentially jeopardized, or in cases where the Organization has not complied with labour eligibility requirements. 重大不符合:当 CoC 标准的完整性受到潜在危害时，或组织未遵守 CoC 默认社会劳工要求。
- For clients certified against the CoC CFO Standard, an incident of selling or identifying non-certified product as certified or with the trademarks at the point of sale or serving to the final consumer shall be considered: 对于经 CoC CFO 认证的客户，在销售点或服务于最终消费者时，将未认证产品销售或标识为已认证或带有该商标的事件：
 - As a major non-conformity if the auditor determines that the cause of the mislabeling was due to an individual not following established internal procedures. 如果审核员确定错误标签是由于没有遵循内部程序，则视为重大不符合。
 - As a cause for suspension in all other cases. 其他情况视为暂停证书缘由。
- For CFO clients, the auditors shall raise all non-conformities only against the central office, even if detected at site level. The site name, address and date of detection shall be recorded in the scheme database. 对于 CFO 客户，审核员应只向总部提出所有不符合项，即使是在分场所发现的。将场所名称、地址和检测日期记录在数据库中。
- LC may close out or regrade non-conformities found during the audit. LC 可以关闭或降级审核期间发现的不符合项。
- Where decision-making team disagrees with auditor classification of non-conformities, LC shall record the rationale for those changes in the scheme database. 如果决策组不同意审核员对不合格的分类，LC 应在数据库中记录更改的理由。

Minor non-conformities 轻微不符合

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- For minor non-conformities raised during initial audits, LC shall not grant certification until the applicant has submitted and implemented an effective corrective action plan to close all minor non-conformities. 对于首次审核期间提出的轻微不符合项，在申请人提交并实施有效的纠正措施计划关闭所有轻微不符合项之前，LC 不得授予认证。
- The corrective action plan shall include a description of the corrective actions to close the non-conformity and the timeframe to implement corrective actions. 纠正措施计划应包括关闭不符合的纠正措施和实施纠正措施的时间表。
- LC shall require that minor non-conformities raised are satisfactorily closed (corrective actions plan effectively implemented) within 60 days, or upgraded to major and closed, before making any certification decision. LC 应要求提出的轻微不符合项在 60 天内关闭(纠正措施计划有效实施)，或升级为重大不符合项并关闭，然后再做出任何认证决定。
- Certification shall not be issued until all the minor non-conformities are effectively closed as per the corrective action plan. 根据纠正措施计划，所有轻微不符合项被有效关闭后，方可签发认证证书。

Major non-conformities 严重不符合

- Shall require that major non-conformities are closed as per the following timeframes: 应要求按照以下时间表关闭严重不符合项：
 - Major non-conformities raised during initial audits shall be closed before granting certification. If within 90 days of the date of the initial audit, not closing the major non-conformity, a full re-audit shall be required. 在首次审核期间提出的严重不符合项应在授予认证之前关闭。如果在初始审核之日起 90 天内，不能关闭主要不符合项，则需要进行全面的重新审核。
 - Major non-conformities raised during surveillance or re-certification audits (or any other time after initial certification) shall be closed within 30 days of detection. If the major non-conformity is not closed within the 30-day maximum timeframe, suspension or withdrawal of the certificate and a full re-audit shall be initiated. 在监督或再认证审核期间(或初始认证后的任何其他时间)发现的严重不符合项应在发现后 30 天内关闭。如果严重不符合项未在 30 天内关闭，应暂停或撤销证书，并重新进行全面审核。
- Shall inform the client that an effective action plan is required in order to close major non-conformities. 应通知客户需要有效的行动计划，以关闭严重不符合项。
 - The corrective action plan submitted by the client shall include root cause of the non-conformity, the corrective action intended to satisfactorily close the non-conformity and an appropriate timeframe to implement corrective action. 客户提交的纠正措施计划应包括不符合的根本原因、关闭不符合项的纠正措施和实施纠正措施的计划。

Additional requirements for major non-conformities at CoC CFO audits 对 CoC CFO 审核中严重不符合项的额外要求

- For CFO clients with multiple sites, where the number of sites with major non-conformities detected at surveillance or re-certification audits equals or exceeds the reject numbers in CoC CR Table 9, the certificate shall be suspend as per requirements 对于拥有多个场所的 CFO 客户，如果在监督或重新认证审核中发现的严重不符合场所的数量等于或超过表 7 中的不合格数，应按要求暂停证书。
- For CFO clients, where major non-conformities are detected at a surveillance or re-certification audit, and the certificate is not suspended, a follow-up site audits within 90 days

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of the original audit shall be carried out. 对于 CFO 客户，如果在监督或重新认证审核中发现严重不符合项，且证书未被暂停，LC 应在审核后 90 天内进行后续现场审核。

- Shall complete a new risk assessment prior to the follow-up audit to determine the risk level and audit activities. 应在跟踪审核前完成新的风险评估，以确定风险水平和审核活动。
- Site audits should include at a minimum a review of the non-conformity, a traceability test, and personnel interviews, but do not need to cover the full CoC CFO Standard. 现场审核应至少包括对不符合项的评审、可追溯性测试和人员访谈，但不需要涵盖完整的 CoC CFO 标准。
- The audited sites shall include at least each site where a major non-conformity was detected, and: 被审核的场所应至少包括每一个发现严重不符合的场所，并且：
- For clients with 6 or more sites, 1 additional site should be audited. 对于有 6 个或更多场所的客户，应额外审核 1 个场所。
- More sites may be audited where it is necessary. 如认为有必要，可审核更多场所。
- Where an additional major non-conformity is raised against the same clause in the CoC CFO Standard during the follow-up audits, the certificate shall be suspended as per requirements. 在后续审核期间，如果针对 CoC CFO 标准中的同一条款发现了其他严重不符合项，应按要求暂停证书。
- Where a major non-conformity is raised against a different clause, or clauses, during the follow-up audits, the related requirements shall be followed. 在跟踪审核期间，如果针对一个或多个条款提出了严重不符合项，仍需要遵循上述关于严重不符合项的要求。

Audit findings at CoC Group audits COC Group 审核不符合项

Grading of non-conformities found on sites 对现场发现的不符合进行分级

- Shall classify non-conformities detected during site audits into one of the following 3 categories: 应将现场审核中发现的不符合项分为以下 3 类之一：
 - Site critical – where a product is found that is labelled or has been sold as certified but is shown not to be certified. 关键不符合-发现产品标签或已销售为认证，但显示未经过认证。
 - Site major – where there is a system breakdown that could result in non-certified products being sold as certified. 主要不符合-系统故障可能导致未经认证的产品作为认证产品销售。
 - Site minor – where there is a system breakdown that is unlikely to result in non-certified product being sold as certified. 轻微不符合——系统故障不太可能导致未认证产品作为认证产品销售。
- Where major and/or minor non-conformities are identified during site audits, a further non-conformity shall be raised against the management system of the central office if the non-conformity is systemic and indicates a possible failure of group- level control or verification systems and/or has the potential to impact more than 1 site. 如果在现场审核期间发现了严重和/或轻微不符合项，如果不符合项是系统性的，并且表明集团层面的控制或验证系统可能失效，和/或有可能影响到 1 个以上的站点，LC 应仅针对中心办公室的管理系统

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升级该不符合项。

- Shall determine whether the number of sites with major non-conformities exceeds the limit in Table 8, and if so, raise a group critical non-conformity. LC 应确定严重不合格场所的数量是否超过表 8 的限制，如果超过，则应确定集团为关键不合格场所。
 - Where a stratified sample is audited (i.e., 2 or more sub-groups are sampled): 分层抽样审核时(即抽样 2 个或更多子组)
 - a) The number of sites with major non-conformities from each sub-group shall be added together. 应将各子组中存在严重不符合的场所数量相加。
 - b) The number of sites sampled from each subgroup shall be added together. 将每个子组抽样的场所数量相加。
 - c) The total number of sites with major non-conformities and the total number of sites sampled shall be used to determine based on the above requirements. 严重不符合场所的总数和抽样点的总数应根据以上要求进行确认。

Site Critical non-conformities 关键场所不符合

- If a site critical non-conformity is identified during a site audit, LC shall determine if the non-conformity is either: 如果现场审核期间发现了关键不符合，LC 应确定该不符合是否为:
 - A site-specific non-conformity, which is limited to the site impacted and does not indicate a failure of the group's management or control systems, or 特定场所的不符合，仅限于受影响的场所，并不表明集团管理或控制系统的失效。
 - A systemic non-conformity, which indicates a possible or likely failure of group-level control or verification systems, and/or has the potential to impact more than 1 site. 系统性不符合，表明组级控制或验证系统可能发生或可能发生的失败，和/或有可能影响 1 个以上的场所。
- If the critical non-conformity is determined to be systemic, a critical non-conformity shall be raised to the Group Standard management system and against the group's central office. 如果确定关键不符合是系统性的，应根据集团标准要求对集团总部提出严重不符合。
- If the critical non-conformity is determined to be site-specific, a major non-conformity shall be raised to the same CoC Group Standard clause against the group's central office. 如果确定关键不符合是现场特定的，应向集团总部提出对同一标准条款的主要不符合。
 - If site-specific critical non-conformities are detected at 2 or more sites during an audit, shall: 如果在审核期间 2 个或 2 个以上的场所发现了关键不符合，LC 应:
 - a) For a stratified group, in addition to the requirements above, suspend all sites in the stratum/sub-group where non-conformities are detected. 对于分层组，除上述要求外，暂停该层/子组中检测到不合格的所有场所证书。
 - b) For a non-stratified group, raise a group critical non-conformity. 对于非分层组，对集团提出一个关键不符合。

Grading of non-conformities found against the group's central office 对集团不总发现的不符合进行分级

- LC shall classify any non-conformity raised against the Organization's central office per 1 of the following categories: LC 应将向集团总部提出的任何不符合按以下标准进行分类
 - Group critical – where:
 - a) There is a complete breakdown of the management system such that the

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Organization's assurances of site conformity with the CoC Group Standard cannot reasonably be relied upon, or 管理体系完全崩溃，组织无法保证现场是否符合 CoC 集团标准。

- b) Site critical non-conformities have also been raised against the central office as the above requirements. 根据以上要求，向总部提出了现场重大不符合或
 - o Group major – where there is a breakdown of activities related to 1 element of the Organization's internal management or auditing system. 对与组织内部管理或审核系统的一个组成部分有关的活动进行了细分。
 - o Group minor – where there is a partial lapse or partial breakdown of activities related to 1 element of the Organization's management or auditing system. 与本组织管理或审核系统的一个要素有关的活动部分失效或部分中断。
 - o Group suspension 集团证书暂停：
 - c) There is a group critical non-conformity raised, or 提出了一个关键不符合。
 - d) The number of sites, where 1 or more site major non-conformities raised, meets or exceeds the reject number shown in Table8, or 提出一个或多个主要不符合项的场所数量达到或超过表 8 中所示的拒绝数量。
 - e) There are more than 4 group major non-conformities raised during any 1 audit. 在任何一次审核中提出的集团严重不符合不少于 4 项。

Actions following non-conformities 不符合项跟踪

- LC shall not grant certification until all minor and major non-conformities are closed. 在所有轻微和严重不符合项关闭之前，LC 不得授予认证。

Actions following site non-conformities 现场不符合跟踪

- LC shall verify that the group has taken actions on non-conformities raised on individual sites in the following manner according to their severity: LC 应根据不符合的严重程度，确认集团已对个别场所提出的不符合采取以下措施：
 - o Site critical non-conformities shall result in the Organization immediately suspending the site from the group until the non-conformity has been fully closed. 现场严重不符合会要求组织立即将该场所从集团中暂停，直至不符合完全关闭。
 - o Site major non-conformities shall be closed within 30 days of their identification. If not closed within this timeframe, the site shall be immediately suspended from the group. 现场严重不符合项应在发现后 30 天内关闭。如果在此时间内未关闭，该场所将立即从集团中暂停。
 - o Site minor non-conformities shall be closed within 60 days of their identification. If not closed within this timeframe, the non-conformity shall be immediately re-graded as site major, and 30 days given to close it. 现场轻微不符合项应在发现后 60 天内关闭。如果在此时间内未关闭，不符合应立即升级为现场严重不符合，并在 30 天内关闭。

Actions following central office non-conformities 集团总部不符合跟踪

- LC shall address non-conformities raised against the group's central office in the following manner according to their severity: LC 应根据不符合的严重程度，以以下方式向集团中心办公室提出的不符合：
 - o Group critical non-conformities shall result in the immediate suspension of the group.

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集团关键不符合应立即暂停该集团的资格。

- Group major non-conformities shall be closed within 30 days of their identification. If not closed within this timeframe, it shall result in the immediate group suspension. 集团严重不符合应在发现后 30 天内关闭。如未在此时间内关闭，集团证书应立即暂停。
- Group minor non-conformities shall be closed within 90 days of their identification. If not closed within this timeframe, the non-conformity shall be re-graded as a group major non-conformity, and 30 days given to close it. 集团轻微不符合应在发现后 90 天内关闭如未在此期限内关闭，不符合项应重新升级为集团严重不符合项，并在 30 天内关闭时间。

8.4 Certification decision 认证决定

- LC may recommend an applicant for certification if no non-conformities are observed at an audit or When all the non-conformities, minor and major were closed within the required timeframes : 如果在审核中未发现不符合或在规定的时间内关闭所有不符合 LC 可以推荐申请者获得认证:
- LC shall update the scheme database with: LC 应更新数据库:
 - The client's confirmed and/or updated scope. 客户确认和/或更新的范围。
 - List of subcontractors. 分包商名单。
 - List of suppliers. 供应商名单。
 - List of sites (where applicable), information about the subgroup, and the site status. 场所列表(如适用)、子组信息和场所状态。
 - Details of activities undertaken by the client to implement the corrective action plan and/or close out major non-conformities. 为实施纠正措施计划和/或消除主要不符合而进行整改的详细情况。
- LC shall:
 - Make a decision on whether the scope of the certificate should include all categories listed in the potential scope, based on the on-site scope of the client. 根据客户现场情况决定证书的范围。
 - Make a decision on certification for all scopes (ASC, MSC and/or Seaweed) included in the audit and communicate this decision to the client within 30 days of the audit date, unless further evidence has been requested. 对审核中包括的所有范围 (MSC/ASC 和/或海藻)的认证作出决定，并在审核之日起 30 天内将该决定告知客户，除非要求提供进一步的证据。
 - Review and confirm the grading and corrective evidence of any non-conformity found during the audit. If further evidence has been requested from the client to demonstrate that non-conformities were satisfactorily closed, LC shall make a decision on certification for all scopes (ASC, MSC and/or Seaweed) included in the audit within 30 days of receiving this evidence. 评审并确认审核过程中发现的任何不符合等级和整改证据情况。如果客户需进一步的证据证明不符合已关闭，LC 应在收到该证据后 30 天内对审核中包括的所有范围(ASC、MSC 和/或海藻)做出认证决定。
- For CoC Group clients and CFO clients with multiple sites, in addition to the above, LC shall not make a decision on certification or re-certification until they are satisfied that: 对于拥有多个场所的 CoC 集团客户和 CFO 客户，除上述内容外，LC 在满足以下条件之前不得作

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出认证或再认证的决定：

- The sample table and sampling plan was appropriately selected for the client. 为客户选择合适的抽样表和抽样方案。
- All requirements of the CoC Group or CFO Standard have been audited, either at that site or, if centrally managed, at the central office. CoC 集团或 CFO 标准的所有要求都已在现场进行审核，如统一管理则在中心办公室进行审核。
- Evidence contained in audit reports demonstrates that the client is operating in a competent manner. 审核报告中包含的证据表明客户按照标准要求运营。
- Sites are in conformity with requirements. 场所均符合要求。
- Any non-conformities have been closed within the given timeframes. 任何不符合已在规定时间内关闭。
- For all CoC clients, LC shall, within 10 days of the certification decision: 对于所有 CoC 客户，LC 应在认证决定后 10 天内：
 - Submit the finalized CoC audit report to the client. 向客户提交最终的 CoC 审核报告。
 - ensure that the client has signed off on the accuracy of specific sections of the CoC audit report, including the list of certified suppliers, any statements made by the certificate holder indicating that the certificate holder was not handling any certified products at the time of the audit, the complete list of the certificate holder's purchases of certified products or the list of certified batches processed since the previous audit : 应确保客户已对 CoC 报告特定部分的准确性签署认可，包括供应商清单、证书持有者所作的任何声明表明证书持有者在审核时没有处理任何认证产品和持证者购买认证产品的完整清单或自上次审核以来处理的认证批次清单。
 - Record the following details onto the scheme database: the certification decision and CoC certificate for initial and re-certification audit. 认证决定和首次和再认证审核的 CoC 证书应记录到数据库中。
 - Issue the certificate(s) to the client for certification or re-certification audits. 向客户签发认证或再认证证书。
 - i. For CoC Group and CFO certificates, LC shall issue the certificate to the central office under the name of the group or Organization. 对于 CoC Group 和 CFO 证书，LC 应以集团或组织的名义向中心办公室出具证书。
 - ii. When a client's scope of certification has been extended to include products certified under other recognized certification schemes that share the CoC Standard, LC shall issue a separate certificate for each scheme with the relevant scopes. 当客户的认证范围扩展到其他认可的、CoC 认证方案下的认证产品时，LC 应针对每个方案分别签发相应范围的证书。
 - iii. When 1 certificate is issued on a different date than the other, the second certificate shall be issued with the same expiration date as the first certificate. 当一份证书的签发日期与另一份证书的签发日期不同时，第二份证书应与第一份证书的签发日期相同。

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8.5 Certificate management for CoC clients CoC 证书管理

The MSC/ASC CoC certificate management process has been updated and pls see LC-MSC-WI-04 for reference. MSC/ASC CoC 证书管理流程图已更新，具体请参考 LC-MSC-WI-04。

- LC shall issue a certificate in English. If issuing certificates in other languages as, providing they bear a disclaimer in at least 10-point font that the certificate is an unverified translation of the English certificate, and in case of differences the English version shall take precedence. LC 应签发英文证书，如果签发其他语言证书，需要以至少 10 号字体承担免责声明，说明该证书是未经验证的翻译版本。如果存在差异，应优先考虑英文版本。
- LC shall issue CoC certificates with a maximum validity period of 3 years from the issue date on the MSC scheme database. LC 签发 CoC 证书的最长有效期为 3 年，从 MSC 数据库的签发日期算起。
- CoC certificates shall include: CoC 证书应包括:
 - A statement confirming that the certificate holder's certified activities conform to the requirements of the relevant MSC /ASC CoC Standard. 确认证书持有者的认证活动符合相关 MSC.ASC CoC 标准要求的声明。
 - A statement to the effect that the buyer of the fish or fish products sold as certified may, after gaining approval to do so from MSCI, apply the trademarks to certified products within their scope of certification. 获得 MSCI 的批准后经认证的产品可以在其认证范围内使用该商标的声明。
 - A statement referencing the certification scheme's website as the authoritative source of information on the validity of the certificate as well as its scope. 指明认证网站可以查询划的证书范围及有效性的声明。
 - Name and address of certification holder.
 - The date of expiry. 证书的有效期。
 - The latest published version of the MSC and/or ASC label shall be no smaller than the logo of LC. 最新发布的 MSC 和/或 ASC 标签版本不得小于 LC 的标识。
 - For client handling seaweed, the label selected should be based on the seaweed production category (i.e. MSC label for wild-caught – category A, ASC for farmed – category Bii and Cii, and ASC for enhanced – category Bi and Ci). 对于海藻客户，所选择的标签应基于海藻生产类别(即野生捕捞的 MSC 标签- A 类，养殖的 ASC 标签- Bii 和 Cii 类，增殖型的 ASC 标签- Bi 和 Ci 类)。
 - For CoC certificates, a unique CoC certificate code that is automatically generated by the certification scopes (i.e. MSC, ASC or Seaweed CoC) on the MSC scheme database. 对于 CoC 证书，由 MSC 数据库上的认证范围(即 MSC、ASC 或 Seaweed CoC)自动生成的唯一 CoC 证书代码。
- CoC Group certificates: 集团 COC 证书
 - The central office shall be issued a certificate under the name of the group. 总部办公室以集团名义出具证书。
 - A list of the sites or a website link to the current list of sites shall be included on the group certificate or on a schedule attached to it. 应在集团证书或其附表中列入场所清单或与当前场所清单的网站链接。

Interim certification 临时认证证书

- An interim certificate MSC approved may be issued for up to 90 days. MSC 批准临时证书签发时长为 90 天。

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- If after 90 days from the initial remote audit, an on-site follow-up audit has not been completed and a CoC certificate has not been issued, LC shall: 如果在首次远程审核后 90 天内，现场跟踪审核尚未完成且未签发 CoC 证书，LC 应
 - Cancel the certificate in the database. 取消数据库中的证书。
 - Inform the applicant that the interim certificate has expired. 通知申请者临时证书已过期。
 - Inform the applicant that any use of the trademarks and/or claim of CoC certification shall cease immediately. 通知申请者立即停止对商标和/或 CoC 认证要求的任何使用。

Changes to the certificate 证书变更

- LC shall check continued eligibility where a change to the certificate adds a new entity. 当证书变更增加新实体时，LC 应检查其是否有资格。
- LC shall inform the client that for any changes to scope, suppliers, subcontractors, product certified to another certification scheme, or contact details, or for an organisation with multiple sites, an increase in total number of sites by more than or equal to 25% since the previous audit. the client should notify the LC as detailed within 10 days. LC 应通知客户，对于范围、供应商、分包商、其他认证的产品或联系人方式的任何变更，以及对于拥有多个站点的组织，站点总数自上次审核以来增加了 25% 以上的，客户应按照规定在 10 天内通知 LC。
- In the event of the client adding a new non-certified subcontractor, the audit the subcontractor is required. 如果客户增加新的非认证分包商，LC 需要对分包商进行审核。
- For CFO clients, LC shall use its own judgement to determine if further on-site audits are required when notified that: 对于 CFO 客户，当被告知以下情况时，LC 将自行判断是否需要进一步的现场审核。
 - The number of sites within a CFO certificate has increased by more than or equal to 25% CFO 证书内的场所数量增加了 25% 以上。
 - The new operations site(s) is involved in processing, packing or repacking of certified product. 新的场所涉及认证产品的加工、包装或重新包装。
 - The new site(s) operates in a new country. 新场所在一个新的国家。
- On receiving a request for an extension to scope that includes new activities, or the first scope extension to handle products certified to recognized certification schemes that share the CoC Standard, LC shall: 收到包括新活动的范围变更请求，或首次范围变更以处理 CoC 标准认证的产品时，LC 应:
 - Review available information. 评审现有信息。
 - Consider if the client's existing management system is suitable for the proposed new scope of operations. 考虑客户现有的管理体系是否适合增加新业务范围。
 - Consider if eligibility for the respective version of the CoC Standard will be maintained. 考虑是否保留相应版本 CoC 标准的资格。
- a) If a client is no longer eligible to be certified under the same version of the CoC Standard, LC shall inform the client they must be re-certified against the appropriate CoC Standard within 6 months. 如果客户不再可以根据同一版本的 CoC 标准进行认证，LC 应通知客户必须在 6 个月内根据相应的 CoC 标准

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进行重新认证。

- Consider if the client is no longer eligible for remote audits and determine whether future audits will need to be on-site. 考虑客户是否可以远程审核，并确定将来是否需要进行现场审核。
 - Decide whether an on-site audit is required before the scope can be extended and record the rationale for this decision. 决定是否需要在扩大范围之前进行现场审核，并记录理由。
 - Notify the client within 10 days of its decision. 在作出决定后 10 天内通知客户。
 - For client handling seaweed, obtain confirmation that they have signed the Seaweed Partnership Agreement before certification can be granted. In the case of an extension, to also include seaweed in their scope of the certificate, 对于处理海藻的客户，在获得认证之前，必须确认他们已经签署了海藻合作协议。在延期的情况下，海藻也包括在其证书范围内。
- Upon approval of the first scope extension for the client to buy product certified against recognized certification schemes that share the CoC Standard, LC shall issue a certificate against this scheme and update information in the relevant scheme's database. 客户购买 CoC 标准认证的产品的首次范围扩大获得批准后，LC 应签发证书并更新相关数据库中的信息。
 - LC shall notify the client within 10 days of the certificate scope extension. LC 应在证书范围扩大后 10 天内通知客户。
 - LC shall not process an extension of scope to add products certified under another scheme into the client's CoC scope if the client has a valid CoC certificate issued by another CAB. 如果客户拥有由其他认证机构签发的有效 CoC 证书，则 LC 不得扩大范围以将其他方案认证的产品添加到客户的 CoC 范围中。
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- LC shall update the scheme database³ within 10 days of a certificate lapse or a reported change to scope/Subcontractor/Suppliers/New CoC contact person/Sites: LC 应在证书失效或报告变更后 10 天内更新方案数据库。
 - LC should update and document the risk assessment and the sample table and plan for the client. LC 应更新并记录风险评估、样本表和客户计划。
 - LC shall evaluate any new sites and subcontractors against the MSC Labor Eligibility Requirements. LC 应根据 MSC 劳工资格要求评估任何新场所和分包商。
 - LC shall notify the client within 10 days of a decision to add a new site, cancel a certificate or extend a certificate scope. LC 应在决定增加新场所、取消证书或扩大证书范围后 10 天内通知客户。
 - When adding a new site to a single or multi-site certificate, LC shall follow the same process as for a new applicant. This includes an on-site audit before adding the site to the existing certificate, unless the new site meets the requirements. 在单场所或多场所证书中添加新场所时，LC 应遵循与新申请者相同的流程。这包括在添加到现有证书之前进行现场审核，

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除非新场所满足标准要求。

Suspension or withdrawal of certification 证书暂停和撤销

- LC may suspend or cancel a certificate for a contractual or administrative reason, eg: Late payment of LC invoices. Delay in the audit schedule due to unforeseen circumstances. 由于合同或行政原因，LC 可以暂停或取消证书，如发票的延迟付款，由于不可预见的情况导致审计计划延迟等。
- There has been a demonstrable breakdown in the Chain of Custody caused by the client's actions or inaction, LC shall suspend a CoC certificate and determine if the break in integrity of the certified supply chain was intentional and/or systematic. 由客户的作为或不作为而导致监管链出现明显的断裂，LC 应暂停证书并确认供应链的完整性破坏是否是故意的和/或系统性的。
- If the cause of the suspension is determined to be intentional and/or systematic, LC shall set the period of suspension at a minimum of 6 months and verify activities include monitoring the activities. 如果暂停的原因被确定为故意和/或系统性的，LC 应将暂停期限定为至少 6 个月并对被暂停客户的活动进行验证。
 - Prior to accepting that the corrective action has been effective, shall perform an on-site expedited verification audit and at a later date perform a second on-site unannounced audit as part of the regular surveillance audit program i.e. surveillance or re-certification audit. 在接受有效纠正措施之前，应进行现场未通知验证审核，并在稍后进行第二次现场突击审核，作为常规监督审核计划的一部分，即监督或再认证审核。
- The client does not agree to allow LC to hold an audit within the required timeframe specified in surveillance audit and recertification. 客户不同意允许 LC 在要求的范围内进行监督审核和再认证。
- The client has sold products as certified (or under-assessment), which are shown not to be certified (or under-assessment), except for the following cases: 客户销售的产品已获得认证(或已评估)，但未显示获得认证(或评估)，但下列情况除外：
 - LC shall not suspend a CoC CFO certificate if the conditions of serving to final consumer. 如果 CoC CFO 证书提供给最终消费者的条件不符合，LC 不得暂停 CoC CFO 证书。
 - LC shall not suspend an entire CoC Group certificate if the requirements in only limited the specific site, not indicate a failure of group or only subgroup. 如果要求仅在特定场所并没有显示集团或子组失败，LC 不应暂停整个 CoC 组证书。
- The client cannot demonstrate that products labelled or sold as certified are in fact certified. 客户不能证明标签或销售的产品是经过认证的产品。
- The client has not satisfactorily addressed any major non-conformity within the specified timeframe. 客户没有在指定时间内关闭严重不符合。
- MSC1 has withdrawn a certificate holder's license or other agreement to use the trademarks, and following that, the certificate holder does not comply with MSC1 instruction within stated timeframes. MSC1 已撤销证书持有者使用该商标的许可证或其他协议，且之后证书持有者未在规定的时间内遵守 MSC1 的指示。
- For clients handling seaweed, the MSC1 has withdrawn their Seaweed Partnership Agreement. 对于处理海藻的客户，MSC1 已撤销其海藻合作协议。
- The client does not meet the MSC's Labor Eligibility Requirements. LC shall set the period of suspension for a minimum of 3 months or until the client is in conformance with the specific requirements on forced and child labor found within the MSC Labor Eligibility Requirements,

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whichever period is longer. 客户不符合 MSC 的劳工资格要求应暂停证书，暂停期限应设定为至少 3 个月，或直到客户符合 MSC 劳工资格要求，以较长的时间为准。

- If the Zero Tolerance (amfori BSCI) or Business Critical (SEDEX SMETA) findings of third-party labour audit are not resolved within 30 days, LC shall suspend a certificate holder as requirements. 如果第三方劳工审核的零容忍(amfori BSCI)或关键业务(SEDEX SMETA)发现未在 30 天内解决，LC 应按要求暂停证书持有者证书。
- If any relevant requirements on non-conforming product in the CoC Standard have not been followed, or the corrective actions are not determined to be effective, the LC shall suspend the certificate. 如果未遵循 CoC 标准中对不合格品的任何相关要求，或未确定纠正措施有效，LC 应暂停其证书。
- For CoC Group clients: CoC 集团客户：
 - The client has had a group critical non-conformity raised, or 顾客已提出集团关键不符合，或
 - The number of sites, where 1 or more site major non-conformities raised, meets or exceeds the reject number, or 提出一个或多个主要不符合的场所数量达到或超过拒收数量。
 - There are more than 4 group major non-conformities raised during any 1 audit. 在任何一次审核中提出的集团严重不符合不少于 4 项。
- For CoC CFO clients: CFO 客户
 - Client has exceeded the reject number of major nonconformities as described equal or exceeds the reject numbers. 客户已超过所规定的主要不符合的拒绝数量等于或超过拒绝数量。
 - Client has an additional major non-conformity raised against the same clause at a follow-up site visit. 在后续的跟踪审核中客户有额外的严重不符合。
 - LC shall suspend an individual site of a CoC Default Standard multi-site certificate if LC determines the reason for suspension to be site-specific without an impact on the other certified sites. 如果 LC 确定暂停的原因是特定场所，则 LC 应暂停 CoC 多场所证书的单个场所，而不会影响其他认证场所。
- If the client identifies and reports an issue of mislabeling or non-conforming product, the certificate shall not be suspended subject to the client having followed the non-conforming product procedure in the CoC Standard. 如果客户发现并报告了错误使用标签或不合格产品的问题，客户在遵循 CoC 标准中的不合格产品程序的前提下，证书不会被暂停。
 - LC shall verify the effectiveness of these corrective actions within 30 days of first notification about the issue. LC 应在第一次通知后 30 天内核实纠正措施的有效性。
- If a CoC certificate is suspended, LC shall, on the date of suspension: 如果 CoC 证书被暂停，LC 应在暂停之日：
 - Inform the MSC of any potential impacts of the suspension on relevant Chains of Custody of which it is aware. 通知 MSC 暂停对 CoC 的任何潜在影响。
 - Inform the client of the suspension and instruct them: 通知客户暂停
 - Not to sell any products as certified from the date of suspension. 自暂停之日起，不得销售认证的任何产品。
 - To advise all sites of the suspension (if relevant). 将暂停通知所有场所(如相关)
 - a) To advise existing and potential customers in writing of the suspension within 4 days. 在收到通知 4 天内以书面形式通知现有客户和潜在客户。

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- b) Final consumers purchasing certified products do not need to be notified. 不需要通知购买认证产品的最终消费者。
 - c) To keep records of advice to customers. 保存对顾客的记录。
 - d) Not to make any claims of certification from the day of suspension. 从暂停之日起不再有任何认证要求。
- Record the suspension on the MSC scheme database within 4 days of the suspension, including the clause the suspension is raised against/ a description of evidence for suspension/ change of certificate status: 在暂停后 4 天内将暂停记录在 MSC 数据库中, 包括提出暂停依据的条款和暂停说明及变更证书状态。
 - Suspend the certificate until such time that the cause of the suspension has been fully addressed, or for a 6-month minimum period if relevant. 暂停证书, 直至暂停原因得到充分解决, 或至少暂停 6 个月(如有关)。
 - Instruct the client to provide a documented and acceptable corrective action plan including a binding timeframe for addressing the cause of suspension, which being able to address the cause(s) for suspension, within 30 days from the date of suspension. 要求客户在暂停之日起 30 天内提供一份可接受的纠正措施计划以解决暂停的原因。
 - Verify the effectiveness of the corrective action once informed by the client of its completion. 客户通知纠正措施完成后验证其纠正措施的有效性。
- When LC has verified that the CoC client has addressed the reason for suspension, LC shall: 当核实 CoC 客户已解决暂停的原因时, LC 应:
 - Update and close out the suspension on the MSC scheme database within 4 days following reinstatement, with details on how the cause of suspension has been satisfactorily addressed and prevented. 在恢复证书后的 4 天内, 更新 MSC 数据库中的暂停服务并详细说明如何关闭解决和防止暂停服务的原因。
 - Reinstate the certificate. 恢复证书。
- If the verification of the effectiveness of the corrective actions to address the reason for suspension in the required timeframe cannot be concluded, LC shall withdraw the certificate. 如未能在要求的时间内对纠正措施的有效性进行验证, LC 应撤销证书。
- Determine whether the client has had their certificate suspended for a second time within the period of validity of the certificate, in which case LC shall: 确定客户的证书是否在证书有效期内第二次被暂停, 在这种情况下 LC 应
 - Withdraw the certificate on the scheme database within 4 days of such second suspension and record the cause of certificate withdrawal in the comment box. 第二次暂停后 4 天内, 在数据库中撤销证书并在评论框中记录撤销证书的原因。
 - Instruct the client that they may not reapply for CoC certification for 2 years from the date of certificate withdrawal. 告知客户自撤销证书之日起 2 年内不得重新申请 CoC 认证。
- If certificate suspended, the certificate holder does not submit an acceptable corrective action plan within 30 days, withdraw the certificate. 如果证书持有者在 30 天内未提交可接受的纠正措施计划, 则撤销证书。

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Transfer of a certificate 证书转机构

- LC shall respect a client's request to change their CAB, either prior to or after the issue of a certificate. LC 尊重客户不管是在颁发证书之前或之后更改其 CAB 的请求。
- If a certificate holder wishes to change CABs, LC shall exchange information about the certification with the succeeding CAB. 如果证书持有者希望更改 CAB，LC 应与新的 CAB 交换有关认证的信息。
- When an application for transfer from a certificate holder LC shall conduct a pre-transfer review of the information provided: 当收到转机构申请时，LC 应：
 - Shall record the transfer request. 应记录转机构申请。
 - Review the reasons for the requested transfer. 确认转机构的原因。
 - Confirm with the certificate holder that the information required for the transfer, including the previous report and corrective evidence of findings of previous audit. 与证书持有者确认他们需要提供转机构所需的信息包括最新一次的审核报告和审核的不符合项整改证据。
 - Receive a non-disclosure agreement from the certificate holder or have a non-disclosure agreement, to provide permission for LC to receive CoC certificate holder's data from the current CAB. 应获得证书持有者的保密协议，允许 LC 从当前 CAB 接收 CoC 证书持有者的数据。
 - Inform the certificate holder that only recognize the current certificate and its status of valid, cancelled, suspended or withdrawn until such time as the current CAB changes the certification status in the MSC scheme database. 通知证书持有人，MSC 只承认当前证书及其有效、取消、暂停或撤销的状态，直到当前 CAB 更改了数据库中的证书状态
 - Review any relevant information, such as: the certificate holder's activities are within the scope of the succeeding accreditation/The certificate is valid (authenticity, duration, scope)/the status of outstanding non-conformities and corrective actions or conditions / any information impacting the integrity of certification/ any complaints received and actions taken/ the stage in the current certification cycle. 其他信息：证书持有者的认证活动范围/有效的证书/不符合项和纠正措施的状态/已知任何影响客户认证完整性的信息;投诉及采取的措施/当前认证阶段。
 - Agree the approach for contacting the current CAB and request any information the certificate holder was unable to provide. 同意联系当前的 CAB 并要求当前提供任何证书持有者无法提供的信息。
 - If the certificate holder does not approve per the above information and cannot provide the information, LC shall decline the transfer. 如果证书持有者不能提供相关信息，LC 可以拒绝转机构申请。
 - Depending on information from the pre-transfer review, LC shall decline the transfer or propose to accept the transfer and: 根据转机构前对申请信息预审核，LC 将建议接受转机构申请或拒绝：
 - a) Treat the certificate holder as a new client and conduct a full assessment or audit, or 将证书持有者视为新客户，并进行全面评估或审核;或
 - b) Conduct a partial on-site or remote assessment/audit, focusing on identified problem areas and/or on areas where information is deficient, or 进行部分现场或远程评估/审核，尤其是识别问题区域和/或信息不足的区域，或
 - c) If no risks are identified during the pre-transfer review, continue with the certificate holder's existing surveillance program, or 如果在转机构前的预审核期间没有发现风险，则继续进行证书持有者现有的监督程序，或者

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- d) If the certificate is suspended, follow any remaining suspension requirements for the certificate holder. 如果证书被暂停，请按照本手册暂停证书部分要求进行。
- Any action(s) proposed and the reasons for taking them shall be explained to the certificate holder, who shall be given an option to accept or reject the proposed action(s) and to decide whether to proceed with the transfer. 应向证书持有者解释转机构中提出的所有建议的原因，由证书持有者决定是否继续进行转机构。
 - If the certificate holder does not accept the proposed actions, LC shall advise the certificate holder and the current CAB that the transfer is declined. 如果证书持有人不接受建议，LC 应告知证书持有者和当前的 CAB 已拒绝转机构。
 - If the certificate holder accepts the proposed actions, LC shall instruct the certificate holder to write to their current CAB to confirm the intent to transfer. 如果证书持有人接受建议，LC 应告知证书持有者写信给当前的 CAB 以确认转机构。
 - If accept transfer, LC shall contact the current CAB and client to agree on the transfer date (the “agreed transfer date”) on which all rights and obligations for maintaining the certificate will pass from the current CAB to LC. LC 应与当前 CAB 和客户联系，商定转机构日期(“约定转机构日期”)，以维护证书的所有权利和义务将从当前 CAB 转移到 LC。
 - LC shall inform the MSC of the agreed transfer date at least 10 days in advance of the agreed transfer date. LC 和客户确认好转机构日期后，至少提前 10 天通知 MSC。
 - On the agreed transfer date, the current CAB shall cancel the certificate in the scheme database: 对于确认的转机构日期，当前 CAB 应在系统数据中删除证书。
 - LC shall issue the new certificate in the scheme database before or on the agreed transfer date, ensuring no gap in certification. 确定的转机构日期前，LC 应在数据库中签发新的证书以确保认证的衔接。
 - The expiry date of certificate shall be the same as the expiry date of the preceding certificate. LC 签发的证书到期日应与之前的证书到期日一致。
 - All conditions and/or non-conformities raised shall remain applicable, unless they are closed or revised as a result of an on-site assessment or audit by LC. 所有之前 CAB 提到的情况及不符合仍适用，除非由 LC 现场评估或审核后关闭或进行了调整。
 - The surveillance audit plan set by the preceding CAB shall be followed (or following documentation of justification for change), revised and agreed with the client, and in conformity with the CoC CR. 之前 CAB 制定的审核计划应在征得客户同意下延用或修变更订，并符合 MSC 标准。
 - For transfers, LC shall follow the process described to ensure conformance with the MSC Standards. These cases include but are not limited to: 对于经认可的 CAB 间外的转机构，LC 应遵循第上述流程以确保符合 MSC 标准。这些情况包括但不限于
 - Transfer from an accredited CAB during an initial assessment or audit process. 初次审核或审核期间转机构。
 - Transfer from an applicant CAB. 从资质申请的 CAB 转机构。
 - Transfer from a CAB whose accreditation has been suspended. 从资质被暂停的 CAB 转机构。
 - Transfer from a CAB whose accreditation has been withdrawn or voluntarily ceases to be accredited (cancellation). 从其认证已被撤销或自愿停止认可(取消)的 CAB 转机构。
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9 Complaints and Appeals 投诉和上诉

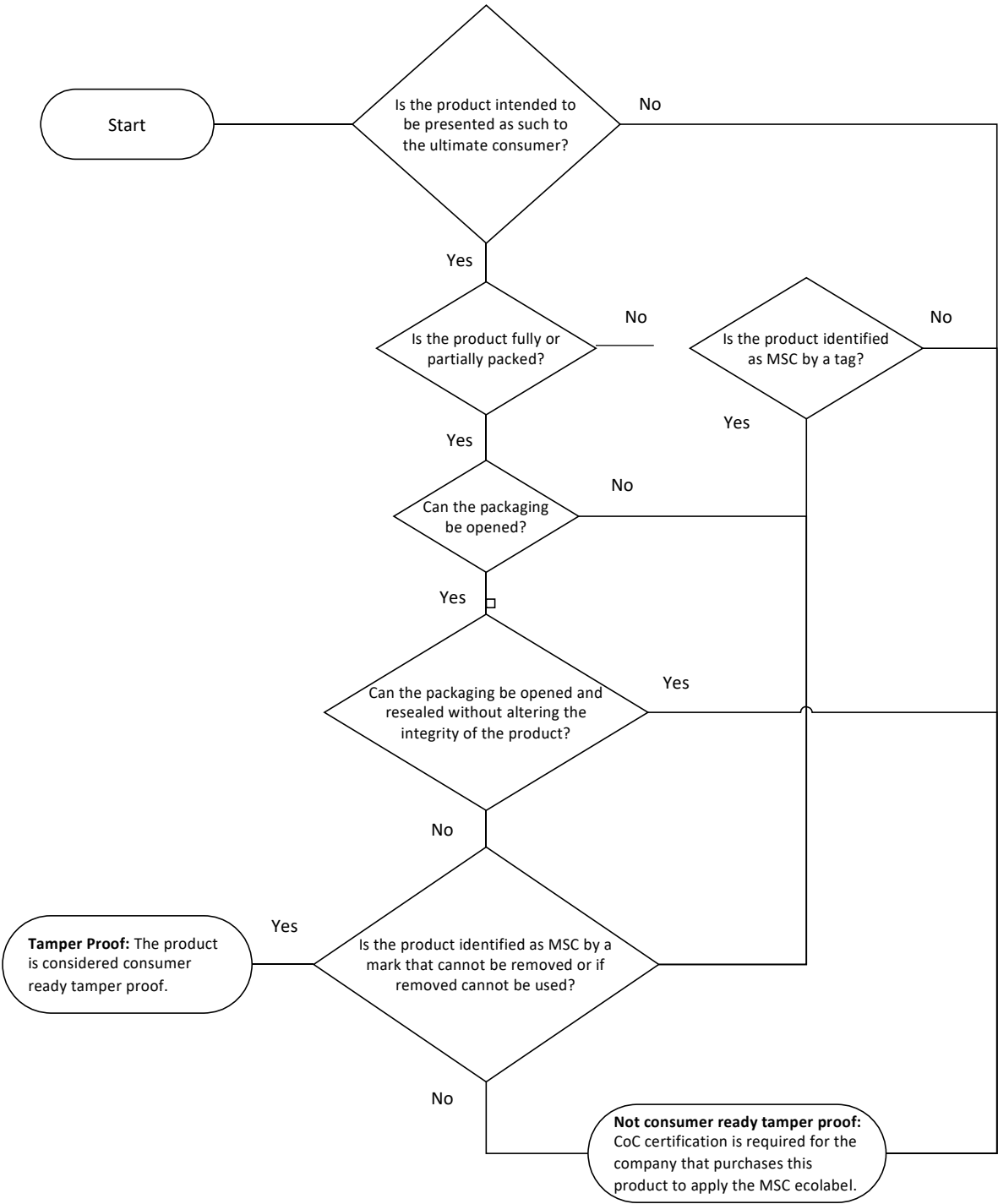
All complaints, concerns and objections related to the activities of LC , a MSC/ASC certificate holder or a MSC/ASC certification applicant will be handled in accordance procedure (LC-2-09). 所有与 LC、MSC/ASC 证书持有者或 MSC/ASC 认证申请者活动有关的投诉、关注和异议将按照公司程序(LC-2-09)处理。

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Appendix 1

Figure : Decision tree for consumer-ready tamper-proof packaging (CRTPP)

CRTPP 决策树



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Table 1: Options for certification

	Certification options	Applies to
1	Single 单场所	Organizations operating out of 1 site (a single location with 1 physical address) who would typically opt for certification against the CoC Default Standard unless eligible for the CoC CFO Standard or included in a CoC Group certificate. 单一场所（一个地址）运营的组织根据 CoC 标准选择认证，除非符合 CoC 集团标准或 CFO 标准。
2	Multi-site 多场所	Organizations handling or trading certified products at more than 1 location (physical address). All sites are individually audited against the CoC Default Standard , although not all requirements would necessarily apply to all sites. 1 CoC code and certificate are shared across all sites. For example, an organization with 2 processing sites and 1 trading office might be certified as a multi-site. 单一场所以上运营的组织。所有场所都根据 CoC 标准单独审核尽管所有要求并不是都适用于所有场所，共享 1 个 CoC 代码。例如拥有 2 个处理场所和一个贸易办公室可以按照多场所认证。
3	Group 集团	Organizations with multiple locations – this could be a group of individual enterprises or an organization with multiple sites. Under this option, the group designates a central office function that establishes internal controls and is responsible for the compliance of all sites with the CoC Standard. CAB audits the central office and a sample of sites against the CoC Group Standard , instead of every site receiving an audit as in a multi-site certificate. 1 CoC code and certificate are shared across all sites. Specific eligibility for CoC Group certification is included in Manual. 组织拥有多个场所，这可由单个企业组成的集团或多个场所的组织。这种情况下集团指定了集团办公室来建立控制程序并负责所有场所遵守标准。CAB 根据集团标准审核集团办公室和抽样场所，而不是像多场所全部接受审核。所有场所共同使用一个 CoC 代码，手册中已包含了集团的具体要
4	CFO	organizations that serve or sell seafood exclusively or primarily to the final consumer (typically in a retail or foodservice environment). Consumer-facing organizations (CFOs) can be a single site operation or have multiple locations. For an organization with multiple locations, a designated central office function is established internally and is responsible for the compliance of all sites with the CoC Standard. CAB audits the central office, operations sites (where relevant) and a sample of consumer-facing sites against the CoC CFO Standard . This might include restaurants, restaurant chains, fishmongers, retailers with fish counters and caterers. 1 CoC code and certificate are shared across all sites. Specific eligibility for CoC CFO certification is provided in Manual. 组织专门或主要向最终消费者销售海产品（通常在零售或餐饮服务中）。CFO 组织可以是单独场所运营也可是多场所。对于多场所的组织，如果指定了中央办公室是能并负责所有场所遵守 CoC 标准。CAB 根据 CFO 标准审核中央办公室、运营场所及抽样的面向客户场所。这可能包括餐馆、连锁餐厅、鱼贩、有鱼柜台的零售商和餐饮商。所有场所共享一个 CoC 代码和证书。

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Table 2: Activity scope definitions 活动范围定义

	Activity	Definition
1	Trading fish and/or (buying and/or selling)贸易	This will likely be in nearly every Organization's scope except for subcontractors that do not take legal ownership of certified product. In most instances, an additional activity will also be selected for the client, unless they are solely a “trader”. If the client physically handles products, they will also need to have “storage”, “distribution”, or “wholesale” selected.除了对认证产品不具有合法所有权的分包商外，几乎每个组织的范围都可能存在。在大多数情况下，还应为客户选择一个额外的活动，除非他们只是一个“交易者”。如果客户实际处理产品，他们还需要选择“存储”、“分发”或“批发”
1.a	Trading fish meal	Shall be used for any entity trading fish meal. 用于交易鱼粉的实体
1.b	Trading fish oil	Shall be used for any entity trading fish oil.用于交易鱼油的实体
2	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.如果申请者负责将认证产品从供应商运输到客户或在其场所之间运输则需要申请认证。如果客户承包所有的运输则不需要。 Transportation Organizations are not required to be certified for CoC unless they also take legal ownership. In some cases, however, using a transport Organization could increase the risk to such a level that the CAB might require its client to request the transport Organization to become CoC certified (e.g., a vessel involved in transshipping, or a vehicle/well boat collecting bulk/unpacked products from more than 1 certified farm).运输组织不需要获得认证除非他们拥有货物所有权，然而某些情况下使用运输可能会增加风险，因此 CAB 通常会要求运输机构也申请认证。
3	Storage	This refers to product being held in a storage area by an organization before processing, distributing or selling and after processing. This will also likely be included in many of the clients' scopes as they will be storing fish before processing, distributing, or selling it, and after processing it.产品在加工、分销或销售前加工后存放在存储区域。这可能包含许多客户的范围中。

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4	Distribution	This shall be used for Organizations that receive sealed containers, pallets, etc., that may or may not be broken down into smaller sealed units, and deliver them to customers or other members of their group (i.e., they take possession, but not ownership). 这应用于接收密封容器、托盘等的组织，这些可以或不可以分解成更小的密封单元，并将其交付给客户或其集团其他成员(即他们并不拥有所有权)。
5	Wholesale	This shall be used for Organizations that receive sealed containers, pallets etc. that may or may not be broken down into smaller sealed units, and sell them to customers or other members of their group (i.e., they take ownership and possession). 这应用于接收密封容器、托盘等的组织，这些可以或不可以分解成更小的密封单元，并将其销售给客户或其集团其他成员(即他们拥有所有权)。
6	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. 这只用于正在捕捞或从野生环境中收集海藻的船只（参考海藻标准表 2） This scope shall include vessels as named sites on the CoC certificate. If they are processing on-board, “processing” shall also be selected. 如果生产范围是在船上进行，该范围包含 CoC 证书上指定的船只。
7	Packing or repacking	This shall be used when packaging is changed but the product remains the same. It is assumed that Organizations processing will also be packing, so it is not necessary to select packing as well as processing. If an Organization receives product from a processing Organization for the sole reason of packing it into a specific type of pack, this scope category applies. 当包装改变但产品保持不变时使用。假设组织的加工也是包装，因此没有必要选择包装和加工。如果组织从加工组织接收产品的唯一原因是将其包装成特定类型的包装，则适用此范围类别。
8	Processing	Includes all examples of processing including primary processing, secondary processing, value-added processing, fish preparation or any other activity where the product is changed (excluding activities undertaken by 10, 11 and 12 below). 包括所有加工，包括初级加工、二次加工、增值加工、鱼类制备或任何其他改变产品的活动(不包括下文第 10、11 和 12 项所进行的活动)。 Primary processing – the first time that seafood is changed from its original form as it was harvested. This includes heading and gutting, filleting, de-scaling, shelling, etc. 初级加工-海产品在收获时第一次改变其原始形态。这包括去头和去内脏、去片、去鳞、去壳等。

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		Secondary processing – after primary processing, subsequent changes are made to the form of the seafood. This includes preparation of the seafood with other ingredients to manufacture products for foodservice or retail such as breading, adding sauces or breaking down the seafood into smaller components (e.g., loins, mince, oil, etc.). 二次加工-在一次加工之后，对海产品形状进行后续改变。这包括用其他成分准备海鲜，以制造食品服务或零售产品，如面包，添加酱汁或将海鲜分解成更小的成分(例如，腰肉，肉末，油等)。
8	Processing	Preservation – the long-term conservation of seafood. This includes smoking, drying, canning and freezing. This can be done at both primary and secondary processing. 保存-海产品的长期保存。这包括烟熏、干燥、罐装和冷冻。这可以在主要和次要处理中完成。
		Other processing – please specify on the scheme database. 其他处理-请在方案数据库中注明。
9	Contract processing	This refers to any certificate holder that carries out processing on behalf of the product owner (i.e., does not take legal ownership of the product). 指代表产品所有者进行处理的任何证书持有人(即不具有产品的合法所有权)。
10	Use of subcontractor	This refers to any certificate holder that uses a subcontractor (CoC certified and non-certified) to handle certified products on their behalf. When this scope activity is selected, the specific activity subcontracted shall also be included (e.g., “primary processing”, “transportation”, “storage” or “packing or repacking”). 指任何证书持有者使用分包商(CoC 认证和非认证)代表其处理认证产品。 当选择此范围活动时，还应包括分包的具体活动(如“初级加工”、“运输”、“储存”或“包装或再包装”)。
11	Retail to consumer	This includes fresh fish counters at retailers, fishmongers or markets selling directly to consumers. The product will be taken away and prepared before being eaten by a consumer or is sold in a traditional “retail” environment. 这包括零售商、鱼贩或市场直接向消费者销售的鲜鱼柜台。在消费者食用之前，产品被带走并准备好，或者在传统的“零售”环境中出售。
12	Restaurant/take-away to consumer	This includes any foodservice situations such as fish and chip shops, standard restaurants, and quick service restaurants, where the product is prepared on-site and sold directly to consumers as 'ready to eat' or eaten on-site. 这包括任何食品服务场所，如炸鱼薯条店、标准餐厅和快餐店，在这些场所，产品是现场准备的，并作为“即食”或现场食用直接出售给消费者。
13	Other	Shall be clearly defined and explained on the scheme database how it does not fit into another category. 应在方案数据库中明确定义并解释为何不属于其他类别。

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14	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. 仅适用于经 ASC-MSC 海藻标准认证的任何涉及海藻养殖的实体(根据 ASC-MSC 海藻标准表 2, 海藻生产类别 Bi、Bii、Ci 和 Cii)。 If there is processing entity included in the seaweed production certificate, separate “processing” activity shall also be selected. 如果海藻生产证书中包含加工实体, 还应选择单独的“加工”活动。
15	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. 这应用于在第一个登陆点使用永久、临时或分包工作人员直接从捕鱼或水产养殖船上手动卸货, 不得使用机械。
16	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. 这是指处理或分包处理被评估产品的证书持有者。此范围仅适用于渔业客户集团成员及其分包商。

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Table 3: Risk assessment scoring for consumer-facing sites CFO 面向顾客场所风险评估

Number	Question	Points	Score
1	How many certified species could be handled, displayed, sold or served at any 1 site at the same time? 同一地点可同时处理、展示、出售或供应多少种认证的品类?		
	More than 1	3	
	1	1	
2	Is there a possibility that certified and non-certified products of the same species, or similar-looking species, could be handled at any site at the same time? 是否有可能在任何地点同时处理同一品类或相似物种的认证和非认证产品?		
	Yes	4	
	No	1	
3	Will the label or identifier for certified products be applied by staff at each consumer-facing site (rather than at a central office or operations site)? 认证产品的标签或标识符是否由每个面向消费者的场所(而不是在中心办公室或运营场所)的员工使用?		
	Yes	3	
	No	1	
4	Have there been 1 or more major non-conformities issued during the most recent audit? 最近的审核中是否有 1 个或更多的严重不符合?		
	Yes	5	
	No	1	
5	How many sites will be handling certified seafood? 有几个处理认证的海产品的场所?		
	3 or more	3	
	1–2	1	
6	Does the Organization carry out annual (or more frequent) internal audits at all consumer-facing sites, which include testing the traceability of certified seafood? 组织是否对所有面向消费者的场所进行年度(或更频繁)内部审核, 包括测试认证海产品的可追溯		
	No	0	
	Yes	-3	
Number	Question	Points	Score
7	Does the Organization 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? 组织是否有电子系统, 允许出售/供应给最终消费者的所有经过认证的海产品数量与购买的经过认证的海产品数量进行核对?		
	No	0	

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	Yes	-2	
8	Does the Organization have other accredited certifications?组织是否有其他认证		
	No	0	
	Yes – ISO 9001 / ISO 22000 / GFSI-recognized standard	-2	
9	Country of operation score on Transparency International's latest corruption perception index (for latest scores see cpi.transparency.org). For Organizations that have sites in multiple countries, use the lowest CPI score from the latest year. 在国际透明度最新的清廉指数上的国家得分(最新得分见 cpi.transparency.org)。对于在多个国家设有站点的组织, 使用最近一年的最低 CPI 得分。		
	Under 32	3	
	Between 32 and 62 inclusive	1	
	Above 62	0	
	Total		

Table 4: Risk scoring for consumer-facing sites

Total score from Table 5	Risk level
1–14	Low Risk
15–21	Standard Risk

Table 5: Risk-based audit activities for consumer-facing sites 面向顾客场所基于风险的审核

Audit factor	Low Risk	Standard Risk
Collection of seafood samples at consumer-facing sites (for purposes of product authentication testing) 在面向消费者的地点收集海产品样本(用于产品认证测试)	Not required	Required at surveillance and re-certification audits. Collect a minimum of 1 and maximum of 10 seafood samples in total (across all sites), where certified species are available (refer to the MSC Seafood Sampling Procedure for details). 要求在监督和再认证审核中收集至少 1 个, 最多 10 个。
Traceability test completed to trace certified product on-site from the point of sale/serving back to a certified delivery(ies) or supplier(s) 在现场跟踪认证产品从销售点/服务点到认证交付或供应商来完成可追溯性测试,	1 traceability test per consumer-facing site audited (where certified products are available) 每个审核过的面向消费者的场所(有认证产品的地方)进行 1 个可追溯性测试	2 traceability tests per consumer-facing site audited. Additional traceability tests can be carried out based on the auditor's judgement and depending on availability of certified products. 每个面向消费者的审核场所 2 个可追溯性测试。可根据审核员的判断和认证产品的可用性进行额外的可追溯性测试。

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Percentage of total site audits to be carried out at short notice 在短时间内进行的现场审核占总审核的百分比	10% or at minimum 1 site if the sample is less than 10 如果样本小于 10, 则至少选择 1 个场所	100% (unless short notice access is impossible) 100%(除非临时通知无法访问)
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Table 6: Consumer-facing site sampling CFO 场所抽样

Total number of sites	Number of sites to be audited	
	Initial audit	Surveillance/Re-certification
1 to 3	1	1
4 to 6	2	1
7 to 9	3	2
10 to 16	3	2
17 to 25	4	2
26 to 36	4	2
37 to 49	4	2
50 to 64	5	3
65 to 84	5	3
85 to 100	5	3
101 to 121	6	4
122 to 144	6	4
145 to 169	7	5
170 to 196	7	5
197 to 225	8	5
226 to 256	8	5
257 to 289	9	6
290 to 324	9	6
325 to 361	10	6
362 to 400	10	6
401 to 441	11	6
442 to 484	11	6
485 to 529	12	7
530 to 576	12	7
577 to 625	13	7
626 to 676	13	7
677 to 729	14	8
730 to 784	14	8
785 to 841	15	8

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842 to 900	15	8
901 to 961	16	8
962 to 1024	16	8
Over 1024	Square root multiplied by 0.3, rounded up	Square root multiplied by 0.25, rounded up

Table 7: Reject number of consumer-facing sites following major non-conformities

主要不符合数量拒绝面向消费者场所数量

Number of sites audited during audit	Reject number (number of sites with at least 1 major non-conformity detected during audit)
2 – 5	2
6-10	3
11-15	4
16-20	5
21-25	6
26-30	7
31-40	8
41-50	10
51-60	12
61-70	14
71-80	16
80+	19

Table8: Reject number of sites – Group CoC 集团 CoC 拒绝场所数量

Number of sites sampled	Reject number (number of sites with at least 1 major non-conformity detected during audit)
1 – 3	2
4-10	3
11-15	4
16-20	5
21-25	6
26-30	7
31-40	8
41-50	10
51-60	12
61-70	14
71-80	16

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80+	19
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Table 9: Risk assessment scoring for Group sites 集团场所风险评估

	Risk factor	Score	Score given
1	Activity (refer to Table 4: Activity Scope Definitions)活动		
	a. Trading fish (buying and selling) (Activity 1)	4	
	b. Transportation (Activity 2)	4	
	c. Storage (Activity 3)	4	
	d. Wholesale and/or distribution of whole fresh fish in unsealed containers (Activities 4,5)	8	
	e. Wholesale and/or distribution of repacked products (Activities 4, 5)	4	
	f. MSC Harvest (Activity 6)	8	
	g. Packing or repacking (Activity 7)	15	
	h. Processing, contract processing, or use of non-certified contract processors (Activities 8, 9, and activity 10 only as relates to non-certified contract processor)	20	
	i. Retail / food service direct to consumers (Activities 11, 12)	4	
	j. ASC Aquaculture (Activity 14)	8	
2	Ownership 产品所有权		
	a. No common ownership of sites and central office	12	
	b. Sites are franchises of the central office	8	
	c. Sites are owned by the central office	3	
3	Accredited certifications held 认证标准		
	a. None	8	
	b. ISO 9001 / ISO 22000 / GFSI-recognized standard	2	
4	Similar species handled at the same time in the same place 同一场所同一时间处理的品类		
	a. High – Certified and non-certified similar looking species on site at the same time	12	
	b. Medium – Certified and non-certified species handled at the same time but look different (e.g., white and pink flesh)	6	
	c. Low – Only certified species are handled	3	

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5	Number of staff at largest site making ecolabel or logo application decisions 在最大的场所做出生态标签或标识应用决策的员工数量 This means physically selecting a label, bag, carton or similar bearing the ecolabel or logo from amongst other labels or packaging materials. If labelling or packaging decisions are made by a supervisor or manager, the number of staff shall refer to the number of supervisor or manager-level staff involved. 这意味着从其他标签或包装材料中选择带有生态标签或标识的标签、袋子、纸箱或类似产品。由主管或经理作出标签或包装决定的，其人员数量指主管或经理级人员的数量。		
	a.	More than 10 employees	8
	b.	Between 3-10 employees	4
	c.	Fewer than 2 employees	2
	d.	No labels or trademarks are placed on products	0
6	Country of operation score on Transparency International's latest corruption perception index (please refer to the latest year's scores available at cpi.transparency.org). For fisheries operating in multiple countries, consider the country of landing, country of vessel registration, and all countries covering the catch area, and use the lowest CPI Score from the latest year. 在国际透明度最新的清廉指数上的国家得分(请参阅最近一年的得分: cpi.transparency.org)。对于在多个国家经营的渔业，考虑到岸国、船舶注册国和覆盖捕捞区域的所有国家，并使用最近一年的最低 CPI 得分。		
	a.	Under 32	28
	b.	Between 32 and 62 inclusive	16
	c.	Above 62	4
7	Seafood purchasing 海产品购买		
	a.	Purchasing from suppliers is managed by a combination of the central office and each site (central and local purchasing)	12
	b.	Purchasing from suppliers is managed by each site (local purchasing)	9
	c.	Purchasing from suppliers is managed by the central office (central buying list or a centrally approved list of products and suppliers for sites to use)	3
	Total score		
	Guidance: Possible scores range from 21 to 100		

Table 10: Risk scoring for Group sites 集团场所风险得分

Score from Table 11	Sample table
80 or more	100% of sites audited
55 to 80	Sample Table 14 – High Risk
40 to 60	Sample Table 15 – Medium Risk
30 – 45	Sample Table 16 – Low Risk

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Under 35	Sample Table 17 – Very Low Risk
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Table 11: Site sample selection hierarchy 场所样本选择层次

Sample selection hierarchy (Criterion 1 = Top priority)	
Criterion 1	Site determined for sample by the MSC or the MSC’s assurance provider 由 MSC
Criterion 2	Site is part of any kind of internal or external investigation 网站是内部或外部调查的一部分
Criterion 3	Logistical considerations: combination of trips, availability of auditors 差旅方面的考虑:差旅合并，是否有审核员
Criterion 4	Where the sampling table dictates that 4 or more sites shall be audited, a minimum of 25% of the samples rounded up to the nearest whole number shall be selected at random. 如果抽样表要求对 4 个或以上的场所进行审核，则应随机抽取至少 25%的样本，取近整数。

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Table 12: Sample plan for Group CoC – High Risk 集团 CoC 样本计划-高风险

Initial/ Re-certification audit		Surveillance audit	
Number of sites	Normal	Number of sites	Normal
1 to 2	All	1 to 2	All
3 to 4	2	3 to 4	2
5 to 9	3	5 to 9	2
10 to 16	4	10 to 16	3
17 to 25	5	17 to 25	3
26 to 36	6	26 to 36	4
37 to 49	7	37 to 49	5
50 to 64	8	50 to 64	5
65 to 84	9	65 to 84	6
85 to 100	10	85 to 100	6
101 to 121	11	101 to 121	7
122 to 144	12	122 to 144	8
145 to 169	13	145 to 169	8
170 to 196	14	170 to 196	9
197 to 225	15	197 to 225	9
226 to 256	16	226 to 256	10
257 to 289	17	257 to 289	11
290 to 324	18	290 to 324	11
325 to 361	19	325 to 361	12
362 to 400	20	362 to 400	12
401 to 441	21	400 to 441	13
442 to 484	22	442 to 484	14
485 to 529	23	485 to 529	14
530 to 576	24	530 to 576	15

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577 to 625	25	577 to 625	15
626 to 676	26	626 to 676	16
677 to 729	27	677 to 729	17
730 to 784	28	730 to 784	17
785 to 841	29	785 to 841	18
842 to 900	30	842 to 900	18
901 to 961	31	901 to 961	19
962 to 1024	32	962 to 1024	20
Over 1024	Square root, rounded up	Over 1024	Initial sample multiplied by 0.6, rounded up

Table 13: Sample Plan for Group CoC – Medium Risk 集团 CoC 样本计划-中风险

Initial/ Re-certification audit		Surveillance audit	
Number of sites	Normal	Number of sites	Normal
1 to 2	All	1 to 2	All
3 to 4	2	3 to 4	2
5 to 9	3	5 to 9	2
10 to 16	3	10 to 16	2
17 to 25	4	17 to 25	2
26 to 36	5	26 to 36	3
37 to 49	5	37 to 49	3
50 to 64	6	50 to 64	3
65 to 84	7	65 to 84	3
85 to 100	7	85 to 100	3
101 to 121	8	101 to 121	4
122 to 144	9	122 to 144	4
145 to 169	10	145 to 169	5
170 to 196	10	170 to 196	5
197 to 225	11	197 to 225	5
226 to 256	12	226 to 256	6
257 to 289	12	257 to 289	6
290 to 324	13	290 to 324	6
325 to 361	14	325 to 361	6
362 to 400	14	362 to 400	6
401 to 441	15	400 to 441	7
442 to 484	16	442 to 484	7
485 to 529	17	485 to 529	8

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530 to 576	17	530 to 576	8
577 to 625	18	577 to 625	8
626 to 676	19	626 to 676	8
677 to 729	19	677 to 729	8
730 to 784	20	730 to 784	9
785 to 841	21	785 to 841	9
842 to 900	21	842 to 900	9
901 to 961	22	901 to 961	10
962 to 1024	23	962 to 1024	10
Over 1024	Square root multiplied by 0.7, rounded up	Over 1024	Initial sample multiplied by 0.42, rounded up

Table14: Sample plan for Group CoC – Low Risk 集团 CoC 样本计划-低风险

Initial/ Re-certification audit		Surveillance audit	
Number of sites	Normal	Number of sites	Normal
1 to 2	All	1 to 2	All
3 to 4	2	3 to 4	2
5 to 9	2	5 to 9	2
10 to 16	2	10 to 16	2
17 to 25	3	17 to 25	2
26 to 36	3	26 to 36	2
37 to 49	4	37 to 49	2
50 to 64	4	50 to 64	2
65 to 84	5	65 to 84	2
85 to 100	5	85 to 100	2
101 to 121	6	101 to 121	2
122 to 144	6	122 to 144	2
145 to 169	7	145 to 169	3
170 to 196	7	170 to 196	3
197 to 225	8	197 to 225	3
226 to 256	8	226 to 256	3
257 to 289	9	257 to 289	3
290 to 324	9	290 to 324	3
325 to 361	10	325 to 361	3
362 to 400	10	362 to 400	3
401 to 441	11	400 to 441	4
442 to 484	11	442 to 484	4
485 to 529	12	485 to 529	4

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530 to 576	12	530 to 576	4
577 to 625	13	577 to 625	4
626 to 676	13	626 to 676	4
677 to 729	14	677 to 729	5
730 to 784	14	730 to 784	5
785 to 841	15	785 to 841	5
842 to 900	15	842 to 900	5
901 to 961	16	901 to 961	5
962 to 1024	16	962 to 1024	5
Over 1024	Square multiplied by root 0.5, rounded up	Over 1024	Initial sample multiplied by 0.3, rounded up

Table 15: Sample Plan for Group CoC – Very Low Risk 集团 CoC 样本计划-极低风险

Initial/ Re-certification audit		Surveillance audit	
Number of sites	Normal	Number of sites	Normal
2	All	2	1
3 to 4	1	3 to 4	1
5 to 9	1	5 to 9	1
10 to 16	1	10 to 16	1
17 to 25	2	17 to 25	1
26 to 36	2	26 to 36	1
37 to 49	2	37 to 49	1
50 to 64	2	50 to 64	1
65 to 84	3	65 to 84	1
85 to 100	3	85 to 100	1
101 to 121	3	101 to 121	1
122 to 144	4	122 to 144	1
145 to 169	4	145 to 169	1
170 to 196	4	170 to 196	1
197 to 225	5	197 to 225	2
226 to 256	5	226 to 256	2
257 to 289	5	257 to 289	2
290 to 324	5	290 to 324	2
325 to 361	6	325 to 361	2
362 to 400	6	362 to 400	2
401 to 441	6	400 to 441	2

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442 to 484	7	442 to 484	2
485 to 529	7	485 to 529	2
530 to 576	7	530 to 576	2
577 to 625	8	577 to 625	3
626 to 676	8	626 to 676	3
677 to 729	8	677 to 729	3
730 to 784	8	730 to 784	3
785 to 841	9	785 to 841	3
842 to 900	9	842 to 900	3
901 to 961	9	901 to 961	3
962 to 1024	9	962 to 1024	3
Over 1024	Square root multiplied by 0.3, rounded up	Over 1024	Initial sample multiplied by 0.3, rounded up

Table 16: CoC auditor qualification and competency criteria, including for CoC Consumer- Facing Organization (CFO) audits 审核员资质和能力要求包含 CFO 标准审核员

Section 1. General	
Qualifications	a. 5 years' work experience, including 2 years in of any of the following: food industry, supply chain management, science, traceability, policy development, or 5 年以上工作经验, 其中 2 年以下工作经验:食品行业、供应链管理、科学、可追溯性、政策制定或 b. Degree or equivalent in business, economics, science or technical programmed and 3 years' work experience including 2 years food-related in supply chain management, science, traceability or policy development. Examples of technical qualifications include: supply chain and logistics management, food/seafood science, and fisheries science. 商业、经济、科学或技术专业本科或同等学历, 3 年以上工作经验, 其中 2 年以上与食品供应链管理、科学、可追溯性或政策制定相关的工作经验。技术资格的例子包括:供应链和物流管理、食品/海产品科学和渔业科学。
Competencies	c. To demonstrate knowledge of food safety or quality systems management, product or supply chain risk assessment, traceability systems, and relevant national and international laws relating to product labelling and traceability. 具备食品安全或质量体系管理、产品或供应链风险评估、可追溯性体系以及与产品标签和可追溯性相关的国家和国际法律知识。 d. An understanding of fish and fish products and their supply chains, and the type of supply chain operation to be audited. 了解鱼和鱼产品及其供应链, 以及要审计的供应链运作类型。 e. The ability to manage relationships with colleagues and clients. 与同事和客户关系的能力。

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Verification mechanisms	f. CV.简历 g. Previous employer's reference letter. 介绍信 h. LC appraisal.评估 i. Diploma or certificate. 学历 j. Confirmation of previous work experience.工作经验
Section 2. Third-party product and management system conformity assessment auditing techniques	

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Qualifications	CoC auditors shall have at least 1 of the following qualifications: CoC 审核员应至少具备以下 1 项资格 a. Pass 1 of the following Chartered Quality Institute/International Register of Certificated Auditors (CQI/IRCA) or Exemplar Global-recognised lead assessor training courses: 通过以下其中一项: i) Environmental Management Systems (EMS). EMS ii) Quality Management Systems (QMS). QMS iii) Global Food Safety Initiative (GFSI) approved standards. GFSI iv) Hazard Analysis Critical Control Point (HACCP). HACCP b. Registration as an EMS/QMS auditor with CQI/IRCA or Exemplar Global. EMS/QMS c. Pass an online or in-person course on auditing based upon ISO 19011 with a minimum duration of 14 hours inclusive of pre-read or preparatory work .完成 19011 14 小时培训, 包括预读准备工作。 i) The course shall be delivered by a training provider recognised by CQI/IRCA or Exemplar Global. ii) The content of the course shall include: • Principles of auditing. 审核原则 • Managing an audit programme. 审核流程管理 • Audit programme objectives and extent. 审核方案目标和内容 • Audit programme implementation. 审核程序实施 • Audit programme records. 审核记录 • Audit programme monitoring and reviewing. 审核监控和评审 • Audit activities. - o Initiating the audit. 首次审核 - o Conducting document review. 文件 review - o Preparing for the on-site audit activities. - o Conducting on-site audit activities. 实施现场审核 - o Preparing, approving and distributing the audit report. 准备审核报告 - o Completing the audit. 完成审核 - o Conducting audit follow-up 跟踪审核
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Competencies	a. The ability to apply appropriate audit principles, procedures and techniques to the planning and execution of different audits so that audits are conducted in a consistent and systematic manner. 能够将适当的审核原则、程序和技术应用于不同审核的策划和执行，从而使审核系统进行。 b. Be able to verify the accuracy of collected information and be aware of the significance and appropriateness of audit evidence to support audit findings and conclusions. 能够验证所收集信息的准确性，并意识到支持审核发现和结论证据的重要性和适当性 c. Understand and assess those factors that can affect the reliability of the audit findings and conclusions. 了解和评价可能影响审核发现和结论可靠性的因素
Verification mechanisms	d. LC training records. 培训记录 e. Previous audit reports. 之前的审核报告 f. Witness or office audits by an MSC-appointed accreditation body and/or assurance provider. MSC 指定审核见证 g. LC on-site observations, review of audit reports and feedback from clients.LC 见证、报告评估 Guidance As per ISO 17021, the documented monitoring procedures for auditors shall include a combination of on-site observation, review of audit reports and feedback from clients. This monitoring shall be designed in such a way as to minimise disturbance to the normal processes of certification.
Section 3. Understanding of MSC CoC Standard and MSC CoC Certification Requirements	
Qualifications	a. Prior to conducting MSC CoC audits, pass the MSC's CoC online training and re-take this course at least once every 3 years. 在进行 MSC CoC 审核之前，通过 MSC CoC 在线培训，并至少每 3 年重新参加一次该课程。 i. For CFO auditors prior to conducting a CFO audit, also pass the CFO online training module and re-take this course at least once every 3 years. CFO 审核员在进行 CFO 审核之前，还应通过 CFO 在线培训模块，并至少每 3 年重新参加一次该课程。 b. Pass the MSC's auditor training on updates to the CoC program documents prior to undertaking audits against the new requirements. 在根据新要求进行审核之前，通过 MSC 审核员关于 CoC 程序文件更新的培训。
	Guidance This may take the form of a search on the MSC website for new updates issued during the preceding year.

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Competencies	The ability to: d. Describe the eligibility, intent, and requirements of the different versions of the CoC Standard. 了解 CoC 标准不同版本的资格和要求 e. Determine who needs Chain of Custody and demonstrate this practically. 可以确定谁需要监管链 f. Describe the main steps in an MSC CoC audit. 了解 MSC CoC 审核的主要步骤 g. Demonstrate an understanding of how the scheme's database can be used to extract relevant information and the information required for entry into this database. 了解如何使用数据库提取相关信息和进入该数据库所需信息的理解 h. Identify and assess potential risks to traceability during food production, distribution, preparation, storage, trading, and transportation throughout the chain. 识别和评估食品生产、分销、制备、储存、交易和整个供应链运输过程中可追溯性的潜在风险 i. Demonstrate an understanding of the principles of the HACCP or other food management systems that are applicable to the CoC Standard. 对 HACCP 或其他适用于 CoC 标准的食品管理体系的原则有一定的理解。 j. Assess the effectiveness of traceability systems employed by Organizations and their subcontractors and describe where the subcontractor is relevant. 评估组织及其分包商所采用的可追溯系统的有效性 k. Assess the adequacy of records verified as part of the audit. 作为审核的一部分评估已核实记录的充分性 l. Recognise the risks of compromising traceability associated with different seafood species and activities. 了解不同海产品品种和活动相关的可追溯性受损的风险。 m. Describe how to: i. Conduct an audit when certified product is not on-site. 当认证产品不在现场时进行审核 ii. Conduct a remote audit. 远程审核 n. Demonstrate an understanding of how to grade non-conformities and the causes of a certificate suspension and withdrawal. 了解如何对不合格进行分级以及证书暂停和撤销的原因。 o. Describe: i. The main steps in the fisheries assessment process. 渔业评估过程中的主要步骤 ii. Where to find sources of information about which fish can enter Chains of Custody, fishery certificate sharing agreements and how this impacts the eligibility of certified products and which parties are eligible to handle under-assessment product. 在哪里可以找到有关鱼类可以进入监管链的信息来源，渔业证书共享协议，以及如何影响认证产品的资格以及哪些各方有资格处理评估不足的产品。 p. For CFO auditors 72 / 79 i. Demonstrate an understanding of the CoC CFO Standard
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Verification mechanisms	q. Examination pass. r. Witness or office audits by an MSC-appointed accreditation body and/or assurance provider. s. LC on-site observations, review of audit reports and feedback from clients. Guidance See guidance on Verification Mechanism in Section 2 of Table 1.
Section 4. Audit experience	
Qualifications	a. For existing CoC auditors, have undertaken 4 initial or surveillance on-site MSC CoC audits or audits for equivalent standards, or 对于现有 CoC 审核员，已经进行了 4 次初始或现场监督的 MSC CoC 审核或同等标准的审核，或者 b. For new CoC auditors: i. Witness or participate in 2 on-site MSC CoC audits or audits for equivalent standards, and 见证或参与 2 次现场 MSC CoC 审核或同等标准审核 ii. Conduct at least 2 satisfactory on-site MSC CoC audits or audits for equivalent standards, under the direction and guidance of a lead auditor prior to undertaking solo audits. 在进行单独审核之前，在主审核员的指导下，进行至少两次满意的现场 MSC CoC 审核或同等标准的审核。 Guidance Equivalent standards are those which include a significant component of traceability including GFSI-approved standards, the Global GAP Aquaculture Standard and ISO 22000.
Competencies	The ability to: c. Identify and find the location of the information required for undertaking and completing each audit. 辨别完成每次审核所需的信息 d. Reconcile document discrepancies and investigate the causes of these. 核对单据差异并调查产生差异的原因 e. Detect commonly used methods of document manipulation, fraudulent actions and fraudulent practices. 检测文件篡改、欺诈行为和欺诈行为的常用方法
Verification mechanisms	f. LC records. LC g. Previous employer's reference letter. h. Witness or office audits by an MSC-appointed accreditation body and/or assurance provider. i. LC on-site observations, review of audit reports and feedback from clients. j. Previous audit reports.

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Guidance See guidance on Verification Mechanism in Section 2 of Table 1.	
Section 5. Ongoing audit participation	
Qualifications	a. Should participate in 3 MSC CoC audits every 18 months which can include the audits listed in Section 4 above. 应每 18 个月参加 3 次 MSC CoC 审核，包括上面第 4 条所列的审核。
Competencies	The ability to: b. Identify the information required for undertaking and completing each audit. 辨别完成每次审核所需的信息
	c. Reconcile document discrepancies and investigate the causes of these. 核对单据差异并调查产生差异的原因 d. Detect commonly used methods of document manipulation, fraudulent actions and fraudulent practices. 检测文件篡改、欺诈行为和欺诈行为的常用方法
Verification mechanisms	e. LC records. LC 记录 f. Previous employer's reference letter. 推荐信 g. Witness or office audits by an MSC-appointed accreditation body and/or assurance provider. MSC 见证 h. LC on-site observations, review of audit reports and feedback from clients. 现场观察、评审报告和顾客反馈 i. Previous audit reports. 之前的审核报告
Guidance See guidance on Verification Mechanism in Section 2 of Table 1.	
Section 6. On-site observations	
Qualifications	a. Has been peer witnessed by a qualified CoC lead auditor during an MSC CoC audit or an audit for equivalent standards that include a significant component of traceability. 见证审核 i. This must be done at least once in each 3-year period where the peer witness may be part of the audit team. 必须每 3 年至少进行一次。
Guidance Equivalent standards are those which include a significant component of traceability including: GFSI-approved standards, the Global GAP Aquaculture Standard and ISO 22000.	
Competencies	Non applicable.
Verification mechanisms	b. LC training records. LC 培训记录 c. LC on-site observations, review of audit reports, and feedback from clients. LC 现场观察、报告审核和客户反馈

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Guidance See guidance on Verification Mechanism in Section 2 of Table 1.	
Section 7. Communication and stakeholder facilitation skills	
Qualifications	a. Experience in applying different types of interviewing and facilitation techniques. 具有运用不同类型的访谈技巧经验。
Competencies	b. The ability to effectively communicate with the client and other stakeholders. 与客户和其他利益相关者进行有效沟通的能力。
Verification mechanisms	c. CV. 简历 d. LC records. LC 记录 e. Witness or office audits by an MSC-appointed accreditation body and/or assurance provider. MSC 指定见证 f. LC on-site observations, review of audit reports and feedback from clients. 现场观察、报告审核、客户反馈
Guidance See guidance on Verification Mechanism in Section 2 of Table 1.	

CoC CR Table 2: Group CoC central office auditor qualification and competency criteria 集团客户审核员资质和能力要求

Section 1. Group audit training	
Qualifications	a. Prior to conducting MSC CoC group audits, pass the MSC's Group CoC auditor training course and re-take this course at least once every 3 years. 在进行 MSC CoC 小组审核之前，通过 MSC 集团 CoC 审核员培训课程，并至少每 3 年重新参加一次该课程。 b. Pass the MSC's online training on updates to CoC Group Standard and/or applicable requirements prior to undertaking group audits against the new requirements. 进行新的集团要求审核之前，通过 MSC 关于最新 CoC 集团标准和/或适用要求的在线培训。 c. Review any updates to the CoC requirements at least annually. 至少每年 review CoC 的更新要求
Guidance This may take the form of a search on the MSC website for new updates issued during the preceding year.	

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Competencies	Ability to: d. Demonstrate an understanding of the CoC Group Standard. 对 CoC 集团标准的理解。 e. Assess conformity against the Group requirements in Section 10 of this document (additional requirements for CoC Group certification). 根据集团标准第 10 部分(CoC 集团认证的附加要求)评估符合性。 f. Describe the key steps in an MSC CoC Group audit. 清楚 MSC CoC 小组审核的关键步骤 g. Determine the appropriate sample size for group site audits at initial and surveillance audits. 在初始审核和监督审核时，确定适当样本量
Verification mechanisms	h. Examination pass. 通过考试 i. Witness or office audits by an MSC-appointed accreditation body and/or assurance provider. 见证审核 j. on-site observations, review of audit reports and feedback from clients. 现场观察、报告审核、客户反馈 k. training records. 培训记录 Guidance See guidance on Verification Mechanism in Section 2 of Table 1.
Section 2. Management systems and reference documents	
Qualifications	a. 50 days' auditing experience for MSC CoC audits or equivalent standards, of which at least 15 days are auditing experience as a team member for management system related standards, which may include MSC CoC Group audits. Guidance "Management system related standards" in this context means standards where there is a high degree of reliance on management systems to ensure product conformity. These standards include requirements for internal audits, a management review, and self-corrective action to address any problems identified in the audit and review, such as ISO 9001 and 14001. Equivalent standards are those which include a significant component of traceability including: GFSI-approved standards, the Global GAP Aquaculture Standard and ISO 22000.

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Competencies	Ability to: b. Show a detailed knowledge of management system standards, applicable procedures or other management system documents used as audit criteria. 作为审核标准的管理体系标准、适用程序或其他管理体系文件有详细的了解。 c. Apply management system principles to different Organizations and to understand the interaction between components of the management system. 可以将管理体系原则应用于不同的组织，并理解管理体系组成部分之间的相互作用 d. Understand and act upon differences between and the priority of reference documents. 了解参考文件之间的差异和优先级并采取行动 e. Understand the need to apply specific reference documents to different audit situations. 了解在不同审核情况下应用特定参考文件的必要性 f. Demonstrate knowledge of information systems and technology for authorisation, security, distribution and control of documents, data and records. 展示文件、数据和记录的授权、保密、分发和信息控制系统和技术知识
Verification mechanisms	g. CV. 简历 h. Previous employer's reference letter. 介绍信 i. Witness or office audits by an MSC-appointed accreditation body and/or assurance provider. 见证报告 j. on-site observations, review of audit reports and feedback from clients. 现场观察、报告评审 Guidance See guidance on Verification Mechanism in Section 2 of Table 1.
Section 3. Audit experience	
Qualifications	Prior to undertaking solo CoC Group audits, either: a. Have led at least 1 CoC Group audit for MSC or equivalent standards under the direction, guidance and supervision of an MSC group central office audit, or 至少 1 次 MSC 或同等标准的 CoC 集团审核包括中心办公室审核 b. Witness or participate in 1 MSC CoC Group audit or group audit for equivalent standards under the direction and guidance of a Group CoC central office auditor. 在集团 CoC 中心审核员的指导和指导
Competencies	c. Non applicable.
Verification mechanisms	d. Witness or office audits by an MSC-appointed accreditation body and/or assurance provider. MSC 指定见证 e. on-site observations, review of audit reports and feedback from clients. 现场观察、报告评估 f. training records. 培训记录

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	Guidance See guidance on Verification Mechanism in Section 2 of Table 1.
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Appendix 2

AMENDMENT LOG

DATE	ISSUE	AMENDMENT	AUTHORISED BY
2023/03/20	2023/03/20	MSC/ASC COC issue	Sun Li
2023/08/20	2023/08/20	Update ASC requirements	Sun Li
2024/03/26	2024/03/26	Update LER requirements	Sun Li
2024/08/03	2024/08/03	Review Manual and Update	
2025/06	2025/06/23		