Guidance for sourcing ASC certified products

November 2022

This document contains two sections:

1. an **overview** of sourcing from certified farms and suppliers, including a checklist, and
2. more detailed **step-by-step guidance** on how to confirm the validity and scope of a supplier's farm or Chain of Custody (CoC) certificate in cases of:
    a. buying directly from an ASC farm
    b. buying from a CoC certified supplier
    c. buying a consumer-ready tamper-proof product

Overview

ASC certified products are seafood that originate from an ASC certified farm(s) and must be purchased from certified suppliers to maintain the certified CoC. A certified supplier can be a farm – also known as a Unit of Certification (UoC) - or a supplier with a CoC certificate. In some cases, certified farms are required to have CoC certification in addition to their farm certification.

ASC certified products with the ASC logo are registered with ASC and can be viewed on our website. The ASC logo on a company's website or documentation does not confirm valid certificate status.

To ensure the certified CoC is maintained, companies need to make certain checks to confirm that a product originates from a valid certified farm or CoC certificate holder.

Checklist to confirm the validity and scope of an ASC farm or CoC supplier

✓	Always check if the farm or CoC certificate is valid: request the ASC certificate* and also check using the ASC 'Find a Farm' or 'Find a Supplier' search tools. • Check the company's name, address, dates of certificate validity, species and activities in scope, and valid sites included in the certificate. • If a farm or CoC certificate is suspended, withdrawn or cancelled, this will be shown via the 'Find a Farm' or 'Find a Supplier' search. *Note that printed paper certificates may be cancelled, suspended or withdrawn before the expiry date. The current status of a certificate should be confirmed on the ASC website.
✓	For purchase direct from **farms**, check the farm audit report for the starting point of CoC in the Traceability section, and the Eligibility Date in the Decision section. Does the farm have subcontracted processors? If so, confirm these are covered in the farm audit report. Is the entire farm covered by the scope of certification? If any parts are not certified (by species, pond/cage/unit etc.), verify purchases are from the certified portion only. Note that ASC standards include specific restrictions on use of antibiotics which can vary by species (see details below).
✓	For purchase direct from **Multi-site farms**, confirm that the sites you buy from are able to sell certified products, i.e. the sites are not suspended, and do not have a major site non-conformity. This can be verified using the ASC 'Find a Farm' search tool. Check that certified products are purchased via the legal entity owner of the certificate and not from individual sites.

✓	For purchase direct from **Group farms**, check that certified products are purchased from the Group Management Body and not from individual group members, and that products do not come from a suspended site. This can be verified using the ASC 'Find a Farm' search tool.
✓	For CoC suppliers with multiple sites, check that the sites you are buying from are included on the CoC certificate and are not suspended. • A CoC certified supplier is the entity named on the sales documentation that demonstrates transfer of legal ownership from seller to buyer, e.g. an invoice, contract or deed.
✓	When purchasing a packaged, consumer-ready product with the ASC logo, check the product information against the ASC website. • Check that the package has a CoC number (e.g. ASC-C-12345). Confirm that the CoC number matches the packaging company's information available on ASC's website. Note that use of the ASC logo on a company's website or in their documentation does not necessarily confirm their certificate validity.

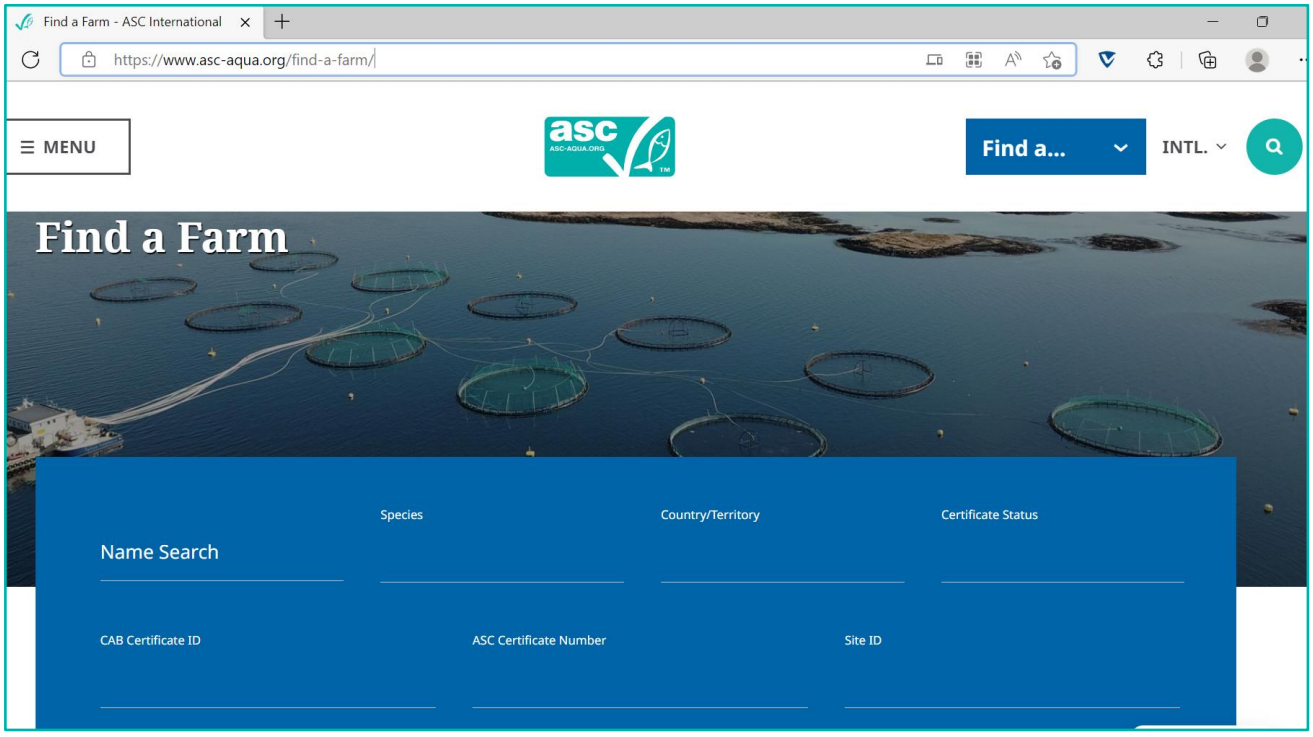
Step-by-step guidance

Buying from a farm:

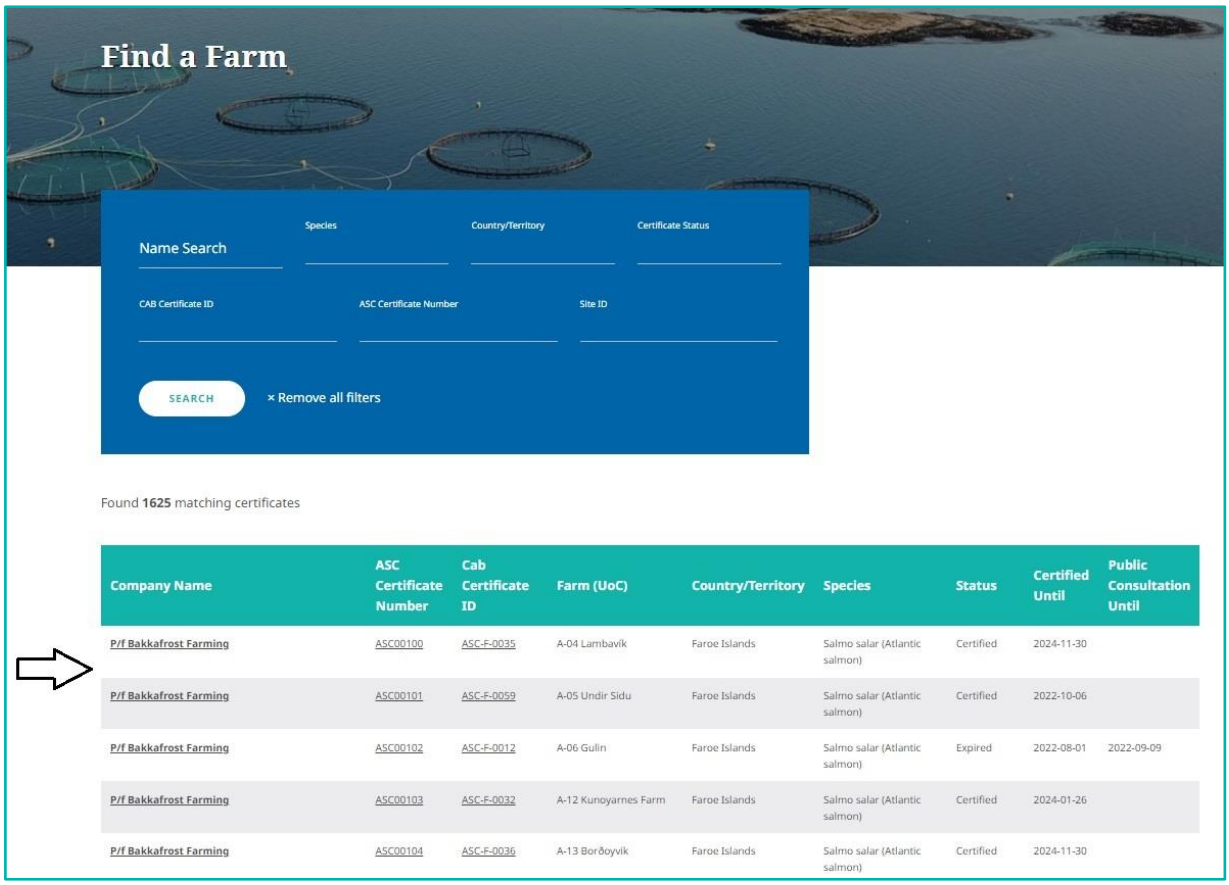
Companies buying certified products directly from farms should refer to the farm certificate and the most recent farm audit report to confirm the product originates from within the Unit of Certification, and that the certificate is valid.

Step 1: Request a copy of the farm's ASC certificate from the farm.

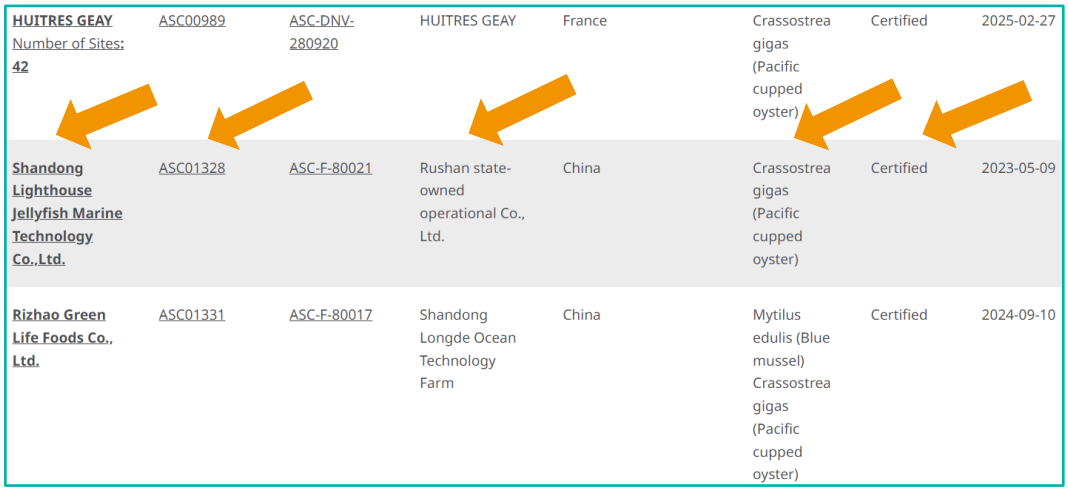
Step 2: Using the ASC 'Find a Farm' search tool, enter either the farm name, or search for the farm through the certificate number, species, country/territory or certificate status options.



Step 3: Select the farm.



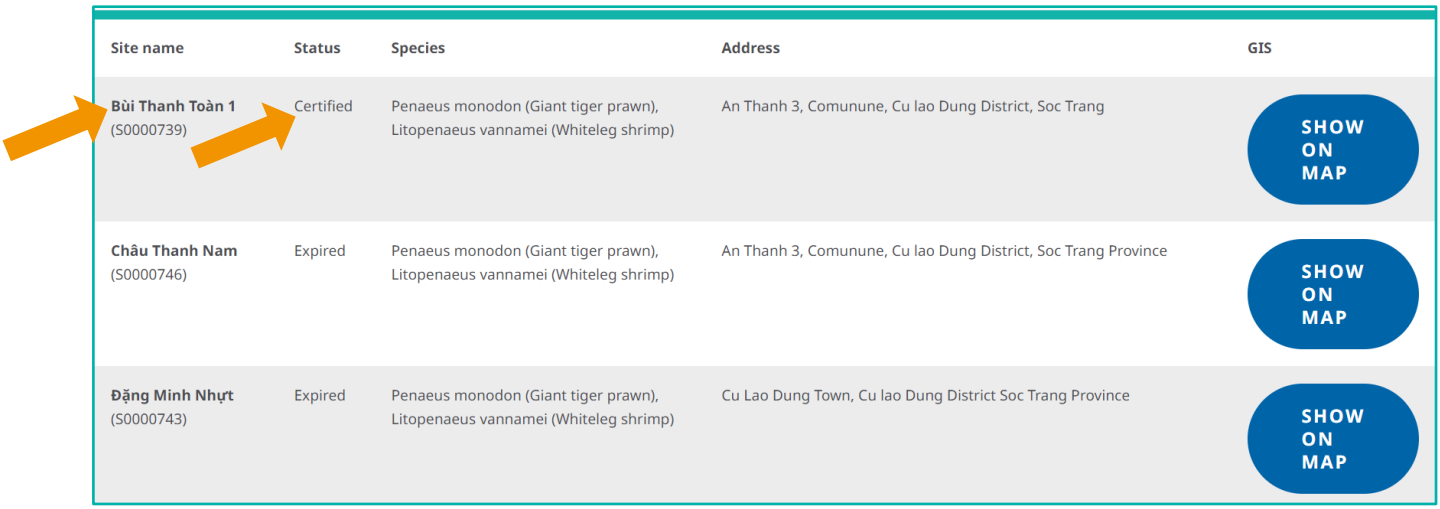
Step 4: Confirm that the company name, farm name, address and certificate number match your information. Check the certification status and certificate validity dates, and ensure the species you are buying is included in the farm's certificate.



Note: ASC standards include specific limitations which can vary by species. In the following cases, product from a certified farm cannot be sold as certified or labelled:

- Any shrimp treated with antibiotics
- Any product treated with Critically Important Antimicrobials for Human Medicine listed by the World Health Organization (WHO)
- The number of antibiotic treatments exceeds species-specific limits

Step 5: Confirm that the site(s) you purchase from are included in the scope of the certificate and that the status of each relevant site is certified.



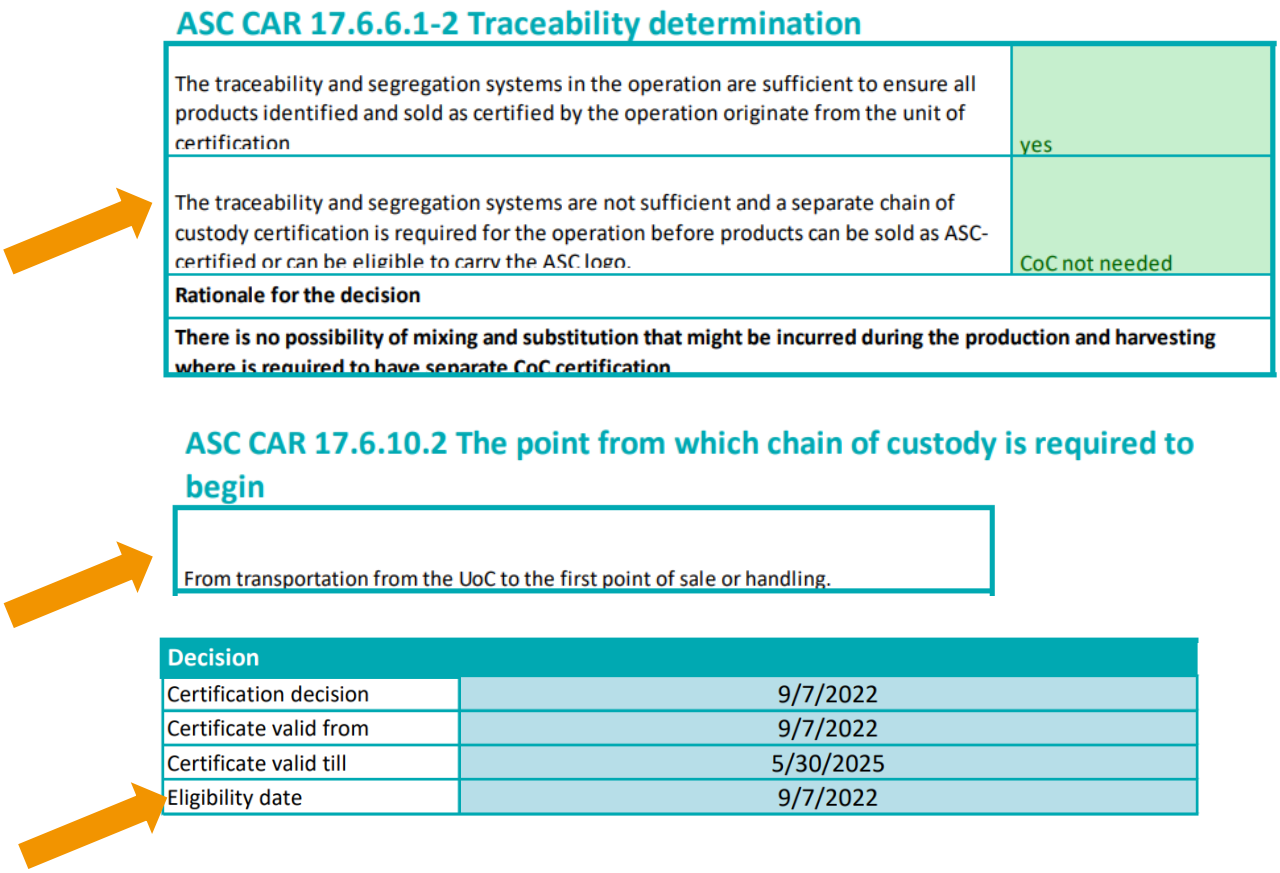
Site name	Status	Species	Address	GIS
Bùi Thanh Toàn 1 (S0000739)	Certified	Penaeus monodon (Giant tiger prawn), Litopenaeus vannamei (Whiteleg shrimp)	An Thanh 3, Comunune, Cu lao Dung District, Soc Trang	SHOW ON MAP
Châu Thanh Nam (S0000746)	Expired	Penaeus monodon (Giant tiger prawn), Litopenaeus vannamei (Whiteleg shrimp)	An Thanh 3, Comunune, Cu lao Dung District, Soc Trang Province	SHOW ON MAP
Đặng Minh Nhựt (S0000743)	Expired	Penaeus monodon (Giant tiger prawn), Litopenaeus vannamei (Whiteleg shrimp)	Cu Lao Dung Town, Cu lao Dung District Soc Trang Province	SHOW ON MAP

Step 6: Select the most recent audit report.

Initial Audit Report – Draft	Initial Audit	November 21, 2019	Available in English and Spanish
Initial Audit Report – Draft	Initial Audit	November 21, 2019	Available in English and Spanish
Notice of delay or postponement	Initial Audit	January 14, 2020	Available in English and Spanish
Initial Audit Report – Final	Initial Audit	January 23, 2020	Available in English and Spanish
Certificate	Initial Audit	January 23, 2020	Available in English and Spanish
Initial Audit Report – Final	Initial Audit	January 23, 2020	Available in English and Spanish
Audit Announcement	Surveillance 1	January 13, 2021	Available in English
Surveillance 1 Audit Report – Final	Surveillance 1	June 23, 2021	Available in English
Certificate		June 23, 2021	Available in English

Step 7: The ‘Traceability Determination’ section of the most recent audit report contains information on the starting point of CoC and if a separate CoC is required for the farm. The Eligibility Date can be found in the Decision section of the latest audit report.

Note: if a separate CoC is necessary for the farm, confirm if the farm is CoC certified and follow the instructions for sourcing from a CoC certified supplier below.



ASC CAR 17.6.6.1-2 Traceability determination

The traceability and segregation systems in the operation are sufficient to ensure all products identified and sold as certified by the operation originate from the unit of certification	yes
The traceability and segregation systems are not sufficient and a separate chain of custody certification is required for the operation before products can be sold as ASC-certified or can be eligible to carry the ASC logo.	CoC not needed
Rationale for the decision	
There is no possibility of mixing and substitution that might be incurred during the production and harvesting where is required to have separate CoC certification	

ASC CAR 17.6.10.2 The point from which chain of custody is required to begin

From transportation from the UoC to the first point of sale or handling.

Decision	
Certification decision	9/7/2022
Certificate valid from	9/7/2022
Certificate valid till	5/30/2025
Eligibility date	9/7/2022

Step 8: If you are buying processed product from a farm, check that processing activities are either:

- covered in the scope of the farm audit, or
- if they are subcontracted with CoC, check the CoC certificate of the processor is valid.

Activities covered under the scope of the certification and under the scope of the audit

Activity	Under scope of certification
Stocking	Covered
Nursing	Covered
Growing Out	Covered
Transferring	Covered
Harvest	Covered
Vaccination	Not Covered
Fallowing	Covered
Transportation	Not Covered
Storage (if present at farm)	Not Covered
Processing (if present at farm)	Not Covered
Packing (if present at farm)	Not Covered
Other (Please describe)	

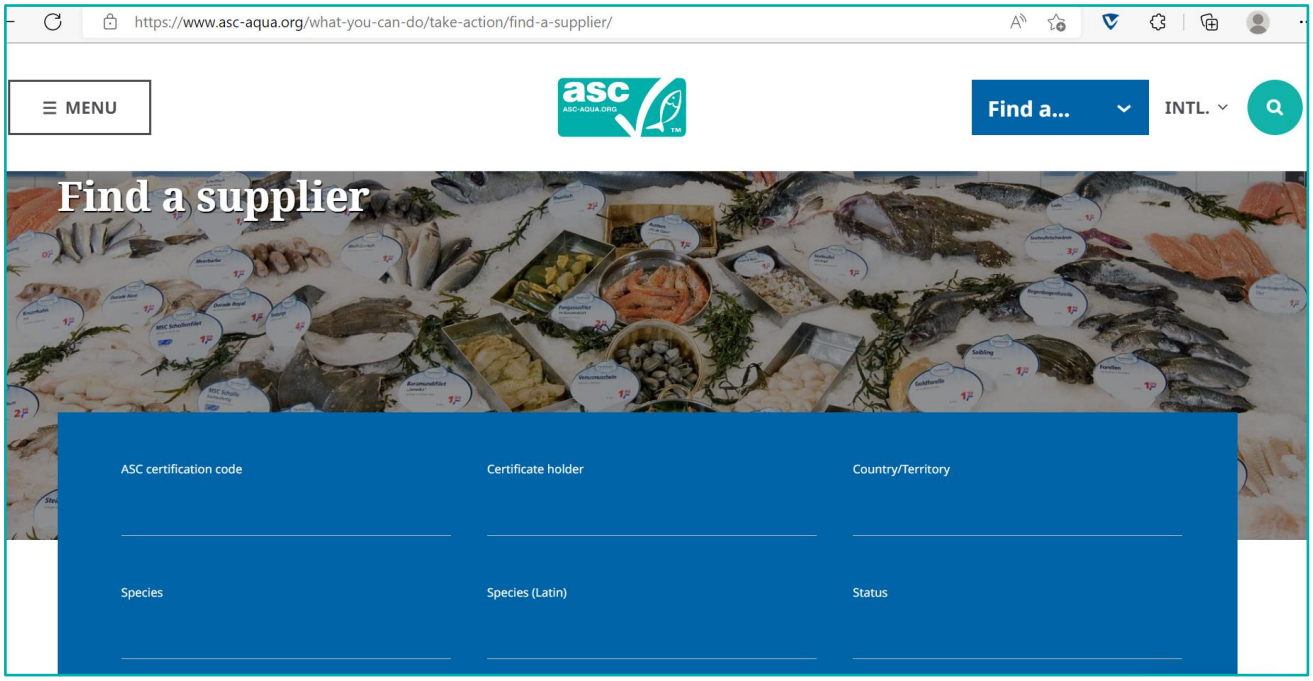
3. Possibility of subcontractors being used to handle, transport, store, or process certified products.//Posibilidad de que los subcontratistas se utilicen para manipular, transportar, almacenar o procesar productos certificados.	
a) Company uses subcontracted services for harvesting, processing, packing or labelling//La Empresa utiliza servicios subcontratados para la cosecha, el procesamiento, el embalaje o el etiquetado	No//No
Description//Description	
The company works 1 processing plant with; [redacted] S.A. (secondary processing plant) // La Compañía trabaja con 1 planta de procesos; [redacted] S.A. (planta de proceso secundaria)	
b) Company uses subcontracted services providers for storage or transportation//La Empresa utiliza proveedores de servicios subcontratados para almacenamiento o transporte	Yes//Sí
Description//Description	
The company works with wellboats (live harvest transporting) properly identified and in compliance against the Chilean maritime regulations, toward the primary processing plant and then, in trucks toward the secondary processing plant, located in Porvenir town (owned by [redacted] S.A.). Additionally as is established by the Chilean food safety regulations, all harvest transferred from the sea farm to the processing plant (primary or secondary) must have detailed document of salmons transported, including traceability, warranty declarations and sanitary status. // La empresa trabaja con wellboats (transporte de cosecha viva) debidamente identificados y en cumplimiento con la normativa marítima chilena, con destino a la planta primaria y luego en camiones hacia la planta secundaria ubicada en Porvenir (perteneciente a [redacted] S.A.). Adicionalmente como lo establece la normativa chilena de inocuidad alimentaria, toda cosecha transportada desde el centro de cultivo a la planta procesadora (primaria o secundaria) debe contar con documentación detallada de los salmones transportados, incluyendo trazabilidad, declaraciones de garantía y estatus sanitario.	
c) Traceability and segregation systems// de trazabilidad y segregación	
Subcontractors are CoC certified//Los subcontratistas están certificados por coC	Yes//Sí
Description//Description	
The farm works with the processing plant [redacted] S.A. with valid MSC CoC certificates. No: [redacted]	

Buying from a CoC certified supplier:

Companies buying ASC certified product from a supplier should confirm that the company holds a valid ASC Chain of Custody (CoC) certificate which can be verified through the ASC 'Find a Supplier' search tool. Note that the ASC logo on a company's website or marketing materials does not confirm valid certificate status.

Step 1: Request a copy of your supplier's ASC CoC certificate.

Step 2: Search your supplier through their CoC certificate number (ex. ASC-C-12345), their company name, or country and species.



Step 3: Confirm that the CoC certificate number, the name of the company, address, certification status and validity dates match your information, and that the site(s) you are sourcing from are included in the certificate and are currently certified.

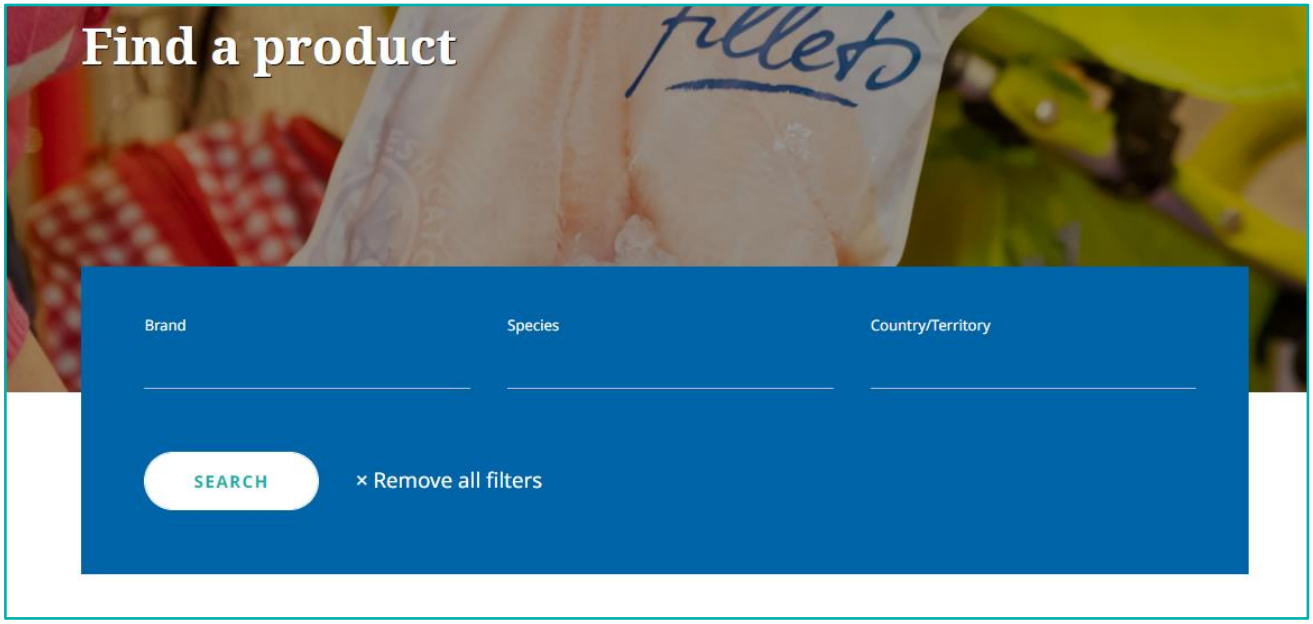
Certificate Details		
ASC certification code	ASC-C-00821	
Certification Status	Certified	
Valid until	March 8, 2023	
Species	Basa catfish Striped catfish	Pangasius bocourti Pangasianodon hypophthalmus

Site name	Status	Contact
ASC-C-00821-CFO 0408	Certified	Dernancourt Village S/C, Lower North East Rd 5075 Dernancourt Australia
ASC-C-00821-CFO 0584	Certified	Cnr Burwood Hwy & Blackburn Rd 3151 Burwood East Australia
ASC-C-00821-CFO 0540	Certified	Brandon Park S/C, 608 FerNorthern Territoryree Gully Rd 3170 Brandon Park Australia
ASC-C-00821-CFO 0478	Certified	Lot 401 Albany HighWestern Australiay 6330 Orana Australia

Buying a consumer ready, tamper-proof packaged product:

Consumer ready, tamper-proof products with the ASC logo are registered with ASC and their approved product status can be confirmed the ASC 'Find a Product' search tool.

Step 1: Search for the product through the ASC 'Find a Product' search tool.



Step 2: Confirm product information.

Found **34** matching products

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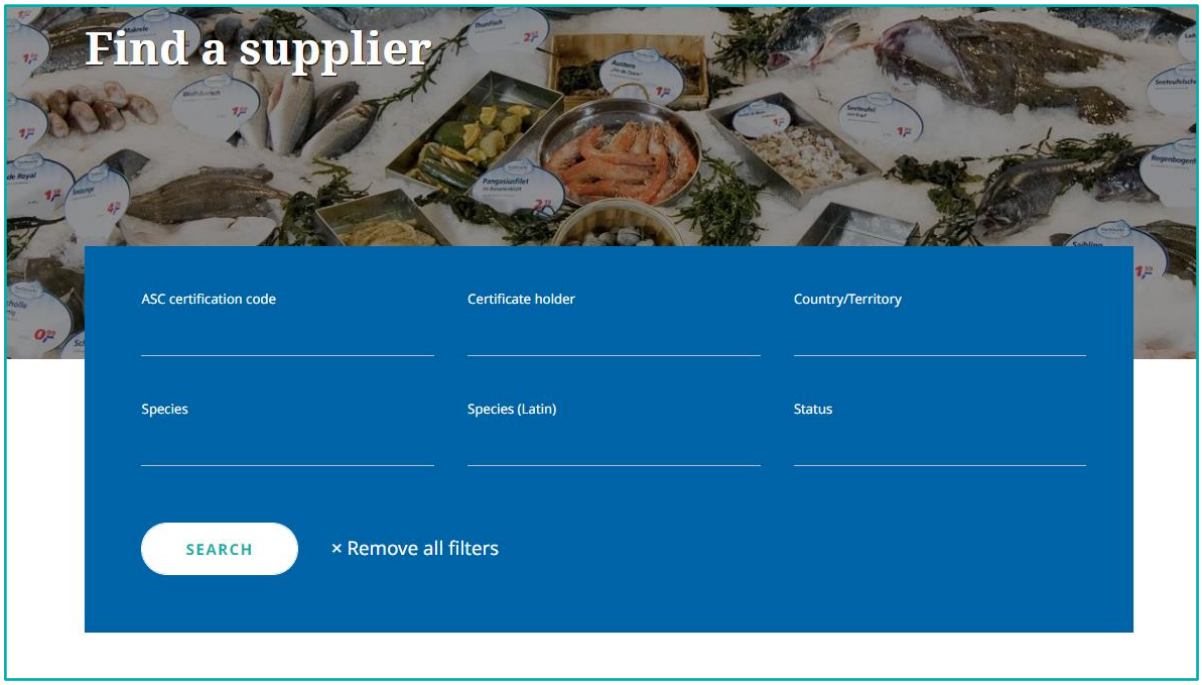
Brand	Species	Trade name	Type	Country
Loch Fyne	Blue mussel	Loch Fyne Live Golden Shell Mussels 5kg	Fresh/Chilled	United Kingdom
Buitoni	Blue mussel	Buitoni Risotto di Mare 550g	Ready meal	Italy
Coles	Blue mussel	coles Naturally Smoked Mussels Marinated in Oil 85g	Canned	Australia
Bofrost	Blue mussel	bofrost* Paella Royale 1kg	Frozen	France, Netherlands, Belgium, Luxembourg

Step 3: If the package is available, confirm that the CoC number is displayed on the package.

Step 4: Check the CoC number on the package against the ASC '[Find a Supplier](#)' search tool. The CoC information on the package is from the packer, who may not necessarily be your supplier. Confirm that the CoC number is valid and from the appropriate packer. If it does not match, request clarity from your supplier or contact ASC.