

Appendix B

Principle 1 v2.0 assessment upgrade process

February 2019

Principle 1 v2.0 assessment upgrade process

Introduction

This document provides the process requirements CABs shall follow to upgrade Principle 1 assessments of tuna fisheries currently certified against v1.3 of the MSC Fisheries Standard.

This process is only applicable to the combined tuna fishery variation request, submitted 11 December 2018.

This process is adapted from FCP v2.1 7.27 and Annex PE - scope extensions. It is noted that the MSC has no expectation that CABs – if they choose to apply this process before the FCP v2.1 becomes effective - are obliged to adopt the FCP v2.1 more generally before such time that it is required to do so.

The MSC expects that Principle 1 assessment upgrades will be conducted at the next surveillance audit. These process requirements do not change the need for CABs to conform to surveillance audit requirements as per FCP v2.1 7.28.

1. Scope

- 1.1. The requirements of this annex shall apply only to Principle 1 assessment upgrade of tuna fisheries currently certified against v1.3 of the MSC Fisheries Standard (as per Appendix A of the MSC's variation response).

2. Assessment team

- 2.1. The team shall comprise of a team leader and a minimum of 1 additional team member, that meet the qualifications and competency requirements relevant to Principle 1, specifically that the team leader shall meet Table PC1; team members meet table PC2; and combined they meet sections 1 (Fish stock assessment), 2 (Fish stock biology / ecology) and 5 (Current knowledge of the country, language and local fishery context) of table PC3.

3. Announcement

- 3.1. The CAB shall use the 'MSC Surveillance Announcement Template', which shall be uploaded to the MSC database for publication on the MSC website, to notify stakeholders and the MSC of the CAB's intent to undertake a Principle 1 v2.0 assessment upgrade at the next surveillance audit.
- 3.2. The CAB shall include the following information in the announcement:
 - a. Reference to the variation request
 - b. Details of the on-site or off-site assessment (depending on the surveillance level of the fishery as per FCP 7.28), including the date and, where relevant, the location of the site visit.
 - c. Details of what will be assessed/reviewed during the audit

- d. Details of reporting timelines with respect to audit timing and expected report publication
- e. Details of the opportunities and input methods for stakeholders to participate during the on-site or off-site assessment.
 - i. The details should make clear that the assessment team is available to meet with stakeholders in person or remotely.
- f. Summaries of CVs of the team and team leader, including an explanation of how they meet the competency criteria in the GCR and Annex PC , as well as confirmation that the team has no conflicts of interest in relation to the fishery under assessment.

3.3. The CAB shall upload the Announcement to the MSC database for publication on the MSC website at least 30 days before the Principle 1 v2.0 assessment upgrade on site or offsite audit is carried out.

4. Assessment

- 4.1. The CAB shall conduct the Principle 1 v2.0 assessment upgrade at the next Surveillance Audit.
- 4.2. The CAB shall use one of the following assessment types:
 - a. On-site. The assessment involves face-to-face engagement with the client, conducting stakeholder interviews and a review of management and science in the fishery.
 - b. Off-site. The assessment involves engagement with the client, conducting stakeholder interviews and a review management and science in the fishery and is undertaken by the assessment team from a remote location.
- 4.3. The CAB shall determine whether the Principle 1 v2.0 assessment upgrade is conducted on-site or off-site depending on the existing surveillance level assigned to the fishery and the ability of the CAB to remotely verify information.
 - 4.3.1. Where an off-site assessment is conducted, the CAB shall provide a rationale in the announcement of how clause 4.3 is met.
- 4.4. The team shall:
 - a. Conduct interviews to make sure that the team is aware of any concerns or information that stakeholders may have.
 - b. Allow private interviews with the team for stakeholders who request one.
 - c. Use any information provided in private in conformity with confidentiality requirements, see FCP v2.1 Section 4.3.
- 4.5. The CAB shall evaluate the assessment components using all requirements in MSC Fisheries Standard Annex SA2 following the process as described in FCP Section 7.17 and Section 7.18.
- 4.6. The CAB shall complete the Principle 1 v2.0 upgrade assessment in compliance with timelines as set out in FCP 7.20.1 and 7.22.1.

5. Reporting

- 5.1. If the stock has been assessed against FCR v2.0 Annex SA, the CAB shall follow 5.1.1 – 5.1.4.
 - 5.1.1. The CAB shall produce a single report using the 'MSC Reporting Template' and follow procedures outlined in FCP Sections 7.19.1, 7.19.2, 7.19.6 to 7.19.10, 7.24.3 and 7.24.4 (exclusive of references to the Peer Review Draft Report and the Peer Review College).
 - 5.1.2. Reporting shall include:
 - a. Sections 1 to 5 of the 'MSC Reporting Template', limited to Principle 1
 - b. Section 7.1 (limited to Principle 1) and Section 7.2 of the 'MSC Reporting Template'
 - c. Section 8 of the 'MSC Reporting Template'

- 5.1.3. Where appropriate, the CAB shall populate sections of the 'MSC Reporting Template' from the existing Public Certification Report.
- 5.1.4. The report, completed in accordance with 5.1.2, will be published as an Annex to the Surveillance Audit.
 - 5.1.4.1. If the Principle 1 v2.0 upgrade assessment is conducted outside of a Surveillance Audit, the CAB shall upload the report to the MSC database for publication on the MSC website.
- 5.2. If the stock has not been assessed against FCR v2.0 Annex SA, the CAB shall follow 5.2.1 – 5.2.5
 - 5.2.1. The CAB shall produce the following reports using the 'MSC Reporting Template' and follow procedures outlined in FCP Sections 7.19 to 7.23 and 7.24.1 to 7.24.4:
 - a. Client and Peer Review Draft Report.
 - b. Public Comment Draft Report.
 - c. Final Draft Report.
 - d. Public Certification Report.
 - 5.2.2. Reporting shall include:
 - a. Sections 1 to 5 of the 'MSC Reporting Template', limited to Principle 1
 - b. Section 7.1 (limited to Principle 1) and Section 7.2 of the 'MSC Reporting Template'
 - c. Section 8 of the 'MSC Reporting Template'
 - 5.2.3. Where appropriate, the CAB shall populate sections of the 'MSC Reporting Template' from the existing Public Certification Report.
 - 5.2.4. The minimum number of peer reviewers for Principle 1 v2.0 assessment upgrade shall be 1.
 - 5.2.5. All other requirements for peer review outlined in FCP Sections 7.14, 7.19.3-7.19.5 and 7.20.9 shall apply.

6. Certification

- 6.1. The CAB shall make a determination regarding the Principle 1 assessment upgrade outcome and notify stakeholders in the Final Draft Report.
- 6.2. If it determined that the scores from the Principle 1 assessment upgrade meet the requirements for certification, the CAB shall update the Fishery Certificate Statement and fishery certificate(s) in accordance to FCP v2.1 Section 7.24.6.3 and 7.25.3.
- 6.3. If the determination is that the fishery has not met the requirements for certification, the CAB shall report this in the Final Draft Report and Public Certification Report and shall make no changes to the existing certificate, which shall remain valid.
- 6.4. If the Principle 1 assessment upgrade results in continued certification, the CAB shall conduct a full Principle 1 assessment at re-assessment.

Table 1: Principle 1 v2.0 assessment upgrade – indicative timelines

Principle 1 assessment upgrade announcement	30 days
On-site or off-site visit (i.e. surveillance audit)	
Client & Peer Review	60 days
Public Comment Draft Report	30 days
Final Draft Report	15 days
Public Certification Report	
Total	135 days (4.5 months)