Marine Stewardship Council fisheries assessments

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[Fishery name]

Surveillance Review of Information

|  |  |
| --- | --- |
| Conformity Assessment Body (CAB) |  |
| Assessment team |  |
| Fishery client |  |
| Assessment Type | First / Second / Third / Fourth Surveillance |
| Date: |  |

Introduction

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| This template details the information required from Conformity Assessment Bodies (CABs) when creating a Surveillance Review of Information statement A separate Surveillance Reporting Template is provided for other types of surveillance audit.  In line with MSC Fisheries Certification Process (FCP) v2.2**,** 7.28.17.1, if a Conformity Assessment Body (CAB) has access to new information that may affect the scoring of any Performance Indicator under the review of information audit, the CAB shall undertake an off-site audit. If the CAB completes an off-site or on-site surveillance audit, the Surveillance Reporting Template shall be used.  If any discrepancies are noted between this template and the MSC Fisheries Standard, CABs and teams shall use the wording of the MSC Fisheries Standard.  Please complete all unshaded fields. Where instructions are included in *italics*, please delete and replace with your specific information. All grey boxes containing instructions may be deleted, e.g. the ‘Introduction’ section. |

1. Contents

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| Insert a table of contents. |

1. Glossary

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| View the MSC-MSCI Vocabulary. Insert an optional glossary or list of acronyms used. Note that any terms defined here shall not contradict terms used in the MSC-MSCI Vocabulary. |

1. Executive summary

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| The executive summary shall include:   * A description of the surveillance audit process. * A brief history of assessments. * A summary of surveillance audit findings. * A statement confirming the status of certification (e.g. certified, suspended, etc.)   Reference(s): FCP v2.2 Section 7.28 |

1. Report Details
   1. Surveillance information

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| The CAB shall include in the report the surveillance information table below which can be copied between the Surveillance Review of Information Template and Surveillance Announcement Template. |

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| --- | --- | --- | --- |
| **Table X – Surveillance information** | | | |
| 1 | Fishery name | | |
|  |  | | |
| 2 | Unit(s) of Assessment (UoA) | | |
|  |  | | |
| 3 | Date certified | Date of expiry | |
|  |  |  |
| 4 | Surveillance level and type | | |
|  | * Indicate surveillance level and type, e.g. Surveillance level 4, off-site surveillance audit (FCP v2.2 7.28.1-7.28.7). * If surveillance activity has changed from what was indicated in the surveillance program in the PCDR or a previous surveillance report, also note that this is the case and provide updated surveillance program in Appendix 2. | | |
|  |  | | |
| 5 | Surveillance number | | |
|  | 1st Surveillance |  | |
|  | 2nd Surveillance |  | |
|  | 3rd Surveillance |  | |
|  | 4th Surveillance |  | |
|  | Other |  | |
| 4 | Surveillance team leader | | |
|  | * Indicate name of team leader and areas that they are responsible for. Explain how they meet the competency criteria (FCP v2.2, 7.28.14.1-7.28.14.4). If relevant, indicate whether team leader will be on-site or off-site. | | |
|  |  | | |
| 5 | Surveillance team members *[remove if not applicable]* | | |
|  | * If more than one auditor, also list additional auditors and explain how they meet competency criteria (FCP v2.2 7.28.14.1-7.28.14.4). If relevant, indicate which auditors are on-site and which are off-site*.* | | |
|  |  | | |
| 6 | Audit/review time and location | | |
|  | * Time and dates of surveillance audit activities. Location activities will be carried out (if off site or review of new information, this could be from CAB/auditor office). | | |
|  |  | | |
| 7 | Assessment and review activities | | |
|  | * What was assessed/reviewed during the audit. | | |
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* 1. Background

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| The CAB shall outline in the surveillance review of information report:   * Changes to the fishery and its management. * Performance in relation to any relevant conditions of certification. * Any developments or changes within the fishery which impact traceability or the ability to segregate between fish from the Unit of Certification (UoC) and fish from outside the UoC (non-certified fish). This includes any changes in the UoC which could impact traceability, and should include how these changes have been addressed by management or traceability systems. * Any other significant changes in the fishery.   The CAB shall state if no changes to the fishery have been identified.  The CAB shall also include in the report a statement confirming the status of the certification (e.g. certified, suspended, etc).  Reference(s): FCP v2.2, 7.28.17 |

* 1. Version details

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| The report shall include a statement on the versions of the fisheries program documents used for this assessment. |

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| **Table X – Fisheries program documents versions** |  |
| Document | Version number |
| MSC Fisheries Certification Process | **Version 0.0** |
| MSC Fisheries Standard | **Version 0.0** |
| MSC General Certification Requirements | **Version 0.0** |
| MSC Surveillance Review of Information Template | **Version 2.1** |

1. Results and conclusion
   1. Surveillance results overview
      1. Summary of conditions

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| The CAB shall include in the report a table summarising all conditions. Details of the conditions shall be provided in Section 5.3. If no conditions are set, the CAB shall include a statement confirming this.  Reference(s): FCP v2.2, Section 7.18 |

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| **Table X – Summary of conditions** | |  |  |  |  |
| Condition number | Condition | Performance Indicator (PI) | Status | PI original score | PI revised score |
| Add rows as needed | Add condition summary |  | Choose from: Closed / Ahead of target / On target / Behind target. If closed, indicate surveillance number when closed. | PI score from most recent assessment | PI score after this surveillance, or ‘Not revised’. |
|  |  |  | **Closed / Ahead of target / On target / Behind target / Inadequate progress** |  |  |
|  |  |  | **Closed / Ahead of target / On target / Behind target / Inadequate progress** |  |  |
|  |  |  | **Closed / Ahead of target / On target / Behind target / Inadequate progress** |  |  |

* + 1. Total Allowable Catch (TAC) and catch data

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| The CAB shall include in the report a Total Allowable Catch (TAC) and catch data table using the table below. If possible, a separate table should be provided for each species or gear. |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Table X – Total Allowable Catch (TAC) and catch data** |  |  |  |  |
| TAC | Year | **YYYY** | Amount | **n, unit** |
| UoA share of TAC | Year | **YYYY** | Amount | **n, unit** |
| UoA share of total TAC | Year | **YYYY** | Amount | **n, unit** |
| Total green weight catch by UoC | Year (most recent) | **YYYY** | Amount | **n, unit** |
| Total green weight catch by UoC | Year (second most recent) | **YYYY** | Amount | **n, unit** |

* 1. Conditions
     1. Closed Conditions

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| The CAB shall clearly identify the conditions that are closed during the Surveillance Audit and provide a justification for their closure.  The CAB shall include scoring tables for any Performance Indicators that require re-scoring. The CAB shall use the scoring tables from the relevant version of the MSC Reporting Template. The CAB should identify changes made to the original rationales in some way (e.g. bold, italic, colour, highlighting).  Reference(s): FCP v2.1, 7.28.16.1.c / FCP v2.2, 7.28.16.3 |

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| **Table X – Condition X - Closed** | | |
| Performance Indicator |  | |
| Score | *State score for Performance Indicator* | |
| Justification | *Cross reference to page number containing scoring template table or copy justification text here.* | |
| Condition | *State condition* | |
| Condition start | *State when the condition was set* | |
| Condition deadline | *State deadline for the condition.* | |
| Milestones | *State milestones and resulting scores where applicable* | |
| Progress on Condition (Year X) | *The progress made by the fishery client to address conditions shall be detailed, along with any observations from the assessment team. The CAB may include progress summaries from previous surveillance audits.* | |
| *Year 1* | *Summary of progress* |
| *Year 2* | *Summary of progress* |
| *Year 3* | *Summary of progress* |
| *Year 4* | *Summary of progress* |
| *Insert additional years if relevant* |  |
| Progress status | *Identify that this condition is closed and refer to the scoring tables (which follow this table) for justification.* | |

* + 1. Progress against conditions

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| The CAB shall include in the report updates using the table below for each condition reviewed in this surveillance audit. All reporting on conditions shall use the same narrative or metric form as the original condition. Progress against milestones, any changes to conditions or closing out of conditions shall be documented.  If CABs review progress on any recommendations, these may also be reported.  Reference(s): FCP v2.2, 7.28.16 |

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| **Table X – Condition 1** | | |
| Performance Indicator |  | |
| Score | *State score for Performance Indicator.* | |
| Justification | *Cross reference to page number containing scoring template table or copy justification text here.* | |
| Condition | *State condition.* | |
| Condition start | *State when the condition was set.* | |
| Condition deadline | *State deadline for the condition.* | |
| Milestones | *State milestones and resulting scores where applicable.* | |
| Progress on Condition (Year X) | *The progress made by the fishery client to address conditions shall be detailed, along with any observations from the assessment team. The CAB may include progress summaries from previous surveillance audits.* | |
| *Year 1* | *Summary of progress* |
| *Year 2* | *Summary of progress* |
| *Year 3* | *Summary of progress* |
| *Year 4* | *Summary of progress* |
| *Insert additional years if relevant* |  |
| Progress status | *Identify whether this condition is ‘on target’, ‘ahead of target’, ‘behind target’, or progress is inadequate and provide justification as per FCP v2.2 7.28.16.1 and 7.28.16.2. Any conditions that have not been closed out within the previously agreed timescales shall be detailed together with the reasons.* | |
| Remedial action | *The CAB shall report the details of remedial action, including revised milestones.* | |
| Additional information | *The CAB may provide any additional information for this condition here.* | |

1. Appendices
   1. Evaluation processes and techniques

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| The CAB shall:   * Describe the review process (who was consulted, what was reviewed). * Reference the MSC standards, requirements and guidance and their versions used in the review of information. |

* 1. Revised surveillance program – delete if not applicable

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| If the CAB proposes that the surveillance program be revised due to changes in information availability for the fishery, the CAB shall:   * Include a justification for any changes to the surveillance level. * Indicate revisions to the timing or surveillance audits using the tables below. * Include a completed fishery surveillance program, if necessary.   Reference(s): FCP v2.2 Section 7.28 |

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| **Table X– Fishery surveillance program** | | | | |
| Surveillance level | Year 1 | Year 2 | Year 3 | Year 4 |
| e.g. Level 5 | e.g. On-site surveillance audit | e.g. On-site surveillance audit | e.g. On-site surveillance audit | e.g. On-site surveillance audit & re-certification site visit |
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| **Table X – Timing of surveillance audit** | | | |
| Year | Anniversary date of certificate | Proposed date of surveillance audit | Justification |
| e.g. 1 | e.g. May 2018 | e.g. July 2018 | e.g. Scientific advice to be released in June 2018, proposal to postpone audit to include findings of scientific advice |
|  |  |  |  |

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| **Table X – Surveillance level justification** | | | |
| Year | Surveillance activity | Number of auditors | Justification |
| e.g.3 | e.g. On-site audit | e.g. 1 auditor on-site with remote support from 1 auditor | e.g. From client action plan it can be deduced that information needed to verify progress towards conditions 1.2.1, 2.2.3 and 3.2.3 can be provided remotely in year 3. Considering that milestones indicate that most conditions will be closed out in year 3, the CAB proposes to have an on-site audit with 1 auditor on-site with remote support – this is to ensure that all information is collected and because the information can be provided remotely. |
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1. Corporate branding

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| This template may be formatted to comply with the Conformity Assessment Body (CAB) corporate identity. The CAB shall ensure that content and structure follow the template.  Examples of appropriate amendments are:   1. A title page with the company logo; 2. A company header and footer used throughout the report; 3. Replacement of font styles; 4. Inclusion of contact details for the assessment team members in relation to consultation 5. Deletion of any sections that are not applicable; and, 6. Deletion of introductory text or instructions. |

1. Template information and copyright

This document was drafted using the ‘MSC Surveillance Review of Information Template v2.1’.

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| **Template version control** | |  |
| Version | Date of publication | Description of amendment |
| 1.0 | 8 October 2014 | Date of issue |
| 2.0 | 17 December 2018 | Release alongside Fisheries Certification Process v2.1 |
| 2.01 | 28 March 2019 | Minor document change for usability |
| 2.1 | 25 March 2020 | Release alongside Fisheries Certification Process v2.2 |

A controlled document list of MSC program documents is available on the MSC website (msc.org).

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