

COMPLETION OF THE EC CERTIFICATE OF ORIGIN

FURTHER INFORMATION AND PROBLEM SCENARIOS

Formal Undertaking

- To obtain Certificates of Origin, a Formal Undertaking must be completed by the applicant and held on file by the Issuing Body. The Formal Undertaking must be completed and signed by a Proprietor, Director, Partner or Company Secretary of the applicant company and given to the Chamber by post or by hand, or it can be emailed.
- In the Formal Undertaking the applicant (exporter) agrees to take responsibility for ensuring the correctness and accuracy of the information on the Certificate of Origin. This also includes providing the Issuing Body with access to any relevant commercial information that may be requested from a statutory authority e.g. HM Revenue & Customs or other officials.
- The formal undertaking must be renewed annually i.e. you do not need to provide a new Formal Undertaking with each application as long as the one held by the Chamber is current and contains relevant signatures. You may download a Formal undertaking Form from the London Chamber of Commerce and Industry (LCCI) website: www.londonchamber.co.uk

Please note that the London Chamber of Commerce and Industry (LCCI) cannot issue a Certificate of Origin without a current Formal Undertaking or if the signature of the person who signed the Certificate of Origin (or any other document to be certified or authenticated) is not on the Formal Undertaking.

**EC CERTIFICATE OF ORIGIN FORM
Box by box information**

Problem scenarios

Box 1 – Consignor

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This box must indicate the name and address of the UK exporter. The address must end with “United Kingdom” (abbreviations are not allowed). Some exceptions to this may be:

Problem A. An exporter requires his supplier to raise the certificate.

Box 1 should show the supplier’s name and address and the phrase “on behalf of” followed by the exporter’s name and address. A copy invoice from the supplier to the exporter showing the ultimate country of destination of the goods, or, if known to the supplier, the ultimate consignee must be produced as supporting evidence.

Problem B. A subsidiary of a multi-national company is exporting goods from the UK but the multi-national has a centralised invoicing system based outside the UK, but within the EC.

The name and address of the UK subsidiary should be entered in box 1 together with the phrase “on behalf of” followed by the name and address of the parent company. The parent company’s export invoice to the consignee countersigned by the subsidiary showing that the goods are being shipped from the UK should be produced as supporting evidence.

Problem C. A multi-national company carries out all of its export administration in the UK regardless of the country from which the goods are exported.

Provided that it can be positively shown that the UK Company is wholly responsible for the documentation pertaining to the exporter's business, it is permissible for box 1 of Certificates of Origin to refer only to the exporting company, but only if that company is within the European Community. The reverse of the Pink Application Form (Box 9) would then have to contain the UK Company’s details and the Box 8 signed by an authorised signatory of the UK Company.

Problem D. An overseas company requests a UK Forwarding Agent to raise a Certificate on their behalf.

Answer. The agent must supply a letter of authority to the Issuing Body from the overseas company authorising the agent to complete the Certificate of Origin on their behalf. Box 1 will state the UK agent's name and address followed by "On behalf of (name and address of the overseas company). The overseas company's commercial invoice must be supplied as back up. The invoice need not be stamped and signed by the agent unless it is required to be certified in which case the Issuing Body will authenticate the agent's signature.

Box 2 - Consignee

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This box should show the name and address of the overseas receiver of the goods shipped. Issuing bodies must ensure that an export of goods is clearly indicated. The C/O is an export document and must never be issued showing a UK consignee.

Problem A. The name and address of the overseas receiver is not known and the goods are delivered to a UK port or airport on the instructions of a buyer who is consolidating several consignments into one shipment; or the goods will only be consigned to a named receiver once they are in transit or have arrived in the country of destination.

Box 2 should be completed by insertion of "To order" followed by the name of the country of destination. Supporting evidence is provided by the consignor's invoice to the buyer subject to it containing a clear declaration as to the ultimate country of destination.

Problem B. The goods are to be shipped to someone other than the buyer but for contractual reasons a reference to the buyer is required.

Box 2 should be completed "To the order of" followed by the buyer's name and address and "For Despatch to" followed by the name and address of the receiver of the goods overseas. If the overseas receiver is unknown, the name and address of the buyer should be inserted following "For despatch to". Supporting evidence is provided by the consignor's invoice to the buyer subject to it containing a clear statement as to the overseas receiver or the ultimate country of destination as appropriate.

Box 3 - Country of Origin

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- The EC rules provide that goods that originate in the Community should be designated as of "European Community" origin. The rules also provide that where the needs of the trade require, this statement can be amplified to indicate the individual state of the EC eg. "European Community - United Kingdom". When an item is manufactured or produced by processes performed in two or more member states of the EC the rules specify that the goods must be designated simply as of "European Community" origin
- Another issue, which should be noted is that substitution of "England", "Scotland", "Wales" or "Northern Ireland" for United Kingdom is **not** acceptable. Where, for commercial reasons or financial reasons e.g. L/C compliance, such detail is required this should be done by adding to the correct designation e.g. "European Community - United Kingdom (Scotland)".
- For goods of non-community origin the correct designation is the name of the country of origin concerned. Reference to an economic grouping of countries, e.g. EFTA, or a vague geographical region, e.g. Western Europe, is not acceptable.

For goods of multiple origin, if there is insufficient space in Box 3, the wording in Box 3 should read “As shown in Box 6”. The origin designation is then completed by showing the appropriate origin against each item in Box 6.

LCCI will not be able to issue a Certificate of Origin if abbreviations are used. Use of “EC -UK” is not permitted because such abbreviations do not translate effectively. Similarly, combinations of abbreviations and full entries are not acceptable i.e. “EC - United Kingdom” or “European Community -UK”. In all cases the origin must be clearly stated in full.

Box 4 - Transport Details

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This optional box may be left blank by the applicant if so desired. In normal practice it is usual to show the mode of transport used e.g. Seafreight, Airfreight, Road or Rail.

Box 5 – Remarks

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This box is deliberately left as a spare space; although no entry is required in this box, there is no objection to issuing bodies allowing use of this box. For example:

When the issuing body needs to endorse the certificate in some way. The most frequent endorsement relates to a Certificate that is issued to cancel and replace a previously issued Certificate. In this instance the following wording should be used 5 “This Certificate cancels and replaces Certificate Number issued(date of issue)”.

When the applicant is required to include a reference to a Letter of Credit number and the name of the bank issuing the Letter of Credit or a reference to an import licence number granted by the Country of destination. However, this information can be included in Box 5 only where the issuing body is satisfied as to the accuracy of such additional details (i.e. a copy of the Letter of Credit should be given to the issuing Body)

Box 6 - Description of Goods

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This box covers the goods actually being exported and requires the applicant to provide certain information for the purpose of consignment identification. This information takes the form of marks and numbers, number and type of packing used, description of the goods and, where appropriate, item numbers.

Description:

A full commercial description of the goods is required. This must clearly indicate the nature of the goods and should not be vague or general e.g. spare parts, nor should it solely be given by reference

to a trademark or brand name E.g. 'Bisto' instead of gravy granules. However, occasionally the space in Box 6 is insufficient to include the extensive descriptive detail required. This usually occurs when the C/O covers consignments of multiple goods that need to be specified individually. When this occurs the applicant must either:

- give a general description followed by the words "As per Invoice Number xxxxxxxx".

Or

- use two or more C/O forms according to the space required. The serial number of the second form and any subsequent forms must be deleted and replaced by the serial number of the first set used. This alteration will be verified by use of the alteration approved stamp. Each form must also bear the number of forms which comprise the C/O in total e.g. Page 1 of 3, page 2 of 3, page 3 of 3 etc. The originals of all the sets used should be stapled together, as should the copy certificates and applications thus forming one multi-sheet certificate

Trade names or catalogue references are not sufficient (i.e. Marmite would have to be stated as "yeast extract"). For medicines or chemicals, the product name and use must be stated i.e:

Pharmaceutical products / medicines (Penicillin tablets ip 400mg)
Product use: antibiotic

When Certificates are presented for multiple goods and there is sufficient space in Box 6 to complete the entry each different description must be clearly itemised and numbered Item 1, Item 2 etc. as part of the description in Box 6. Where multiple goods are of varying origins the origin in box 3 should be related to the individual items e.g. Item 1 European Community United Kingdom; Item 2 United States of America etc. If the entry "As shown in Box 6" is used in Box 3 the itemised description of the goods in Box 6 must also include the country of origin.

Marks and Numbers:

This refers to the actual marks and numbers stencilled or otherwise affixed to the packages being shipped. Usual practice is for such marks to be a combination of:

- Lead marks, which serve to identify either consignor or consignee
- Port marks which identify port, airport or other place of destination, e.g. inland clearance depot
- Any reference or order number required by the contract, usually a combination of letters, numbers; and even symbols; and
- The actual package numbers, e.g. 1 of 1, 1-10, 1/15.

Shipping marks and numbers MUST be shown or if the package is only addressed the word "fully addressed" is sufficient. If there are no shipping marks the word "unmarked" MUST be shown.

Number and type of packing used:

This relates to the number of cartons, crates, boxes, pallets, bales, rolls etc. that comprise the consignment. With the use of containerisation the entry may merely refer to a container number. Often details of containerised consignments have the addition of the seal numbers used when such containers are finally sealed after loading. For conventional cargo the type of packing used must be specified. The number of packages should in all cases agree with the numbers shown on the marks and numbers.

If goods are shipped in bulk or unpacked, then the C/O should be marked “Unpacked” or “Loose” or “In bulk”.

Problem A. The exporter uses a description for commercial reasons, which does not meet these requirements.

Such descriptions are permissible in addition to the normal trade description provided that the issuing body is satisfied that both descriptions used are capable of the same meaning E.g. ‘Bisto – gravy granules’.

The issuing body must ensure that the description used is fully consistent with the invoice details submitted with the application. e.g. if the price of the goods is shown on the C/O this must be checked with the supporting invoice to ensure agreement. The EC requires that all statements on C/O’s are made in positive terms rather than negative terms. Applicants must therefore declare what the goods are rather than what they are not. Statements that detract from such positive declarations are not permissible.

Problem B. The C/O contains political boycott declarations that goods do not originate from blacklisted countries or sources.

These are forbidden. The C/O will be refused until the political boycott declarations are removed either by deleting them from the C/O and approving the alteration or by submission of a new C/O omitting the offending declarations.

Problem C. An agent submits an application which incorporates the qualifying phrase ‘said to contain’ or its abbreviation ‘stc’.

This is prohibited because it denies positive knowledge of the goods shipped. The exporter’s agent must possess such knowledge in order to complete the application correctly. The phrase must be deleted from the C/O or a new C/O prepared.

LCCI will not be able to issue a Certificate of Origin without a sufficient description of goods, marks and packaging.

Ruling off (Box 6)

- To ensure that nothing can be added to the C/O after it has been issued by LCCI, all unused space in Box 6 MUST be ruled off. This is done with a horizontal line under the last entry in the box with a further diagonal line through all remaining space.

LCCI will not be able to issue a Certificate of Origin unless all pages have been ruled off.

Box 7 - Quantity

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The vast majority of C/O's include net or gross weights or both. If only one weight is given it should be clearly stated whether it is a net or gross weight. Weight is not the only means of measurement that can be inserted in Box 7 and in certain trades other units of measurement are more appropriate e.g. litres, metres, cubic dimensions or simple quantity. Any such entries MUST be given using the metric system.

LCCI will require evidence as to the accuracy of such details i.e. invoice, packing list, shipping document will have to be provided.

LCCI will not be able to issue a Certificate of Origin without weights or quantities stated or if these cannot be referenced against the submitted documentation.

Box 8

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On the Original and Copy Certificate(s) no entry is permitted by the applicant in Box 8. This is the space reserved for the issuing body to use to authenticate the document having completed its checking operations. On the application form, however, Box 8 must be completed by the applicant because this comprises the formal application for the document together with a declaration that the information given, whether in the body of the Certificate, or in response to information requests from the issuing body, including verbal requests, is correct. The applicant must complete the declaration by signing and dating it and must add the name of the signatory in block capitals to assist with identification. LCCI will ensure that all signatures are of duly authorised personnel of the applicant and have been registered with the issuing body (in form of a Formal Undertaking).

Box 9 (on the application form)

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This box must be completed when the applicant is an agent of the exporter. In such cases the agent must show his name and address in this box. A specimen signature MUST be held on file by LCCI.

Reverse of the pink Application Form (Origin Boxes)

This forms part of the application and undertaking signed by the applicant in box 8 on the application form and MUST be completed. This is done by the applicant ticking the box appropriate to the goods in question and providing the necessary supporting documents, as required. There are three boxes to choose from:-

1. Where goods are wholly of United Kingdom origin. This relates to UK raw materials or goods manufactured from UK raw materials (minerals, farmed meat, vegetables, fish).

2. Where goods are of United Kingdom origin by virtue of the processing that the goods have been subjected to in the U.K. Most manufactured goods contain some component parts manufactured overseas; this box is, therefore, often the most appropriate

3. Where goods have been produced / manufactured outside the United Kingdom. In such circumstances the origin has to be declared and a list of supporting documents given in support of the declaration. Such supporting evidence must be attached to the application and made available for examination.

LCCI will not be able to issue a Certificate of Origin without a correct box being ticked (for applications involving multiple origins, more than one box should be completed as appropriate).

Reverse of the pink Application Form (Manufacturer details).

- The name and the address of the Manufacturer **MUST** be shown on the Reverse of the Application Form
- If manufacturer details are shown in BOX 6 on the Certificate, then it is sufficient to state "As listed in BOX 6"
- If full manufacturer details (i.e. name + address) are shown on the 3rd party evidence (i.e. foreign C/O, Manufacturer's invoice) then it is sufficient to state "as per enclosed C/O, Manufacturer's Invoice etc".

LCCI will not be able to issue a Certificate of Origin without Manufacturer's name and address being stated on the reverse of the Application Form, Box 6 or the backup documentation.

Evidence of origin Requirements.

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- For goods of UK origin: it is sufficient to enter name and address of UK manufacturer on the reverse of the Application Form
- For goods of FOREIGN origin: the applicant must produce evidence to identify the re-exported goods with the goods previously imported and support his declaration of origin by producing:
 1. a Certificate of Origin of a responsible body in the country of export, or
 2. a copy of the invoice from the manufacture, or
 3. a declaration by the actual producer or manufacturer of the goods, or
 4. a copy of the import entry against which the goods were cleared by H.M. Revenue & Customs

LCCI will not be able to issue a Certificate of Origin without signed box 8 (on the Application Form only) and the appropriate EVIDENCE AS SHOWN ABOVE.

Other problems with Certificates of Origin.

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- a. Replacements for lost certificates. The original application copy on file at the Chamber must match with the new replacement. Provided the details agree the replacement can be granted. The document MUST state in Box 5 “This Certificate cancels and replaces Certificate Number issued (date of issue)”.
- b. Errors in Certificates. Any alteration MUST be ‘alteration approved’ by LCCI. If, however, the extent of the alterations on the form are such as to render it unintelligible LCCI will refuse the Certificate and request a new application.
- c. Mutilated Certificates. These will be refused in the same way as unintelligible certificates.
- d. Duplicate Certificates. These are permissible provided that:-
 - i. the numbers on all the ‘original’ certificates are amended to agree with the first original; and alteration approved
 - ii. the facts are noted on the forms e.g. 1 of 3 originals, 2 of 3 originals etc.. Such notation should be given at the top of the forms or in box 5;
- e. Backdating an application for a Certificate. LCCI MUST receive supporting evidence and an explanation as to why backdated Certificate is needed. LCCI will refuse to issue a Certificate if it is suspected that an attempt was made to secure a fraudulent Certificate.
- f. Retrospective application for copy certificates. This is acceptable provided that the Original Certificate number is entered on the copies and the copies correspond precisely with the original. The copies can be dated with the same date as the original date of issue. It is not essential that they be signed by the same authorised signatory that signed the original forms, however, the applicant’s signature MUST be on the Formal Undertaking.

PLEASE NOTE THAT IT IS ESSENTIAL THAT THESE RULES ARE APPLIED FULLY WITHIN YOUR APPLICATION TO ENSURE THAT YOUR DOCUMENT HAS BEEN PREPARED IN LINE WITH CURRENT CERTIFICATION REGULATIONS AND TO AVOID RISK OF REJECTION WHEN SUBMITTED FOR ISSUING BY LCCI.