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

# [Fishery name]

# Surveillance Review of Information

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

*Instructions to CABs and assessment teams*

*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 / v2.3/3.0 7.29.17.1, if a 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 in tables. For all 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.*

*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.*

## Executive summary

*The executive summary shall include:*

* *A description of the surveillance audit process.*
* *A summary of surveillance audit findings.*
* *A statement confirming the status of certification (e.g. certified, suspended, etc.)*

*Reference(s): FCP v2.3/3.0 Section 7.29*

## Audit details

### Surveillance information

*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.*

Table 1: Surveillance information

|  |  |
| --- | --- |
| **1** | **Fishery name** |
|  |
| **2** | **Unit(s) of Assessment (UoA)** |
|  |
| **3** | **Date certified** | **Date of expiry** |
|  |  |
| **4** | **Surveillance type, level and number** |
| * *Include which number, e.g. 1st Surveillance Audit, 2nd Surveillance Audit, etc.*
* *Indicate surveillance level and type, e.g. Surveillance level 4, off-site surveillance audit (FCP v2.3/3.0 7.29.1-7.29.7).*
* *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*
 |
| **6** | **Surveillance team leader** |
| * *Indicate name of team leader and areas that they are responsible for. Explain how they meet the competency criteria (FCP v2.3/3.0 7.29.14.1-7.29.14.3). 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 v2.3/3.0 7.29.14.1-7.29.14.3). If relevant, indicate which auditors are on-site and which are off-site.*
 |
| **8** | **Audit time and location** |
| * *Time and dates of surveillance audit activities.*
* *Location where 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 (FCP v2.3/3.0 7.29.15-18).*
 |

### Version details

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

Table 2: Fisheries program documents versions

| **Document/Assessment Tree** | **Version number/Type** |
| --- | --- |
| MSC Fisheries Certification Process | Version *0.0* |
| MSC Fisheries Standard | Version *0.0* |
| Assessment tree | *Default / Enhanced Bivalve / Salmon / Introduced species / Other* |
| MSC General Certification Requirements | Version *0.0* |
| MSC Surveillance Review of Information Template | Version 2.1 |

### Update on the fishery

*The CAB shall outline in the surveillance review of information report any changes to the fishery since the initial assessment or last surveillance report, including (but not limited to) changes to:*

* *Scope*
* *Management systems*
* *Relevant regulations*
* *Personnel involved in science, management or industry*
* *Scientific base of information, including stock assessments*
* *Changes that affect traceability and the ability to segregate MSC from non-MSC products*

*The CAB shall state if no changes to the fishery have been identified.*

*Reference(s): FCP v2.3/3.0 7.29.15*

#### Inseparable or practicably inseparable (IPI) stock status

*The CAB shall review and document the continuing performance against the requirements in PA1.4.2 (FCP v2.3/3.0 PA 1.5.1).*

#### Total Allowable Catch (TAC) and catch data

*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 3: Allowable Catch (TAC) and catch data

| **TAC / Catch Data** | **Year** | **Amount** |
| --- | --- | --- |
| TAC | Year (YYYY) | Amount (n, unit) |
| UoA share of TAC | Year (YYYY) | Amount (n, unit) |
| Total catch by UoC (most recent year) | Year (YYYY) | Amount (n, unit) |
| Total catch by UoC (second most recent year) | Year (YYYY) | Amount (n, unit) |

### Changes which impact traceability systems

Table 4: Changes affecting traceability and segregation

|  |
| --- |
| **Are there any developments or changes within the fishery that affect traceability and the ability to segregate MSC from non-MSC products?** |
| ***YES/NO*** *(delete as applicable).* *Changes that affect traceability and the ability to segregate MSC from non-MSC product may be:** *To the systems or tools used for traceability, and/or*
* *Changes to the Unit of Certification/s.*

*If yes, complete the following sections 4.4.1 - 4.4.3.**If no, sections 4.4.1 - 4.4.3 can be removed.**Reference(s): FCP v2.3/3.0 7.29.15.a.iv* |

#### Traceability within the fishery description

*Copy from last full assessment and update as relevant.*

Table 5: Traceability within the fishery

|  |
| --- |
| Statement on fishery’s ability to track and trace to each Unit of Certification |
| Systems allow the fishery client to track to trace any fish or fish products sold as MSC certified back to the individual UoC.Systems **do not** allow the fishery client to track and trace any fish or fish products sold as MSC certified back to the individual UoC.*(delete as appropriate)* |
| Movement of fish and fish product between **harvest** and **landing** *An illustration of movement of product between harvest and landing. Include when any of the following happen: Harvesting, At-Sea processing, Translocation, Transhipment, Offloading, Landing.*  |
| *Provide this information through a flow diagram. An example is provided below:**Fishing vessel → Transhipment → Offloader → Landing* |
| Movement of fish and fish products between **landing** and **start of the CoC** if relevant. *An illustration of movement of product between landing and start of CoC. Include when any of the following is happening: Transport, Storage, Sorting/ Grading, Packing, Auction.* |
| *Complete this section if CoC starts after landing. Note as n/a if CoC starts at or before landing. Provide this information through a flow diagram. An example is provided below:**Landing → Transport → Storage → Sale by client group company* |
| Description of any processing and sorting/ grading prior to change of ownership |
|  |
| For the critical tracking events (i.e. where in the product flow this data needs to be transferred) of all fish and fish product handling and sale not covered by CoC describe: * Process of segregating to each Unit of Certification
* Key data elements (i.e. the data or documents to identify the UoC such as species, catch area, gear)
 |
| *Detail for all stages covered by the fishery certificate. Include images where this helps to show segregation.* |
| Where there are IPI stock(s) within the scope of certification, describe the verification of traceability systems |
| *IPI by nature cannot be segregated from the P1 stocks and will be sold as certified. Confirm how the presence of IPI impacts segregating to UoC and managing key UoC data through critical tracking events.**State N/A where this does not apply.* |
| Other relevant information on the systems to track and trace to each UoC |
| *For example: Relevant monitoring, oversight or regulatory controls which assure the traceability to each individual UoC; references to regulation, observer coverage, that can support these systems.* |
| Do systems allow the fishery client to trace any fish or fish products sold as MSC certified back to the individual UoC?If yes, describe | Yes/No*Detail* |
| Do systems allow the fishery client to trace any fish or fish products sold as MSC certified back to the individual UoC and how do they do this?If yes, describe | Yes/No*Detail* |
| Does transhipment occur within the fishery? | Yes/No |
| What is the type of transhipment and what the systems to track and trace to UoC? (high seas/in port/ other)If yes: * How and when does this occur?
* What systems allow to track and trace to UoC?
 | High seas/in port/other*Detail: As relevant also confirm any segregation and labelling on board.* |
| For high seas transhipment are the systems to support tracking and tracing to UoC verified independent from the certificate holder? If yes, describe | Yes/No/No high seas transhipment*Detail* |
| For high seas transhipment do the systems to verify tracking and tracing to UoC cover both fishing and receiving vessels? If yes, describe | Yes/No/No high seas transhipment*Detail* |
| For high seas transhipment do the systems to track and trace to UoC apply to 100% of transhipment events? If yes, describe | Yes/No/No high seas transhipment*Detail* |

#### Traceability within the fishery description

*Copy from last full assessment and update as relevant.*

Table 6: Traceability risks and mitigation within the fishery

| **Factor** | **Description of the traceability risk factors and details of the risk mitigation and management** *Include in each description:** *Whether each factor occurs*
* *When it occurs and how frequently (e.g. regularly, seasonally, rarely)*
* *How any potential traceability risks are mitigated and any risk management*
* *If covered by information provided elsewhere in the assessment report (such as Table 5 for segregation or in Section 5 MSC Fisheries Standard – Principle 3 – Effective management for regulatory frameworks), cross reference as needed.*
 |
| --- | --- |
| Will the fishery use gears that are not part of the UoC? If Yes, include in the description: * If this may occur on the same trip, on the same vessels, or during the same season;
* How any risks are mitigated.
 |  |
| Will vessels in the UoC also fish outside the UoC geographic area? If Yes, include in the description:* If this may occur on the same trip;
* How any risks are mitigated.
 |  |
| Do vessels from outside the UoC and/or client group ever fish on the same stock?  |  |
| Do the fishery client members ever handle certified and non-certified products during any of the activities covered by the fishery certificate? This refers to both at-sea activities and on-land activities and should reflect those listed in product movement in Table 5. It includes:* Translocation
* Transhipment
* Transport
* Storage
* Processing
* Sorting/ grading
* Packing
* Landing
* Auction
 |  |
| Does transhipment occur within the fishery?If yes, include in the description:* What is the type of transhipment in-port/ high seas/ other
* What are the systems used to track and trace to UoC

For high seas transhipment include in the description how the systems to track and trace to the UoC:* Are verified independently of the fishery client
* Cover all fishing and receiving vessels involved in transhipment
* Apply to all transhipment events

If any of these 3 criteria above are not met for high seas transhipment CoC certification is required for both the fishing and receiving vessels involved in this transhipment. |  |
| Are trading agents to be covered within the fishery certificate?If yes, include in the description:* How information on UoC is passed through
 |  |
| Are there any other risks of mixing or substitution between certified and non-certified fish? If No, refer to the section describing product movement and segregation which demonstrates this. |  |
| Are there any other risks of mixing between different Units of Certification?If Yes, include in the description:* link to any relevant variations relating to this

If No, refer to the section describing product movement and segregation which demonstrates this. |  |

#### Eligibility to enter further chains of custody

*Copy from last full assessment and update as relevant.*

Table 7: Eligibility to enter Chain of Custody

|  |
| --- |
| Determination on whether fish and fish products from the certified UoC(s) can go onto be sold as certified. Including: * *Whether the ability for fish and fish products to be sold as certified is conditional upon CoC certification.*
* *If traceability systems still need to be established prior to either CoC certification OR revised fishery determination.*
 |
| *Delete as appropriate:** It is determined that fish and fish products from the certified Units of Certification can go on to be sold as certified.
* It is determined that fish and fish products from the certified Units of Certification cannot go on to be sold as certified or bear the MSC label.

*The latter would be selected where systems need to be established within the fishery. Please select the latter and then specify if product eligibility is conditional to the fishery to pass Chain of Custody Certification. Note that a Chain of Custody audit can only be successfully completed once systems are in place.* |
| The point of change of ownership of product to any party not covered by the fishery certificate and detail of any trading between client group members prior to this |
|  |
| The point from which subsequent Chain of Custody (CoC) is required*The latest this can happen is the point of change of ownership of fish or fish product to any party not covered by the fishery certificate (reference section above) but it may happen sooner in which case describe as per the product flow (in Table 5). Note the requirement for when CoC is required to start on High Seas Transhipment*  |
|  |
| The entities, or categories of entities, at the point of landing and/or sale required to have separate CoC including any auctions, selling agents, offloaders or storage facilities and so not covered in the above Tables 5 and 6. |
|  |
| A list of entities, or categories of entities, eligible to access the certificate and sell product as certified including:* *Confirm if all vessels within the geographic area and gear of the UoC are eligible to sell fish and fish products as certified.*
* *Any other limits to vessel types, ownership, client group membership.*
* *Include any trading agents used.*
 |
|  |
| Points of landing, auctions or other transfer which may be used for the sale of fish from the certified fishery into further chains of custody, either:* *The geographic region where all landing points are possible, or*
* *Named landing points, auctions or other transfer sites if there are limits.*
 |
|  |
| Any specific eligibility criteria for product to be sold as certified, or where to find this information where relevant, including:* *Product form.*
* *Trip type (e.g. includes outside EEZ).*
* *Need for Chain of Custody.*
* *Need for trading through client group members*.
 |
| *Where there is nothing additional to the UoC, state N/A.* |
| How fish or fish products can be identified or can be confirmed as certified at the point it enters certified CoC, including:* *How information on gear, species, stock, area, vessel (where relevant) client group member (where relevant) is provided.*
* *Any segregation to UoC required of first buyers (e.g. sort batches by species).*
* *Where relevant how any specific eligibility criteria can be confirmed by the first buyer (as per section above).*
 |
|  |
| How IPI is identified to first buyers at the point it enters certified CoC, where relevant. |
|  |

## Surveillance results

### Summary overview

#### Summary of conditions update

*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 5.2. If no conditions are set, the CAB shall include a statement confirming this.*

*If no new conditions are set, the CAB shall delete this section.*

*Reference(s): FCP v2.3/3.0 7.16*

Table 8: Summary of conditions update

| **Condition number** | **Condition** | **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 / Inadequate progress. If closed, indicate surveillance number when closed.* | *PI score from most recent assessment.* | *PI score after this surveillance, or ‘Not revised’.* |
|  |  |  |  |  |  |
|  |  |  |  |  |  |
|  |  |  |  |  |  |

### Conditions

#### Progress against conditions

*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.*

*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 v2.3/3.0 7.29.16*

Table 9: Condition X – CLOSED/OPEN *(delete as applicable)*

|  |  |
| --- | --- |
| 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’ as both the assessment/audit process during which the condition was set (e.g., initial assessment, 3rd surveillance audit, scope extension etc.), and the date (YYYY) the condition was set. The CAB should consider the date a condition is set as the date the final assessment/audit report was published – this depends on assessment/audit process during which the condition was set. If the condition was set during a full assessment the start date of the condition is the date the Public Certification Report was published. If the condition was set during a surveillance audit the start date of the condition is the date the Surveillance Report was published, etc. For example, Initial assessment, 2021. The CAB may report the date the condition was set as MM/YYYY.* |
| Condition deadline | *State deadline for the condition.**The CAB shall report the “condition deadline” as both the audit process by which the condition will be closed, and the date (YYYY). For example, 4th Surveillance Audit, 2022. The CAB may report the condition deadline as MM/YYYY.* |
| 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.* *Progress on Condition for each year shall be reported in a separate row in this table.* *Insert new rows as required.* |
| Progress status | *For closed conditions:* *Identify that this condition is closed and refer to the scoring tables (which follow this table) for justification.**For open conditions:* *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 / FCP v2.3/3.0 7.29.16.1 and 7.29.16.2. 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.* |

####  New conditions – delete if not applicable

*The report shall document all new conditions in separate tables and indicate that it is new in the title (e.g. Condition 4 NEW).*

*Reference(s): FCP v2.3/3.0 7.29.16.1*

Table : Condition X - NEW

|  |  |
| --- | --- |
| 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’ as both the assessment/audit process during which the condition was set (e.g., initial assessment, 3rd surveillance audit, scope extension etc.), and the date (YYYY) the condition was set. The CAB should consider the date a condition is set as the date the final assessment/audit report was published – this depends on assessment/audit process during which the condition was set. If the condition was set during a full assessment the start date of the condition is the date the Public Certification Report was published. If the condition was set during a surveillance audit the start date of the condition is the date the Surveillance Report was published, etc. For example, Initial assessment, 2021. The CAB may report the date the condition was set as MM/YYYY.* |
| Condition deadline | *State deadline for the condition.**The CAB shall report the “condition deadline” as both the audit process by which the condition will be closed, and the date (YYYY). For example, 4th Surveillance Audit, 2022. The CAB may report the condition deadline as MM/YYYY.* |
| Exceptional circumstances  | *Do exceptional circumstances apply and condition deadline is longer than the period of certification (FCP v2.3/3.0 7.16.6)?**YES/NO (delete as applicable).* *If YES, provide a justification.* |
| Milestones | *State milestones.* |
| Verification with other entities | *Include details of any verification required to meet requirements in FCP v2.3/3.0 7.19.8.* |
| Carry over condition  | *Is the condition being carried over from a previous certificate?**YES/NO (delete as applicable).* *If YES, include details required to meet requirements FCP v2.3/3.0 7.31.5.3.* |
| Related condition  | *Does the condition relate to a previous condition that was closed during a previous certification period, where a new condition on the same Performance Indicator or Scoring Issue is set?**YES/NO (delete as applicable).* *If YES, provide a justification FCP v2.3/3.0 7.31.6 & G7.31.6.* |

### Client Action Plan (delete if not applicable)

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

*Reference(s): FCP v2.3/3.0 7.29.15.1.b.i*

## Appendices

### Evaluation processes and techniques

*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.*

### Revised surveillance program – delete if not applicable

*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 v2.3/3.0 7.29*

Table 11: 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 12: 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 13: 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.* |

### 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.*

## References (Bibliography)

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

## Template information and copyright

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*The CAB shall* *delete the table below:*

Table 14: 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 |
| 2.2 | 26 October 2022 | Release alongside Fisheries Certification Process v2.3 and v3.0 |

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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