

Insert CAB Logo or delete

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Marine Stewardship Council fisheries assessments

[Fishery name]

Surveillance Report

|  |  |
| --- | --- |
| Conformity Assessment Body (CAB) |  |
| Assessment team |  |
| Fishery client |  |
| Assessment type | First / Second / Third / Fourth Surveillance / Expedited Audit |
| Author name |  |
| Date |  |

Introduction

|  |
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| This template details the information required from Conformity Assessment Bodies (CABs) when creating a surveillance report.  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 shall also use this template for Expedited Audit Reports. Where differences exist between a surveillance report and an expedited audit report, this is noted in the instructions boxes.  Please complete all unshaded fields. For all notes and guidance indicated 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

|  |
| --- |
| 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 or expedited audit process. * A brief history of assessments. * A summary of surveillance or expedited audit findings. * A statement confirming the status of certification (e.g. certified, suspended, etc.)   Reference(s): FCP v2.2 Section(s) 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 Reporting Template and Surveillance Announcement Template. |

|  |  |  |
| --- | --- | --- |
| **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. * Not applicable for Expedited Audit Reports | |
|  |  | |
| 5 | Surveillance number | |
|  | 1st Surveillance |  |
|  | 2nd Surveillance |  |
|  | 3rd Surveillance |  |
|  | 4th Surveillance |  |
|  | Other (expedited etc) |  |
| 6 | 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, 7.29.4.1.a). If relevant, indicate whether team leader will be on-site or off-site. | |
|  |  | |
| 7 | 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, and 7.29.4.1.a If relevant, indicate which auditors are on-site and which are off-site*.* | |
|  |  | |
| 8 | Audit/review time and location | |
|  | * Time and dates of surveillance or expedited audit activities. Location activities will be carried out (if off site or review of new information, this could be from CAB/auditor office). | |
|  |  | |
| 9 | Assessment and review activities | |
|  | * What was assessed/reviewed during the audit. | |
|  |  | |
| 10 | Stakeholder opportunities | |
|  | * Include link to MSC Template for Stakeholder Input into Surveillance Audits (not applicable for expedited audits). * Inform stakeholders that during the surveillance audit all team members are available to meet either in person or remotely (FCP v2.2 7.28.15.b). | |
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* 1. Background

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| The CAB shall outline in the surveillance report any changes to the fishery since the initial assessment or last surveillance report, including (but not limited to) changes to:   * Management systems * Relevant regulations * Personnel involved in science, management or industry * Scientific base of information, including stock assessments * Where enhanced fisheries, any updates on fishery’s position in relation to scope criteria * 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.   The CAB shall state if no changes to the fishery have been identified.  For an expedited audit, the CAB shall only outline in the report changes to the fishery and/or new information that triggered the expedited audit and were reviewed as part of the expedited audit, including (but not limited to) changes to:   * Management systems * Relevant regulations * Personnel involved in science, management or industry * Scientific base of information, including stock assessments * Where enhanced fisheries, any updates on fishery’s position in relation to scope criteria * 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. |

* 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 Reporting Template | **Version 2.1** |

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

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| The CAB shall include in the report a table summarising conditions all conditions including any new conditions set during the surveillance audit. Details of the conditions shall be provided in Section 5.3. If no conditions are set, the CAB shall include a statement confirming this.  For an expedited audit, the CAB shall only include in the report **new** conditions set during the expedited audit. If no new conditions are set, the CAB shall delete this section.  Reference(s): FCP v2.2 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: New / 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’. |
|  |  |  | **New / Closed / Ahead of target / On target / Behind target / Inadequate progress** |  |  |
|  |  |  | **New / Closed / Ahead of target / On target / Behind target / Inadequate progress** |  |  |
|  |  |  | **New / Closed / Ahead of target / On target / Behind target / Inadequate progress** |  |  |

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

To be deleted in an expedited audit report

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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. Recommendations

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| If the CAB or assessment team wishes to include any recommendations to the client or notes for future assessments, these may be included in this section. |

* 1. Re-scoring Performance Indicators

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| Where the information base has changed the CAB shall re-score relevant Performance Indicators.  The CAB shall include in the report 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 v2.2 7.28.15.1 |

* 1. Conditions
     1. Closed Conditions

To be deleted in an expedited audit report

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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 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

To be deleted in an expedited audit report

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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. New conditions – delete if not applicable

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| The report shall document all new conditions in separate tables and indicate that it is new in the tile (e.g. Condition 4 NEW).  Reference(s): FCP v2.1 7.28.15.1 / FCP 2.2 7.28.16.1 |

|  |  |
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| **Table X – 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* |
| Condition deadline | *State deadline for the condition.*  *State if exceptional circumstances apply (FCP v2.1 7.18.1.5 / FCP v2.2 7.18.1.6) and condition deadline is longer than the period of certification and provide a justification.* |
| Milestones | *State milestones* |
| Verification with other entities | *Include details of any verification required to meet requirements in FCP v2.1 / FCP v2.2 7.19.8* |
| Carry over condition | *Check the box if the condition is being carried over from a previous certificate and include details required to meet requirements FCP v2.2 7.30.5.2* |
| Related condition | *Check the box if the condition relates to a previous condition that was closed during a previous certification period but where a new condition on the same Performance Indicator or Scoring Issue is set, and provide a justification (FCP v2.2 7.30.6 & G7.30.6).* |

* 1. Client Action Plan

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| The CAB shall include in the report any updates to the Client Action Plan from the fishery client to address conditions.  Reference(s): FCP v2.2 7.19, 7.28 |

1. Appendices
   1. Evaluation processes and techniques
      1. Site visits

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| The CAB shall include in the report:   * An itinerary of site visit activities with dates. * A description of site visit activities, including any locations that were inspected. * Names of individuals contacted.   Reference(s): FCP v2.2 7.28 |

* + 1. Stakeholder participation

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| The CAB shall include in the report:   * Details of people interviewed: local residents, representatives of stakeholder organisations including contacts with any regional MSC representatives. * A description of stakeholder engagement strategy and opportunities available.   Reference(s): FCP v2.2 7.28 |

* 1. Stakeholder input

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| For Surveillance Audits under FCP v2.2, The CAB shall use the MSC Template for Stakeholder Input into Surveillance Audits to include all written stakeholder input during the stakeholder input opportunities (including the 30 days between announcement of the Surveillance Audit and the Surveillance Audit, and during the Surveillance Audit itself). The CAB shall also provide a summary of verbal stakeholder input received during the surveillance audit activities, if any.  Using the MSC Template for Stakeholder Input into Surveillance Audits, the team shall respond to all written stakeholder input identifying what changes to scoring, rationales and conditions have been made in response, where the changes have been made, and assigning a ‘CAB response code’. The team shall also respond to the verbal summary in the same way.  For Surveillance Audits under FCP v2.1, the CAB shall include all written stakeholder input during the stakeholder input opportunities (including the 30 days between announcement of the Surveillance Audit and the Surveillance Audit, and during the Surveillance Audit itself). The CAB shall also provide a summary of verbal stakeholder input received during the surveillance audit activities, if any.  The team shall respond to all written stakeholder input identifying what changes to scoring, rationales and conditions have been made in response, where the changes have been made, and assigning a ‘CAB response code’. The team shall also respond to the verbal summary in the same way.  Reference(s): FCP v2.1 7.28 / FCP v2.2 7.28. |

* 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 |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **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 |
|  |  |  |  |  |

|  |  |  |  |
| --- | --- | --- | --- |
| **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 |
|  |  |  |  |

|  |  |  |  |
| --- | --- | --- | --- |
| **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. |
|  |  |  |  |

* 1. Harmonised fishery assessments – delete if not applicable

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| Harmonisation is required in cases where assessments overlap, or new assessments overlap with pre-existing fisheries.  If relevant, in accordance with FCP v2.2 Annex PB requirements, the CAB shall describe in the report processes, activities and specific outcomes of efforts to harmonise fishery assessments. The report shall identify the fisheries and Performance Indicators subject to harmonisation.  Reference(s): FCP v2.2 Annex PB |

|  |  |  |  |
| --- | --- | --- | --- |
| **Table X – Overlapping fisheries** | |  | |
| Fishery name | Certification status and date | | Performance Indicators to harmonise |
|  |  | |  |
|  |  | |  |
|  |  | |  |
|  |  | |  |

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| --- | --- | --- |
| **Table X – Overlapping fisheries** |  | |
| Supporting information | | |
| * Describe any background or supporting information relevant to the harmonisation activities, processes and outcomes. | | |
|  | | |
| Was either FCP v2.2 Annex PB1.3.3.4 or PB1.3.4.5 applied when harmonising? | | **Yes / No** |
| Date of harmonisation meeting | | **DD / MM / YY** |
| If applicable, describe the meeting outcome | | |
| * e.g. Agreement found among teams or lowest score adopted. | | |
|  | | |

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| **Table X – Scoring differences** | |  | | | |
| Performance Indicators (PIs) | Fishery name | | Fishery name | Fishery name | Fishery name |
| **PI** | **Score** | | **Score** | **Score** | **Score** |
| **PI** | **Score** | | **Score** | **Score** | **Score** |
| **PI** | **Score** | | **Score** | **Score** | **Score** |

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| **Table X – Rationale for scoring differences** |
| If applicable, explain and justify any difference in scoring and rationale for the relevant Performance Indicators (FCP v2.2 Annex PB1.3.6) |
|  |
| If exceptional circumstances apply, outline the situation and whether there is agreement between or among teams on this determination |
|  |

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 Reporting Template v2.1’.

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| **Template version control** | |  |
| Version | Date of publication | Description of amendment |
| 1.0 | 08 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 | Minor document change for usability |

A controlled document list of MSC program documents is available on the [MSC website](https://www.msc.org/for-business/certification-bodies/fisheries-standard-program-documents) (msc.org).

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