ECert Chain of Custody

Your guide to using ECert for MSC Chain of Custody audits

MSC ECert database user manual for CABs Chain of Custody v12.0
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Responsibility for this manual
The Marine Stewardship Council is responsible for this user manual. This is a living document and will be reviewed on an on-going basis. Readers should verify that they are using the latest copy of this (and other documents). Updated documents, together with a master list of all available MSC documents can be found on the MSC website.

Versions Issued

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<th>Version Number</th>
<th>Date</th>
<th>Description of amendment</th>
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<td>v5.0</td>
<td>July 2010</td>
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<tr>
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<td>Updated with new ECert functions, their use, and visual examples.</td>
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<td>v7.0</td>
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<tr>
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<td>Updated with new ECert functions, their use, and visual examples. Includes Scope changes following CRv1.4, new certificate action commentary options, the ability to list previous certificate codes (incorporating MSC issued codes), and recording Fisheries as suppliers. Additional updating to screen shots and updated guidance for some functions including subcontractor tab recording and uploading from templates.</td>
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<tr>
<td>v9.0</td>
<td>April 2015</td>
<td>Updated with new ECert functions in-line with changes to CRv2.0 and the new versions of the CoC standard. The biggest change is the addition of a new type of certificate for Consumer-Facing Organisations. Other, smaller changes include updated list of audit categories and reasons for suspension, updates to the scope activities list and the inclusion of the relevant scheme document clauses.</td>
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<tr>
<td>v10.0</td>
<td>October 2016</td>
<td>Updated with new ECert functions, their use, and visual examples. Changes include that suppliers can also be found by old codes, supplier directory includes a 1st certification date and the CoC search includes a filter for Active Sites only.</td>
</tr>
<tr>
<td>v11.0</td>
<td>February 2017</td>
<td>Updated with new ECert transfer function, its use, and visual examples. Changes include a new document transfer process and an update to the CoC Dashboard layout. Minor edit to ASC section.</td>
</tr>
<tr>
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<td>Updated with new ECert functions for expired certificates, CFO sub-codes, onsite or remote audits. Clarification on certificate transfer process, alignment of certificate details across ASC and MSC ECert and minor edits to UMAF section.</td>
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Introduction

How to use this manual

This is a user guide for CABs and administrators on how to navigate and use ECert whilst managing an MSC Chain of Custody (CoC) audit process.

The manual is split into key sections:

- Let's get started
- Finding your way around
- Entering a new Chain of Custody client on ECert
- Changes and modifications to CoC certificates
- Issuing Group/Multisite/CFO certificates
- Subcontractor recording
- Specific guidance for ASC ECert

Key information is provided in red text boxes, and best practice is highlighted in blue tip boxes.

If you have any questions, please contact: ECertSupport@msc.org.
1. Let’s get started

1.1. Getting set-up on ECert

1.1.1. System Requirements

The MSC CoC management system uses the certification software ECert and is fully internet-based. ECert can be used on the following browsers:

<table>
<thead>
<tr>
<th>Browser</th>
<th>Requirements</th>
</tr>
</thead>
<tbody>
<tr>
<td>Google Chrome</td>
<td>Most recent version and one back</td>
</tr>
<tr>
<td>Mozilla Firefox</td>
<td>Most recent version and one back</td>
</tr>
<tr>
<td>Internet Explorer</td>
<td>Version 9.0 or higher</td>
</tr>
<tr>
<td>Safari</td>
<td>Mac Operating Systems only</td>
</tr>
</tbody>
</table>

Working with other Internet browsers may result in some windows, forms and uploads not functioning correctly. It is recommended that you use the most up to date version of any browser.

1.1.2. Registering as a new user

To register as a new user in ECert please contact ECert Support: ECertSupport@msc.org from the Conformity Assessment Body (CAB) you are working for with your name, address and contact details.

A registration email will be issued that contains a link to generate your account.

1.1.3. Logging in to ECert

<table>
<thead>
<tr>
<th>Function</th>
<th>URL</th>
</tr>
</thead>
<tbody>
<tr>
<td>Logging in to ECert</td>
<td><a href="https://cert.msc.org">https://cert.msc.org</a></td>
</tr>
<tr>
<td>Internal Training &amp; Testing</td>
<td><a href="https://cert.msc.org/mscdemo">https://cert.msc.org/mscdemo</a></td>
</tr>
</tbody>
</table>

Note
You shall not share your password with anyone, even with other employees in your organisation.
Ensure you do not use the demo version for actual audit uploads.

1.1.4. Passwords

It is possible to change a password at any point by clicking on the username in the top right, then ‘Change password’. You should change your password regularly to maintain security. Do not share passwords, even within your company.

If you have forgotten your password, please click on the link ‘Forgot your password?’ found on ECert. A page will be opened where you can enter your username and/or e-mail address. Click ‘OK’. You will receive an e-mail containing further instructions.

1.1.5. How to receive emails from ECert

Please see Section 3.3.2 for details on managing CAB and client contacts and Section 2.3 for further email alert options.

1.1.6. General Support

| ECert          | ECertSupport@msc.org |
2. Finding your way around

2.1. Certificate Search (CoC Search)

2.1.1. The Search Function

The search page has two methods for reaching results: (1) filters, and (2) quick search.

Filter items are searches that a user can create that are available at a single click.

Quick search is for ad-hoc searching, both use the same parameters which are:

- Certificate Holder, free text search of company name
- Certificate Code, Unique code e.g. MSC-C-00078
- Certificate Type, single / group / multi-site / consumer-facing organisation (CFO) certificates,
- Country, where the client is based
- State, state, province, or sub region where the client is based, country must be selected first
- Status, applicant/ valid/ not valid
- Sites, with the option to include both certificate and sites, display sites only, or display only the active sites
- Logo Licence Code, client’s code if they also have a MSC or ASC Logo Licence
- Action, last action performed for a client within the CoC assessment process

Tip
Certificate Code, Certificate Holder, and Logo Licence Code are free text search. To search using these fields, either part of or the whole name/code can be searched for. These fields are not case-sensitive, and you can search for symbols as well as text.

To reset all fields, click ‘Quick Search’ and ‘Reset Filter’.
Search results will appear initially in alphabetical order of certificate holder but can be listed by any of the fields on the page in ascending or descending order by clicking on any column header.

In the search results, there is a column named ‘Group’. When a search result displays a \( M \) next to the certificate holder name, it indicates that the data entry is a group, CFO or multisite entity (M representing the Main site). The code \( S \) indicates the data entry is a site of a central office. If a search result does not display an ‘M’ or ‘S’, it indicates that the data entry is either a single site certificate or an applicant to the MSC CoC program.

Search results are limited to 10 entries per page on results. Use the arrows at the bottom right of the screen to find the relevant record or use the text box at the top of columns to further query the results.

A user can edit the order of the search table by ‘drag and dropping’ columns or hiding columns they do not use. To hide columns click ‘Grid Settings’ on the top right of the table, ‘Hide Columns’, select ‘on/off’ and ‘Save’.

### 2.2. Export Function

It is possible to export selected information to a Microsoft Excel spreadsheet where further filters may be applied for internal reporting or recording of clients. To export client information, select the tick boxes on the left-hand side of the records to be exported. It is also possible to select all visible records on screens or all records for export to Excel by clicking the tick box in the top left hand corner of the table, as below.
Once the records that you wish to export have been selected, click ‘Export’ (✓) to bring up the download options:

- Audit Information
- Certificate Holder & CAB’s Primary Contact
- Subcontractor
- Scope & Under MSC Assessment Fish

Select the required export to begin the download process.

2.3. Reminder Function

On the ‘Main Menu’ tab at the top of the page, click on ‘Reminder Settings’. The Reminder Settings can be set up so that CABs are able to receive e-mail notifications reminding them of any or all of the following types:

- A certificate is due to expire
- A certificate has expired
- An upcoming audit
By selecting the type of reminder and selecting how many days before the audit the reminder is due, or expiry of certificate is set to occur, it is possible to be informed of the event.

Tick ‘Active’, indicate the number of days prior to the event you wish recipients to be notified and press ‘Save’ in the top left of the page to save these settings. Note that the ‘time span before’ setting applies to all recipients of the notification. By selecting the second reminder option and following the same steps, it is possible to set up multiple reminders with different dates or recipients of the email reminder.

### 2.4. ECert Tabs

#### 2.4.1. Certificate holder

The ‘Certificate holder’ tab displays the contact persons, information and the Conformity Assessment Body. Address and contact details can be edited in this tab.

#### 2.4.2. Contact persons

This tab shows both the CoC contact persons, as well as the CAB staff member. These can be edited, deleted or added to from here.
2.4.3. Audits

The ‘Audits’ tab displays all the previous audits that have been undertaken, with a search function of ease of navigation. Records can also be deleted and exported to Excel.

2.4.4. Scope

The ‘Scope’ tab provides information on the species, client activities and seafood from under-assessment fisheries.

2.4.5. Certificate

The ‘Certificate’ tab displays a history of all the issued certificates and allows a number of actions to be performed on particular certificates. The certificate history can be filtered by each column and displayed in either ascending or descending order. The table can also be exported to Excel.
2.4.6. Sub-contractors

Sub-contractors can be viewed, added and deleted through this tab. Clicking 'Excel upload' also allows an Excel spreadsheet of sub-contractors to be uploaded if the format is similar to that displayed in ECert.

2.4.7. Suppliers

All suppliers are listed under this tab. Select 'Add new row' to add another supplier to the table. The results can be filtered and exported to an Excel spreadsheet.

2.4.8. Public profile

Please see Section 3.9.

2.4.9. Files

All uploaded files can be viewed in this tab. It is possible to download files to view them and add other files if required.
3. Entering a new Chain of Custody Client in ECert

3.1. Create an applicant / certificate transfer

To enter a new client in ECert, click ‘Create Applicant/transfer client’, this will bring the user to a pop-up box with a search box. First a search for the certificate holder is performed using either Certificate type, country, certificate code or certificate holder name. Please note that the search updates as you type. If the certificate holder already exists then proceed to section 3.2.1 and do not create a new applicant.

If the certificate holder is not found then select create applicant and proceed to section 3.2.

3.2. Enter certificate holder details

The ECert database will assign a new MSC certificate code for the new applicant. If this is a certificate transfer, the same certificate code/s and information in the Certificate Holder, contact person, audit, scope, certificate, sub-contractor, supplier, public profile and files tabs will have moved. It is important that the details are reviewed to ensure information is up-to-date. Information specific to the new CAB will need to be completed (Contact persons > CAB staff member).

For a new applicant, client contact information is entered in the Certificate Holder tab. Fields marked with an asterisk (*) are compulsory. Text can be copied and pasted from any text source and this is an easy way to display the name including any symbols.

Default address
If there are multiple address, the ‘Default Address’ option should be selected.
• Additional addresses can be added by clicking 'Add Address'.
• To delete an address, click 'Delete Address' while in the entry to be deleted.
• Use an address from another client by clicking 'Existing address'.
• General company contact details can be entered for the generic phone, fax and email contact information.
• Comments such as opening hours of the main office (these details will not appear on the Supplier Directory) can be included.
• Click 'Save' to ensure all information entered is saved onto the database. Once you click 'Finish', all other tabs become active.

3.2.1. Transfer a client

3.2.1.1 Requesting a transfer

Having found the certificate holder to be transferred, tick the correct entry and click 'Transfer request'.

Note
The first address entered will be considered the default address and will be visible on the Supplier Directory and the MSC ECert database.

Note
A transfer is not instantaneous and needs to be approved by the client's current CAB or by the MSC if the client does not currently have CoC certification.

This function should not replace the conversation that takes place between CABs during a transfer and the transfer date should be agreed before starting this
Check the company information is correct and enter the transfer date that has been agreed by all parties. In this screen, it is possible to enter any additional recipients that have been involved in the transfer process or who should be notified of this transfer request. You can also choose to leave a comment that will be visible to the other CAB.

3.2.1.2 Accepting a transfer

If you are the current holder of a certificate record, you will be asked to Accept or Decline a transfer.

To accept or view the latest on a transfer, open the ‘CoC dashboard’ under the main menu (shown left). This opens the certificate holder transfer table (shown below) where you can view by requested transfers, accepted and denied. ECert will send a series of reminders when requests are made, decided and occur.
Tip
The transfer process will move records between CABs on the agreed date. This maintains a client’s history and removes the need to create new entries and re-enter information. Client Contact information, certificate code, scope, audit history, suppliers, sub-contractors, sites and public profile information will be moved.

Having selected “Accept” within the dashboard, it will then be possible to select the appropriate documents to be sent to the new CAB in the resulting pop-up window (see screenshot below).

Simply tick the documents that are to be transferred, or tick the box in the top right of the window to select all documents, and click “Accept”. Once the transfer has been accepted, the client record will become read only.

On the agreed transfer date the record will be automatically moved and all parties informed by email. A PDF summary of the client information will be sent to the original CAB for their records.
3.2.2. Contact persons tab

The ‘Contact Person’ tab is split into two sub-tabs:

1. Client contact person (to identify the individual(s) related to CoC within the certificate holder)

2. CAB staff member (to identify the auditor/s involved with the certificate holder)

CoC Certification Requirements (CR)

Section 5.1.4 of the CoC Standard requires clients to appoint an ‘CoC contact person’.

As per Section 11.2.7 of the CoC CR, you must update any change to the contact person in ECert within 10 days.

Client contact person sub-tab: enter client contact information

Contacts are displayed as contact cards. Entering contact information for the client is important so it is displayed correctly on the Supplier Directory. Multiples of the same contact type (i.e. phone number) can be entered. To ensure standardisation, when you are entering phone numbers you will be asked to enter the international dialing code from a drop down list.

To add a new client contact, click ‘New’ and follow the step-by-step guide.
The step-by-step guide will assist in identifying who the client is. For example, to record a sales contact, in the dropdown options on the ‘Client Contact Person’ tab, select ‘Sales Contact Person’ and click ‘Continue’.

**Note**
If you would like to record contact information in ECert but do not want it showing on the Supplier Directory, choose ‘Client Contact Person’ and then ‘Private Contact’ from the second drop-down.
The second sub-tab refers to the contact that links the CAB to the client. To add a new contact select ‘Add new row’ in the table. The contact options are from a dropdown list of staff members at the respective certification body. If the CAB’s project manager or the auditor is not on the list, please email: ECertSupport@msc.org with their details in order for the most up-to-date list to be available to users. Information is automatically saved.

**CAB staff member sub-tab: enter CAB/auditor information**

**Note**
The ‘Main Contact’ must be filled in with a CAB staff person. This is because when requests are made in ECert (interim certification, extensions) an email will be sent to this contact person to advise them of MSC’s decision.

**Tip**
Contacts may be edited or deleted by selecting the row and click on the icon (delete) on the top right-hand side of the table.

### 3.2.3. Create an audit

Open the ‘Audits’ tab.
Once it is available and complete, relevant documentation relating to audits should also be uploaded to the client’s entry onto ECert, such as a CoC audit checklist.

Click ‘New’ to start the process of recording the audit. The mandatory fields are outlined with an asterisk and are as follows:

- **Audit Type;** Initial/Main, Scope Extension, Short notice, Un announced, Re-Certification, or Surveillance
- **Audit Date;** when the audit was undertaken
- **Audit Location;** Onsite or Remote
- **Next Planned;** when the next audit is due to be undertaken. Options are one year, 18 months or Custom Date.
- **Result;** is the suggested audit date OK or Not OK
- **Auditor;** name of the auditor who undertook this audit
- **File;** CoC audit checklist and reporting template - or an approved alternative - needs to be uploaded with all Initial/Main, Re-Certification, Short notice, Unannounced and Surveillance audits. Scope extension audits do not require a mandatory file upload. Multiple files can be uploaded if deemed appropriate.
3.2.4. Adding and amending the scope of certification

Open the ‘Scope’ tab.

There are sub-tables for Species, Client Activities, Under-Assessment products and Files.

You will be able to select from the dropdowns the scope details relevant to your client. A historical record is kept of any changes made.

CoC Certification Requirements

Section 11.2.7 of the CoC CR requires changes to a client’s scope to be updated in ECert within 10 days of a reported change.
Species table
This is a list of all species that are currently associated with the client.

To add to the list, click ‘Add’ (✚) to open the Species pop-up window.

Use the search field at the top of the Name column to filter. You can select one or many species before clicking ‘Finish’ to update the list. Click ‘Save’ to confirm.

To delete a record, select the intended species in the sub table, then click ‘Delete’ (Trash Can) and confirm by clicking ‘Save’.

Note
Species that have already been selected will not appear in the search.
**Client activity table**

*Note*
You will need to select a “main” activity that the client carried out by ticking the appropriate checkbox to the right of the Activity dropdown menu.

You can list all activities relevant to the client here. To add activities, click ‘Add’ ( /^[ ], which will open a new pop-up window. Select the Client Activities and finish. Confirm the list is now correct and click ‘Save’.

If the product cannot be classified using the pre-existing dropdown options, it is possible to select ‘Other (Specify)’. If you choose this option, you must enter the Activity using the free text field ‘Other activities’ to better explain the respective field.

To delete a record, select the intended activity in the sub table, click ‘Delete’ ( ▼ ) and confirm by clicking ‘Save’.

*Note*
Species, Activities and Under-assessment Fishery details are recorded independently of each other. Commentary on any changes to scope fields can be recorded in the ‘Comment’ box.
Under-assessment Fishery / Under-assessment Farm Table

If the CAB has agreed that the client is eligible to have under-assessment product in scope, the details are recorded in the Under-assessment fishery tab on MSC ECert or Under-assessment Farm tab on ASC ECert.

**Note**
This table is optional and should only be completed if requested by the Certificate Holder. Eligibility to handle under-assessment product is restricted to fisheries, farms or named members of a fishery or farm client group.

To add an under-assessment product, click ‘Add’ (✍️) to open a new pop-up window. First complete the Species drop down and choose from list of possible fisheries or farms. The lists will filter as you type. Once found click ‘Add’ and repeat if there are more under-assessment products before selecting ‘Finish’.

**Note**
Species, Activities and Under-Assessment product details are recorded independently of each other. Commentary on any changes to scope fields can be recorded in the ‘comment’ box.
To delete a record select the intended under-assessment product in the sub table, click ‘Delete’ ( ) and confirm by clicking ‘Save’.

The ‘Under-assessment Fishery’ tab also identifies the status of both the species and the fishery with ‘traffic lights’.

**History dropdown**

To review historical records of how scope has changed over time, select the historical date from the ‘Show history’ dropdown in the top-right corner. This will also show the ECert user who made the change.

The comment field when entering the scope information can be very useful to help clarify any changes that have previously occurred.

**Note**

If the fishery and species become valid, the species will automatically move to the species Scope field as a valid species, and this information will remain in the Under-assessment Fishery tab for reference. This will also be reflected in the Find a Supplier listing.

**Note**

You can download data for Scope and Under-Assessment Product details at either certificate holder or site level by clicking ‘Export’ ( ).
3.2.5. Issue a certificate

It is at this stage a certificate may be issued to a client, therefore validating their ECert entry. There are three possible options:

- Issue a regular certificate;
- Apply for an interim certificate; or,
- Cancel applicant status (if the applicant will not continue with certification)

A history of all changes to the certificate (alongside any document uploads) is recorded towards the bottom of the ‘Certificate’ tab page.

**Issue a regular certificate**

To issue a regular certificate, ensure you have entered the correct type of certificate - single, multi-site, group, or CFO.

Click ‘Issue regular certificate’ and select the issue date (with the expiry date automatically changing to three years after the issue date minus one day). The certificate is uploaded here, with the appropriate file type chosen from the drop down.

When all the required details are entered, click ‘Perform action’ to complete.

**Issue an interim certificate**

To apply for an interim certificate, click the button once. Enter the same details as above and in the ‘Issue date’ field, select the date at which this certificate is to be
valid from. The expiry date will automatically reflect a validity date of three months from the date of issue. The audit must take place within this three month period.

A mandatory file upload is expected and this is with reference to the risk assessment that the CAB should have carried out in order to apply for an interim certificate as per the Certification Requirements.

Once the explanation has been detailed in the comment field and the risk assessment has been uploaded in the files section, the interim certificate can be applied for by pressing ‘Perform action’.

At this point, the MSC will be notified of the request for an interim certificate and review the application. The MSC will accept or decline the application. If the audit does not take place within three months, the interim certificate will expire.

**Note**
The ‘Main Contact’ in the ‘Client Contact’ tab must be filled in with a CAB staff person. This is because when requests are made on ECert (interim certification, extensions) an email will be sent to the contact person listed here to advise them of MSC’s decision.

**Tip**
If the MSC accepts the interim certification, this does NOT mean that the certificate has been issued. The certificate will have to be issued by the CAB by selecting «Issue», allocating a certificate code and pressing ‘Save’.

**Cancel applicant status**
You should cancel the applicant status of a client if they do not want to proceed with CoC certification.

Completing the comment box is advised, so that auditors and the MSC are aware of the details.

**Changing the type of certificate**
Changing the certificate type is done from the ‘Certificate’ tab. In the ‘General Data’ table select from the following list;

- Consumer-Facing Organisation (CFO) Certificate
- Group Certificate
- Multisite Certificate
- Single Certificate

**Note**
If changing from a Certificate with sites to a Single Certificate, you must delete the sites first or this option will remain hidden.
On saving, the ‘History’ table will be updated to reflect the change.

| History | | |
|---|---|---|---|---|---|---|
| Edit | Documents | Changed on | Certificate code | Issue date | Expiry date | Certificate type |
| | | 08/06/2016 | MSC-C-55372 | 09/09/2016 | 08/06/2019 | Single Certificate |
| | | 07/06/2016 | MSC-C-55372 | 09/06/2016 | 08/06/2019 | CFO Certificate |

3.2.6. Supplier management

The ‘Supplier’ tab allows CABs to keep note of which CoC certified companies are supplying their respective clients. It is possible to search through the supplier list using the search fields.

To add a supplier (whether a CoC holder or Fishery), click ‘Add new row’ (the top line of the table). In the company search pop-up window you can search and add multiple suppliers at once. There are three main steps to adding suppliers.
1. Filter: You can search by:
   a. Name, certificate code and or country.
   b. Multiple certificate codes. These can be pasted from a spreadsheet following the on-screen instructions.
2. Results: Review the results by name, code (old fishery codes are displayed below the fishery name) and type (e.g. Certificate holder, fishery or site.) and click 'Add'. Select more than one if applicable.
3. Selected Companies: These are the suppliers clicked in the results and they will be added to the supplier list once you select ‘Save and Close’. You will need to click ‘Save’ on the main screen to confirm the updated list.

**Note**
If a supplier has already been added, it will not appear in the search results.

**Note**
Supplier information is confidential to ECert users and cannot be viewed on the Supplier Directory by public users.
3.2.7. Uploading files

The ‘Files’ tab allows you to access all documents relating to the client that have been uploaded. As well as showing documents previously uploaded, it is also an area where CABs are able to upload further documents, for example, a report detailing why a certificate was reinstated following suspension. You have the option to rename the subject of the document once it is uploaded (if left unchanged, it will simply state the file name of the document uploaded). Please use the correct File Type option in the drop down. Clicking ‘Save’ will upload the document to ECert and record the date of upload.

Variation requests and responses will be uploaded to ECert by the MSC Supply Chain Standards team.
3.2.8. The public profile tab

This is an optional field which will be displayed on the Find a Supplier search results page. A logo can also be uploaded which will help with the corporate identity of the company.

To upload a logo, click on the ‘Browse’ tab and select the desired file. The marketing information allows for 250 words to promote the client and their activities. The desired language is English to reach the greatest audience but it is possible to enter this text in other languages. Click ‘Edit’ (📝) to update.

Note
All public profile information will be shown on the Supplier Directory.
4. Changes and modifications to CoC Certificates

4.1. Reissuing a certificate

In the ‘Certificate’ tab, click ‘Reissue certificate’. A pop-up window will open, allowing the user to select the new validity dates of the certificate (issue and expiry; the latter is automatically chosen as a three year period from the current date). At this point, any new files relating to the reissuing of the certificate can be uploaded. Finally, to save the information, click ‘Perform action’, the window will close and the history table at the bottom of the page will update to show the reissuing of the certificate.
4.2. Applying to extend a valid certificate

To apply for an extension to an existing certificate, click ‘Apply for extension of certificate’. A pop-up window will open with the certificate dates editable with three months added to the expiry date, please amend if shorter. Files can be uploaded to support the application. Click ‘Perform action’ to submit the application for extension. Until the extension has been accepted or declined, the CAB will no longer be able to edit any of the CoC client’s certificate functions.

**Note**

You must fill in the reason and comments sections to justify the reason for the extension.

The MSC team will be informed of the application and aim to respond within 10 days. Once a review of the supporting material has been completed, a decision on whether or not to allow the extension of the certificate will be made.

If a company has been granted an extension, this will be shown in the certificate history at the bottom of the page along with any private comments between the MSC and the CAB.

**Note**

‘Main Contact’ in the ‘Client Contact’ tab must be filled in with a CAB staff person. This is because when requests are made on ECert (interim certification, extensions) an email will be sent to the contact person listed here to advise them of MSC’s decision.
4.3. Suspending, withdrawing or cancelling a certificate

Suspending, withdrawing and cancelling a certificate all follow a similar pattern on ECert as above. Select the relevant function on the left hand side of the page and this will open up a pop-up window. Select the date at which the change will come into effect in the field ‘Date from’, add any additional comments (a minimum of 10 characters must be entered), and upload any necessary documentation.

There are a number of dropdown options under ‘Reason’, one of which will have to be selected to suspend, withdraw or cancel a certificate before pressing ‘Perform action’. Once saved, the change will be added to the certificate history and the change will also be reflected on the Supplier Directory.

**Note**
If a certificate is suspended, withdrawn or cancelled, you must give a reason in the comment box.

- **Suspended certificate**: temporarily making a certificate invalid.
- **Withdrawn certificate**: terminating a certificate for a breach of the CoC Standard.
- **Cancelled/Expired certificate**: Voluntary cancellation of certification by either the CAB or client, according to contractual arrangements, or the certificate has reached its expiry date and is automatically cancelled.
5. Issuing Group / Single / Multisite / CFO certificates

Choose the relevant option in the dropdown when creating the applicant.

The information entered for the ‘Certificate Holder’, ‘Contact Person’, ‘Audits’ and ‘Scope’ tabs relates to the central office. Enter the information as for a single site certificate.

Upon validating the client, a further tab will appear called ‘Sites’. With the scope for the central office, it has to be the broadest scope for all of the sites covered under the certificate. If the central office does not cover certain elements of scope (including activity, product form, storage or presentation), then it will not be an option in the scope options for each individual site. Ensure the central office has the broadest scope option that is covered under the certificate. If necessary, each site can have scope specific to its individual site.

Any information stored in the ‘Files’, ‘Supplier Management’ and ‘Public Profile’ tabs relates to the central office and not any of the sites.

5.1. Manually adding sites

If the number of sites is small, add the individual sites manually to the database by clicking ‘New’ ( ). This opens a pop-up window that is part of two steps. Step one is the information specific to the site. This means company name is the company of the site (may or may not be different to the central office), address, contact information and contact persons are all specific to each site.

General Certification Requirements

Withdrawal: CABs shall record the cause of withdrawal in ECert, specifically noting that the client may not reapply for CoC within two years if the same certificate has been suspended for a second time within the three-year period.

Suspension: A suspended certificate shall be recorded in ECert within four days.

As per Section 7.4.13, you must upload a report documenting how the cause of the suspension has been addressed along with a statement confirming the
Enter the specific site details for the first step and click ‘Save and continue’. Step two is for certificate information specific to the site. Here, a Sub Code and the status of a certificate must be applied to a specific site. In addition, CFO certificates must be identified as either Consumer-Facing, Operations or Both.

It is also at this stage where the Member Status is selected for the site. To be a valid site, the ‘Active’ status should be selected. All other options indicate an inactive site within the group. When a site becomes inactive, the date at which this change is made should be selected in the ‘Date To’ option (pop-out calendar to choose the date).

It is important to select how the site will show on the Supplier Directory. Please tick the appropriate options:

- ‘Display site on SD’ (Site will show on the page of the main certificate holder)
- ‘Display site in SD’ search (Site will appear in the search)

Click ‘Save and close’ to finish.

It is possible to bulk update the Supplier Directory preferences from the ‘Sites’ tab. Start by selecting the site(s) you wish to update and then choose any of the following:

- ‘Hide Sites on SD’ (Site will not show in search or under main certificate holder).
- ‘Show Site on SD, do not display on search’ (Site will only be visible under the main certificate holder).
- ‘Show site on SD, display on search’ (Site will appear in search results and under the main certificate holder).

A green tick (✓) will show in the associated columns to indicate the chosen option.
Updating site specific information can be done by clicking on a site from within the main certificate holder. If the contact information is different this can be updated with the same method as per section 4.2 of this document (Enter Certificate Holder Details).

The ‘Scope’ tab, as default, displays the entire scope for the central office. This scope can be reduced but cannot be increased to cover further details without first extending the scope of the central office. To remove specific activities, species, or details on under-assessment product, deselect the relevant option from the dropdown box.

When in the Site entry, the ‘Certificate’ tab will be non-editable as the site will share the same certificate details as the central office (with the exception of the sub code which is displayed in the Site Details tab). To edit certificate information, go back to the ‘Certificate’ tab for the central office.

It is possible to upload specific files to a site using the ‘Files’ tab. This will remain linked to the site and not the central office.

A site can have an individual public profile (marketing information and company logo). This will be unique to the site and not linked to the marketing information of the central office. If left blank, it will display the marketing information of the central office.
Further information on how to enter marketing information onto ECert can be found in

Section 3.9 of this document (Public Profile tab).

5.2. Adding sites using the upload function

When a certificate includes a large number of sites, it is possible to use the upload function. This function allows users to upload new, and amend, multiple sites to the database at any time. There are different ways you can about this.

CoC Certification Requirements
As per Section 11.2.7, changes to new sites and new activities at sites must be updated in ECert within 10 days.

Microsoft Silverlight Download
In order for the upload feature to function correctly, Microsoft Silverlight is required on the computer being used for the upload. This can be downloaded through ECert but will need administrator rights on the local computer in question. Please speak with the relevant IT colleague within the certification body’s organisation to authorise such a download.

Spreadsheet Uploading
Click on ‘Excel Upload’ under the ‘Sites’ tab to open the pop-up window. The upload function is compatible with Microsoft Excel.

A template spreadsheet is available for CABs by clicking on ‘Download template’, seen above. The site upload template is the same as Tab ‘4. Site list’ in the CoC Audit Checklist.
The Excel spreadsheet is to be filled out and saved before attempting to upload to ECert. The spreadsheet can be filled out manually or it can be copied from the CoC Audit Checklist.

If mandatory fields are left blank on the spreadsheet, an exclamation mark will appear next to that specific site with text detailing what mandatory information is missing. You will need to fill this in before you can proceed. The scope of each site will still be produced from the central office’s scope information and will need to be altered manually if needed.

Please note that comment fields indicate whether the upload function requires mandatory data, and where editing or additions are needed. Countries should be entered using the ISO 2-letter-codification.

Please note, ISO's country code standard codes can be found [here](#).

To start the upload and validation process click ‘File’ (QJ). The sites are imported and displayed alphabetically by site name.

Click ‘Check data’ to validate the records and check against any sites already added.

A filter can be applied to the results to assist with error checking. The Filter lines table lets you turn off records with a particular status (i.e. to view only records with an error, untick all other statuses and actions). If all records are ready for import they will show as green and you can click ‘Import data’.

### Filter lines

<table>
<thead>
<tr>
<th>Status</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td><img src="#" alt="Show lines with an error" /></td>
<td><img src="#" alt="Show lines that are OK" /></td>
</tr>
<tr>
<td><img src="#" alt="Show lines that are ready to import" /></td>
<td><img src="#" alt="Show lines that have been imported" /></td>
</tr>
<tr>
<td><img src="#" alt="Show lines that are ready to insert" /></td>
<td><img src="#" alt="Show lines that need an update" /></td>
</tr>
</tbody>
</table>
Once any missing information is entered into the upload information table, click ‘Check Rows’ again. If this check is successful, click ‘Import data’ and the information will be imported to the sites tab for that individual central office.

6. Sub-contractor recording

Sub-contractors’ details shall be recorded in the ‘Sub-contractors’ tab.

To add sub-contractors, click ‘New’ (+). This opens a pop-up window with two steps. The first step records the company details, and the second step (shown below) records the activities (tick box), species, when the subcontractor was last visited, and certificate code (if relevant). Species and other activities are free text.

CoC Certification Requirements

As per Section 11.2.7, changes to new sites and new activities at sites must be updated in ECert within 10 days.
Subcontractors can also be added by selecting ‘Upload’ and using the template provided in the MSC CoC Audit Checklists.

Sub-contractors can be edited by clicking on the appropriate subcontractor from the list. The first screen in the pop-up window allows editing of the Contact Information. By selecting the ‘Sub-contractor details’ tab (see below), the records on species, activities, visits and/or certificate code can be edited.

Sub-contractors can be deleted by first selecting the record(s) and clicking ‘Delete’ (Trash can).

### 6.1. Historical records

It is possible to review the historical records of sub-contractors using the History drop down box in the top right of the page and choosing the required date. Strikethrough rows highlight previous sub-contractors.
Details of sub-contractors can be exported by first selecting the record(s) and clicking ‘Excel export’ (€1). A global export against multiple certificate holders can be done from the main search page from the Export icon.
7. Specific guidance for ASC ECert

Note
- All ASC certificate holders shall also exist in MSC ECert
- CABs shall ensure that data regarding company names and certificate dates, extensions, suspensions, withdrawals and re-certifications are the same in MSC and ASC ECert

7.1. Logging into ASC ECert

ECert can be accessed by most web browsers. Small differences may be seen in the font and layout from browser to browser dependent on the display settings and current version of the software being used.

The following URL should be used to access the login page of ASC ECert:
https://cert.msc.org/asc

7.2. Entering a certificate holder (CH) in ASC ECert

It is part of the CoC Certification Requirements that any ASC certificate holder must also exist in MSC ECert, even if they do not handle any MSC species. To do this, you must create the certificate in MSC ECert first and then use the ‘Take over CH from MSC’ function in ASC ECert.

Start by clicking ‘Takeover CH from MSC’:
This will start a three-step process. The first step asks for the certificate type; select and continue.

Step two brings you to the following dialog window where you can search for the client by Certificate code, Certificate Name, Country or State.

Select the Certificate Holder you want to take over from MSC ECert to ASC ECert and click ‘Continue’.

In Step three you can review the Certificate Holder information before selecting ‘Take over’.
Important: ASC ECert generates the CoC code when the applicant is created.

The CH will now appear in ASC ECert with their basic contact details and Contact Person tabs completed. All other tabs will require you to enter the ASC-relevant information.

**Note**
For certificates that are ASC only (do not have MSC product in scope), the CAB shall leave the scope tab blank in MSC ECert. CABs shall also include a note that the certificate is ASC only in the Comment box on the main Certificate Holder tab and, if the client wishes, also in the Marketing Information box on the Public Profile tab.

7.3. Farm management – Creating new fish farms

Log in to ASC ECert and select ‘Farms’ under ‘Farm Management’ in the Main menu at the top left of the page.
To add a new farm, click ‘New’ (+). This will open the regular contact information form, as below.

When the contact information is complete click ‘Save and Close’. This will open the new farm in the Species window (as below). To start adding species click ‘Add new row’.

Once a selection is made from the list click ‘Done’ (as below) and repeat as necessary. Save to confirm the selection.
Finally, move to the Files section to upload any relevant documentation and click ‘Save’.