[Insert CAB logo] **Marine Stewardship Council fisheries assessments**

# [Principle 1 Stock]

Section SE Client and Peer Review Draft Report

Section SE Public Comment Draft Report

Section SE Final Report

|  |  |
| --- | --- |
| Conformity Assessment Body (CAB/CABs) |  |
| Assessment team |  |
| Fishery client |  |
| Assessment type | *Early application of Section SE* |
| Date |  |

*Instructions to CABs and assessment teams*

*This template details the information required from Conformity Assessment Bodies (CABs) when creating the following assessment reports:*

* *Section SE Client and Peer Review Draft Report (FCP v3.0 Section 7.19)*
* *Section SE Public Comment Draft Report (FCP v3.0 Section 7.20)*
* *Section SE Final Report (FCP v3.0 Section 7.22)*

*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. CABs may make amendments to the scoring tables to reflect multiple Units of Assessment or multiple scoring elements (e.g. extra rows under each scoring issue). CABs shall ensure it is clear which Unit of Assessment or scoring element is being referenced. CABs shall provide rationale for all Units of Assessment and scoring elements and may group rationales when addressing multiple Units of Assessment or scoring elements.*

*For reassessments, CABs shall report clearly in the Conditions Section to all parties which conditions have been closed at the end of the certification, and whether any remain open and why.*

*Please complete all unshaded fields. For all instructions, notes and guidance indicated in italics, please delete and replace with your specific information where relevant.. e.g. the ‘Instructions to CABs and assessment teams’ section.*

*Unless otherwise indicated in the notes and guidance, CABs shall draft all sections in the reporting template at the Announcement Comment Draft Report stage. CABs shall update each section as necessary as per the Fisheries Certification Process at each subsequent reporting stage. CABs shall complete all sections at the Final Draft Report stage. CABs shall finalise each section at the Public Certification Report stage as per FCP v3.0 Section 7.24.*

*CABs shall inform the reader why some sections in the report are blank and when they will be populated.*

*If an interpretation is used, CABs shall cite it in the relevant section of the report and include a hyperlink to the interpretation.*

*Corporate Branding:*

*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:*

* *A title page with the company logo;*
* *A company header and footer used throughout the report;*
* *Replacement of font styles;*
* *Inclusion of contact details for the assessment team members in relation to consultation*
* *Deletion of any sections that are not applicable;*
* *Deletion of introductory text or instructions; and,*
* *Addition of subheadings to improve clarity and readability.*

## Contents

*Insert a table of contents.*

## Glossary

*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

Draft determination to be completed at Public Comment Draft Report stage.

The CABs shall include a statement that the majority of UoCs for the target stock agree to the early application of Section SE. They should refer to a letter or communication and include this an appendix.

*The CAB shall include in the executive summary:*

* *The main strengths and weaknesses of the PI 1.2.1 and PI 1.2.2 scoring.*
* *From Public Comment Draft Report reporting stage only - the draft determination / determination reached with supporting justification.*

Reference(s): FCP v3.0 7.10, 7.16, 7.21

1. Report details

4.1 Authorship and peer review details

Peer reviewer information to be completed at Public Comment Draft Report stage

Table 1: Authorship and assessment team

|  |  |  |
| --- | --- | --- |
| **Role** | **Name** | **Area of expertise**  |
| Team leaders |  | *e.g., Principle 1* |
| Team members*(Insert and delete rows as appropriate)* |  |  |
|  |  |

Table 2: Peer reviewers

|  |  |
| --- | --- |
| Peer reviewers*(Insert and delete rows as appropriate)* |  |
|  |

4.2 Version details

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

Table 3: Fisheries program documents versions

|  |  |
| --- | --- |
| **Document/Assessment Tree** | **Version number/Type** |
| MSC Fisheries Certification Process | **Version 3.0 (Process in Tool D of MSC Fisheries Standard Toolbox v1.1)** |
| MSC Fisheries Standard | **Version 3.0** |
| Assessment tree | **Section SE** |
| MSC General Certification Requirements | **Version 2.5** |
| MSC Reporting Template | **Version 1.1** |

1. Relevant stock and certified and in assessment fisheries

5.1 Principle 1 Stock

*The CABs shall highlight in the reports the Principle 1 stock that was subject to the early application of Section SE.*

Table 4: Principle 1 stock subject to the Early Application of Section SE

|  |  |
| --- | --- |
|  | **Description** |
| Principle 1 Stock |  |
| Geographical area |  |

5.2 Certified and in assessment fisheries

*The CABs shall highlight in the reports the certified and in assessment fishery assessments to which the Early Application of Section SE Principle 1 stock listed in Table 4 applies.*

Table 5: Certified and in assessment fisheries that were part of the Early Application of Section SE relevant to the stock listed in Table 4.

|  |  |
| --- | --- |
|  | **Description** |
| Certified fisheries |  |
| In assessment fisheries |  |

1. Confirmation of scope

*The CABs shall include in the report a statement of the CAB’s determination that the fishery is within scope of the MSC Fisheries Standard.*

*For enhanced fisheries only, the CAB shall include in the report:*

* *A statement describing how the fishery meets the scope criteria for enhanced fisheries, and*
* *The assessment processes, analyses and outcomes on which the CAB based its justification to determine that the fishery is within scope.*

*Where the fishery includes an introduced species, the CAB shall include in the report:*

* *A statement describing how the fishery meets the scope criteria for Introduced Species Based Fisheries (ISBF).*
* *The assessment processes, analyses and outcomes on which the CAB based its justification to determine that the fishery is within scope.*

Reference(s): FCP v3.0 Section 7.4, Fisheries Standard v3.0 Section 1

1. Overview of the fishery

*The CABs shall provide links to each assessment 'track a fishery page’ that includes the target stock undertaking early application of Section SE.*

1. Assessment results overview

8.1 Determination

To be drafted at Public Comment Draft Report stage

*The CAB shall include in the report a formal statement as to the certification determination recommendation reached by the assessment team on whether the Principle 1 stock meets the requirements of Section SE.*

*The CAB shall include in the report a formal statement as to the certification action taken by the CAB’s official decision-maker in response to the Principle 1 stock meeting the requirements of Section SE.*

Reference(s): FCP v3.0 7.20.3.i and Section 7.21

8.2 Principle level scores

To be drafted at Client and Peer Review Draft Report stage

*The CAB shall include in the report the score For Principle 1 in the table below, noting the scores for other areas of P1 should come from the most recent harmonised score against FCR v2.0.*

Reference(s): FCP v3.0 Section 7.15

Table 6: Principle level scores

|  |  |
| --- | --- |
| **Principle** | **[Principle 1 Target Stock]** |
| Principle 1: Target stock |  |

*CABs should make reference to MSC Fisheries Standard Toolbox D1.2.3.2b and associated guidance that Section SE only concerns the scores of PI 1.2.1 a and b and PI 1.2.2. All other scores used to determine the overall P1 score come from the most recently harmonised score for the target stock undertaking early application of Section SE.*

8.3 Summary of Performance Indicator level scores

*The CAB shall include in the report a completed copy of the Fishery Assessment Scoring Worksheet.*

* *The Section SE report should highlight the scores for PI 1.2.1 si a and b and PI 1.2.2 generated from applying the early application of Section SE but also include the most recent harmonised scores from v2.01 for the P1 target stock for all other aspects of P1.*

Reference(s): FCP v3.0 Section 7.15 and 7.7.3, FCR v3.0 Section SE. MSC Fisheries Standard Toolbox Section D

8.4 Summary of conditions

To be drafted at Client and Peer Review Draft Report stage

*The CAB shall include in the report a table summarising conditions raised in this assessment. Details of the conditions shall be provided in the appendices. If no conditions are required, the CAB shall include a statement confirming this.*

*The conditions shall include the milestones provided in SE 3.3.5 in Section SE.*

Reference(s): FCP v3.0 Section 7.16, FCR v3.0 Section SE

Table 7: Summary of conditions

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Condition number** | **Condition** | **Performance Indicator (PI)** | **Deadline** | **Related to previous condition?** |
|  |  |  |  | **Yes / No / NA** |
|  |  |  |  | **Yes / No / NA** |
|  |  |  |  | **Yes / No / NA** |

1. Scoring

9.1. Principle 1

**9.1.1. Principle 1 background**

*The CAB shall include in the report a summary of the fishery based on the topics below, referencing electronic or other documents used:*

* *A brief history of fishing and management related to PI 1.2.1 scoring issue a and b and PI 1.2.2.*

*The CAB shall indicate in the report whether the target species is key Low-Trophic Level (LTL). If there are multiple Principle 1 species, the CAB shall indicate in the report which are key LTL.*

*Reference(s): FCP v3.0 Annex PA, Fisheries Standard v2.01 / v3.0*

**9.1.2. Principle 1 species**

*The CAB should explain how FCP v3.0 7.5.7 has been applied.*

*Reference(s): FCP v3.0 7.5.7*

**9.1.3 Principle 1 Performance Indicator scores and rationales**

*The CAB shall include, in the Performance Indicator scoring tables in the report, sufficient rationale which makes direct reference to every scoring issue in Section SE and whether it is fully met at each Scoring Guidepost (SG).*

*If a condition is required, the CAB shall assign a condition number for cross-references in assessment reports.*

*Reference(s): FCP v3.0 Section 7.15, Fisheries Standard Section SE*

**PI 1.2.1 – Harvest strategy**

|  |  |
| --- | --- |
| PI 1.2.1 | There is a robust and precautionary harvest strategy in place |
| Scoring Issue | **SG 60** | **SG 80** | **SG 100** |
| **a** | **Harvest strategy design** |
| Guidepost | The harvest strategy is **expected** to achieve stock management objectives reflected in PI 1.1.1/PI 1.1.1A SG80. | The harvest strategy is **responsive** to the state of the stock and the elements of the harvest strategy **work together** towards achieving stock management objectives reflected in PI 1.1.1/PI 1.1.1A SG80. | The harvest strategy is responsive to the state of the stock and is **designed** to achieve stock management objectives reflected in PI 1.1.1/PI 1.1.1A SG80. |
| Met? | **Yes / No** | **Yes / No** | **Yes / No** |

|  |  |
| --- | --- |
| Rationale | *The CAB shall insert sufficient rationale to support the team’s conclusion for each Scoring Guidepost (SG), including whether the team scored PI 1.1.1 or PI 1.1.1A.**Note that if PI1.2.2 is scored at SG60 using ‘available’ HCRs, the score of this SI is constrained to 60 (SE2.1.2).*  |

|  |  |
| --- | --- |
| b | Harvest strategy evaluation |
| Guidepost | The harvest strategy is **likely** to work based on prior experience or plausible argument. | The harvest strategy has been tested and is expected to meet the objectives reflected in PI 1.1.1/ PI 1.1.1A SG80 or there is evidence that the harvest strategy is achieving its objectives reflected in PI 1.1.1/ PI 1.1.1A SG80.  | The performance of the harvest strategy has been **evaluated** and evidence exists to show that it is achieving the objectives reflected in PI 1.1.1/ PI 1.1.1A SG80, including being clearly able to maintain stocks at target levels. |
| Met? | **Yes / No** | **Yes / No** | **Yes / No** |
| Rationale | *The CAB shall insert sufficient rationale to support the team’s conclusion for each Scoring Guidepost (SG).* |

Overall Performance Indicator scores added from Client and Peer Review Draft Report stage

|  |  |
| --- | --- |
| Overall Performance Indicator score |  |
| Condition number (if relevant) |  |

**PI 1.2.2 – Harvest control rules and tools**

|  |  |
| --- | --- |
| PI 1.2.2 | There are well defined and effective harvest control rules (HCRs) in place |
| Scoring Issue | **SG 60** | **SG 80** | **SG 100** |
| **a** | **HCRs design and application** |
| Guidepost | HCRs are **expected to reduce the exploitation rate as the PRI is approached** and are either **generally understood** and **in place**, or **available**. | **Well-defined** HCRs are **in place** that **ensure** the exploitation rate is reduced as the PRI is approached, and are expected to keep the stock **fluctuating around** a target level consistent with (or above) MSY, or for key LTL species at levels consistent with ecosystem needs. | The HCRs are expected to keep the stock **fluctuating at or above** a target level consistent with MSY, or another more appropriate level most of the time, taking into account the ecological role of the stock. |
| Met? | **Yes / No** | **Yes / No** | **Yes / No** |
| Rationale  |  |
| b | **The robustness of HCRs to uncertainty** |
| Guidepost |  | The HCRs are likely to be robust to the main uncertainties. | The HCRs take account of a **wide** range of uncertainties including the ecological role of the stock, and there is **evidence** that the HCRs are robust to the main uncertainties. |
| Met? |  | **Yes / No** | **Yes / No** |
| Rationale  |  |
| c | **Evaluation of HCRs** |
| Guidepost | There is **some evidence** that tools used **or available** to implement HCRs are appropriate and effective in controlling exploitation. | **Available evidence indicates** that the tools in use are appropriate and effective in achieving the exploitation levels required under the HCRs.  | **Evidence clearly shows** that the tools in use are effective in achieving the exploitation levels required under the HCRs.  |
| Met? | **Yes / No** | **Yes / No** | **Yes / No** |
| Rationale  |  |

|  |
| --- |
| Overall Performance Indicator scores added from Client and Peer Review Draft Report stage |

|  |  |
| --- | --- |
| Overall Performance Indicator score |  |
| Condition number (if relevant) |  |

1. Appendices

10.1 Evaluation processes and techniques

10.2 Majority agreement from UoCs

*The CAB shall include in the report:*

* *Correspondence from UoCs indicating majority decision to undertake early application of Section SE*

*Reference(s): MSC Fisheries Standard Toolbox D1.1.1.2*

10.3 One-off Meeting

*The CAB shall include in the report:*

* *The agenda/itinerary of one-off meeting activities with dates.*
* *A description of one-off meeting activities*

*Reference(s): FCP v3.0 Section 7.14*

10.4 Stakeholder participation

*The CAB shall include in the report:*

* *Details of stakeholders that were interviewed or attended the one-off meeting*
* *A description of stakeholder engagement/consultation strategy.*

*Reference(s): FCP v3.0 Section 7.14*

10.5 Evaluation techniques

*The stakeholder input should be reported in the stakeholder input appendix and incorporated in the rationales directly in the scoring tables.*

*Reference(s): FCP v3.0 7.14, MSC Fisheries Standard Toolbox A2.1 and A2.3*

10.6 Peer Review reports

To be drafted at Public Comment Draft Report stage

*The CAB shall include in the report unattributed reports of the Peer Reviewers in full using the relevant templates. The CAB shall include in the report explicit responses of the team that include:*

* *Identification of specifically what (if any) changes to scoring, rationales, or conditions have been made; and,*
* *A substantiated justification for not making changes where Peer Reviewers suggest changes, but the team disagrees.*

Reference(s): FCP v3.0 Section 7.12

10.7 Stakeholder input

To be drafted at Client and Peer Review Draft Report stage

*The CAB shall use the ‘MSC Template for Stakeholder Input into Fishery Assessments’ to include all written submissions from stakeholders received during the stakeholder input opportunities (One-off meeting and Public Comment Draft Report). The team shall respond to all written stakeholder input within the ‘MSC Template for Stakeholder Input into Fishery Assessments’ identifying where changes to scoring, rationales and conditions have been made in response.*

*The CAB shall also use the ‘MSC Template for Stakeholder Input into Fishery Assessments’ to include a summary of verbal submissions made by stakeholders during the one-off meeting that are likely to cause a material difference to the outcome of the assessment and responses from the team as required by FCP v3.0 7.20.6.c and 7.20.7.b.*

*The CAB may use the ‘Supporting Information’ section of the template (Section 10.12) to include in the report any key information referenced by stakeholders that is not published or available online.*

Reference(s): FCP v3.0 Sections 4.2, 7.20.6 and 7.20.7.b.

10.8 Conditions – delete if not applicable

Conditions generated from the Early Application of Section SE– delete if not applicable

*The CAB shall complete this section if:*

*Early Application of Section SE generated conditions for PI 1.2.1 si a and b and/or PI 1.2.2,*

*The CAB shall identify the conditions generated from the Early Application of Section SE.*

*In the Client and Peer Review Draft Report and subsequent reports the CAB shall incorporate all conditions that are being carried over into Section 8.5.2.*

*Note, the conditions numbered below relate to the Section SE reports only. When incorporated into other UoCs following the completed Early Application of Section SE process, the numbers will need to be redone based on the fishery assessment to which they are applied.*

*Reference(s): FCP v3.0 Section 7.31.5.*

Table 8: Condition X

|  |  |
| --- | --- |
| 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.**The CAB shall report the ‘condition start’ The CAB should consider the date a condition is set as the date the Section SE Final Report was published –.* |
| Condition deadline | *State deadline for the condition.**The CAB shall report the “condition deadline” as the date the condition will be closed. Note, Section SE allows a maximum of five years for P1 stocks that were previously certified..*  |
| Milestones | *State milestones and resulting scores where applicable. The minimum expectation is that all milestones from SE 3.3.5 are included.*  |

10.9 Client Action Plan

To be drafted at Public Comment Draft Report stage

*The CAB shall include in the report the Client Action Plan from the fishery client to address conditions.*

Reference(s): FCP v3.0 Section 7.19

10.10. Peer reviewers – summary of qualifications and competencies

*The CAB shall include in an appendix to the report summaries of the peer reviewers’ qualifications and competencies.*

* 1. Assessment Team – biographies/summaries of CVs (optional)

*The CAB may include in an appendix to the report biographies and/or summaries of CVs of the assessment team.*

* 1. Objections – delete if not applicable

To be added at Final Report stage

*The CAB shall include in the report all written decisions on objections arising from the MSC Disputes Process.*

Reference(s): MSC Disputes Process.

10.13 Supporting Information – delete if not applicable

*The CAB may use this section to make available any key information that is unpublished or not available online. Key information includes any information required by stakeholders to be able to properly review the logic used by the assessment team within the report.*

* 1. References (Bibliography)

*The CAB shall list all references here, including hyperlinks to publicly-available documents.*

*The CAB should provide a full reference to make finding any information a straightforward process for stakeholders. Where possible, the CAB should include both a hyperlink and additional details required to find the information if the hyperlink breaks.*

*The CAB may choose to have a references section per principle or a single references section.*

1. Template information and copyright

The Marine Stewardship Council’s ‘MSC Section SE Reporting Template v1.1’ and its content is copyright of “Marine Stewardship Council” - © “Marine Stewardship Council” 2023. All rights reserved.

*The CAB shall delete the table below.*

Table 9: Template version control

|  |  |  |
| --- | --- | --- |
| Version | Date of publication | Description of amendment |
| 1.0 | 26 October 2022 | Release alongside Fisheries Certification Process v3.0 and Fisheries Standard v3.0. |
| 1.1 | 01 May 2023 | Amendments to ensure alignment with MSC Fisheries Standard Toolbox v1.1. |

A controlled document list of MSC program documents is available on the MSC website (<https://www.msc.org/for-business/certification-bodies/supporting-documents>).

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