

FISHERYPROGRESS.ORG

FIP Review Guidelines

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1. Introduction

Overview

FisheryProgress is committed to transparency, consistency, and accuracy in decision-making about fishery improvement projects (FIPs) included on the FisheryProgress website. FisheryProgress developed these guidelines for use by FIP leads, FIP participants, FisheryProgress FIP reviewers (hereafter referred to as “reviewers”) and the FisheryProgress Technical Committee (TC) to provide clarity around how we determine eligibility for the site and evaluate FIP information and progress. Moreover, the guidelines were developed to provide clarity around how the site will implement the [FisheryProgress Human Rights and Social Responsibility \(HRSR\) Policy](#) and evaluate FIP social information and progress. It is important to note that FisheryProgress reviews the information FIPs submit to determine whether the information submitted is credible and effectively meets the site’s requirements, and FisheryProgress does not endorse or verify claims regarding social or environmental sustainability on the ground.

The guidelines include:

- **Eligibility for FisheryProgress.** The criteria FisheryProgress uses to determine whether FIPs are eligible to report their progress on the site, based on the Conservation Alliance for Seafood Solution’s [Guidelines for Supporting Fishery Improvement Projects](#).
- **Initial review process.** The process and evaluation criteria the reviewer will use in assessing a FIP’s initial profile submission to the website as well as the initial implementation of the requirements of the HRSR Policy for both new and existing FIPs.
- **Evaluating progress.** The process and evaluation criteria the reviewer will use in assessing six-month and annual progress reports, three-year evaluations, FIP changes, and completed or inactive FIPs.

These guidelines will evolve over time, and FisheryProgress will communicate any changes to FIPs via email when they occur.

Throughout the guidelines, the word “must” indicates a requirement. The words “should,” “could,” “may,” and “best practice” indicate a strong recommendation; however, FIPs will not be affected if they do not follow these recommendations. Only the requirements affect whether reports and updates are approved. Other key terms from this document are defined in the FisheryProgress [Glossary](#).

References to requirements of the HRSR Policy throughout this document are based on the numbering of each requirement as noted in the HRSR Policy. Please refer to the [HRSR Policy](#) for the details on these requirements.

2. General Requirements and Key Additional Information

2.1. FIP Categories

The eligibility for publication on FisheryProgress is determined by the Conservation Alliance for Seafood Solution’s [Guidelines for Supporting Fishery Improvement Projects \(CASS Guidelines\)](#). Please review the CASS Guidelines for details on what constitutes a FIP and types of FIPs (basic vs. comprehensive) and to learn about FIPs’ different statuses and stages.

The Unit of the FIP delineates the boundaries of the project, defined by the characteristics of the fishery and the supply chain actors that are involved in the improvement project. The Unit of the FIP includes:

- The target stock(s).
- The fishing gear type(s).
- The defined subset of fishing vessels or individual fishing operators pursuing that stock (listed in the FIP's vessel list).
- The supply chain actors identified as FIP lead(s) and participants.

FIP product is defined as seafood product(s) caught and sold within a Unit of the FIP (i.e., products are landed from vessels/fishers recorded on the FIP's vessel list and sold to supply chain actors identified as FIP lead(s) and/or participants in the improvement project on the FIP profile).

There are four FIP statuses. All FIPs are eligible and/or required to report on **environmental and social progress**, dependent on their status as outlined below:

- **Prospective FIPs:** Prospective FIPs, as defined by the CASS Guidelines, are those that are currently at Stage 0 or Stage 1 and intend to meet the requirements for basic or comprehensive FIPs and complete Stage 2 within one year. Prospective FIPs are not considered active and, therefore, are neither required nor eligible to report on their environmental or social progress. To transition to an active status, prospective FIPs must meet the requirements outlined in [Section 4](#) of this document on Active FIP eligibility.
- **Active Basic and Comprehensive FIPs:** All active FIPs must report on their environmental and social progress in accordance with the HRSR Policy and associated review criteria outlined in this document.
- **Completed FIPs:** Completed FIPs are those that have met their environmental objectives and are not required to continue reporting on their compliance with the HRSR Policy but may do so voluntarily:
 - Completed FIPs that continue to report must meet the requirements outlined in the HRSR Policy, including the six-month and annual reporting requirements, but will be unable to update previous environmental information.
 - To not have future reports considered missed, completed FIPs that are voluntarily reporting and would like to stop must contact FisheryProgress (contact@fisheryprogress.org) to indicate they are no longer reporting. There are no additional requirements or consequences for completed FIPs that choose not to continue to report on compliance with the HRSR Policy. All social progress information provided prior to and after the FIP reaches completion will be maintained on completed FIP profiles.
- **Inactive FIPs:** Inactive FIPs are those suspended reporting on FisheryProgress, due to reasons outlined in [Section 6: Inactive FIPs](#).

2.2. Language Requirements

English is the official language of FisheryProgress. Action names, action goals, action description, and six-month and annual progress report updates must be provided in English. Additionally, the following documents, if applicable to the FIP and report in question, must always be uploaded to the FIP profiles in English:

- Environmental workplan and associated progress updates.

- Pre-assessment and Environmental Rapid Assessment (Needs Assessment).
- Scoping document (if submitted).
- Budget.
- Social risk assessment, whether it is completed using the Social Responsibility Assessment (SRA) tool or is an alternative social assessment.
- Social workplan and associated progress updates.
- Alternative Social Assessment and Workplan Form.
- Public Policy Statement Description template.
- Fisher Awareness of Rights template.
- Vessel List template.
- Extension Request form for HRSR Policy requirements.

We encourage evidence submitted as part of the six-month and annual progress reports to be provided in English. If it is not, the evidence is subject to secondary review and may take longer to publish on the profile.

2.3. Reporting Transparency

All information submitted by FIPs as part of their reporting is shared publicly on their FisheryProgress profile. It is the FIP’s responsibility to ensure proper measures are taken to ensure confidential information is not published. FisheryProgress strongly encourages FIP leads to obtain consent for publishing information in advance of submission to FisheryProgress. FIPs that have legal or security concerns about sharing information in the public domain may request that required reporting information remain unpublished, though FisheryProgress will maintain documentation internally for review purposes.¹ Those requests must be supported with justification and will be reviewed and approved on a case-by-case basis. For more information, please see the [Permission and Confidentiality of Reporting](#) documents and information on the website.

2.4. Reporting Deadlines for HRSR Policy Requirements

With regard to the HRSR Policy, the review of each of the requirements is as follows:

Policy Requirement	Initial ²	Progress Reporting
1.1 Policy statement	To be listed as active	Every annual report
1.2 Vessel and/or fisher info	To be listed as active	Every annual report
1.3 Fisher awareness of rights	First six-month report	Every annual report
1.4 Grievance mechanism	First six-month report	Every annual report

¹ Note that while FIPs can request information be kept confidential and therefore not published on the profile, this evidence will not count toward FIP progress (it will not be considered by Sustainable Fisheries Partnership to calculate a progress rating).

² This is for new FIPs. As of the date of publication of the HRSR Policy, existing FIPs have already begun to implement these requirements, and all existing FIPs will be required to comply with remaining applicable HRSR Policy requirements at their first report in 2023.

1.5 Self-evaluation of risk criteria	To be listed as active	Every annual report
2.1 Risk assessment (if required)³	Twelve months after meeting one or more risk criteria (see Requirement 1.5)	Every one to three annual reports depending on the outcome of the risk assessment ⁴
2.2 Social workplan (if required)⁵	Twelve months after meeting one or more risk criteria (see Requirement 1.5)	Every six-month and annual report

Note: Although the above table indicates when requirements go into effect, **specific deadlines for FIPs to meet requirements vary according to their unique reporting cycle**, which is based on when the FIP is first listed as active on FisheryProgress. The document submission and review process occurs as part of the FIP’s regular six-month and annual progress reporting. Furthermore, the table details both initial and progress reporting deadlines for each requirement, which ensures that information is kept up to date.

2.5. FIP Progress Ratings

FisheryProgress does not determine FIP progress ratings. [Sustainable Fisheries Partnership \(SFP\)](#) assigns a progress rating to active FIPs on FisheryProgress. That rating is established based on evidence for environmental progress each FIP provides to FisheryProgress through their six-month and annual reports.⁶ Progress ratings are only applicable to environmental progress; they do not evaluate social progress. Progress ratings are determined using the following [methodology](#). SFP determines a FIP’s progress rating within one month of when its completed six-month or annual report is received. SFP releases updated ratings approximately the second week of each month, following the month that a report was completed. Any updated ratings are then reflected on the respective FIPs’ profiles on the FisheryProgress website.

If a FIP wishes to discuss its progress rating, it must reach out directly to SFP at fipevaluation@sustainablefish.org.

2.6. Other Relevant Documents and Resources

- [Conservation Alliance for Seafood Solutions: Guidelines for Supporting Fishery Improvement Projects](#).
- [Marine Stewardship Council Capacity Building Toolkit](#).
- FisheryProgress [Human Rights and Social Responsibility Policy](#).

³ FIPs that meet one or more of the criteria for increased risk of forced labor and human trafficking (see HRSR Policy Requirement 1.5) must complete a risk assessment.

⁴ This is applicable only to FIPs that submit an SRA.

⁵ FIPs must develop and implement a workplan if they submitted an alternative social assessment to meet HRSR Policy Requirement 2.1 or if their SRA had any high risk scores.

⁶ Please note that any information requested to be confidential for progress reports will not be utilized in their progress rating unless it is publicly available – if SFP does not have access to supporting evidence, it will not be considered in progress rating evaluations.

- [Processes for Addressing Concerns About FIP Information on FisheryProgress.](#)
- [Find a Qualified Consultant for environmental and social assessments.](#)
- [Three-year evaluation.](#)
- [Guidance for FIPs with Audits Through Other Social Standards.](#)
- [Environmental Rapid Assessment \(Needs Assessment\) Recommended Indicators.](#)
- [Templates and forms to comply with environmental and social criteria.](#)
- [Glossary.](#)

3. Prospective FIPs

3.1. Eligibility

FIPs that are currently in stage⁷ 0 or 1 may be listed on FisheryProgress as prospective. Prospective FIPs are not eligible to report on their compliance with the HRSR Policy.

Prospective FIPs may be listed for a maximum of 12 months. FisheryProgress will remove the FIP from the website if the FIP has not reached stage 2 (either as a basic or comprehensive FIP) by the end of the 12-month period. Once a FIP has reached its expiration date and is removed from the site, it cannot be relisted again as a prospective FIP.

4. Active FIPs

4.1. Eligibility

FIPs that are currently in stages 2 through 5 and meet the [CASS Guidelines](#) for basic or comprehensive FIPs may be listed as active FIPs on FisheryProgress. Please review the CASS Guidelines for details on the requirements for a basic and comprehensive FIP.

4.2. Review Process

The intent of the review process is to determine whether the information submitted by a FIP meets FisheryProgress' requirements. This section outlines the process reviewers follow when reviewing a new or existing FIP as well as the process followed by FIPs to submit a new FIP or report on their progress. In [Section 4.3: Review Criteria](#), we outline the requirements and expectations of FIP profiles and FIP reports.

4.2.1. New FIP Profile Review Process

The following steps outline the process to publish a new FIP profile on FisheryProgress:

1. *Complete a FisheryProgress Orientation:* The person who is responsible for creating the FIP profile must sign up for a "FisheryProgress Orientation: creating a profile." Please email contact@fisheryprogress.org for more information on this orientation.
2. *Obtain access for the FisheryProgress user account that will create and modify a FIP profile:* This is granted once the individual completes the orientation.

⁷ Please refer to the [CASS Guidelines](#) for details on FIP stages.

3. *Submit all profile information to adequately meet both environmental and social requirements:* All required documentation is outlined in [Section 4.3.1](#) of this document.
4. *Inform FisheryProgress that the new FIP profile is ready for publication:* The FIP must email contact@fisheryprogress.org to confirm all required documentation has been uploaded to the platform and that the FIP is ready for review. FisheryProgress will reach out to the FIP to address any feedback regarding the submitted materials or if any information is missing.
5. *Review of the new FIP profile:* The reviewer will aim to complete the review within one month of the date the profile is submitted.⁸ This timing will vary depending on the number of FIP profiles awaiting review by FisheryProgress.
6. *Addressing the reviewer's feedback:* The FIP addresses the feedback received from the reviewer, makes changes to the FIP profile accordingly, and reaches out to the reviewer once the FIP is ready for re-review. Depending on the items that need to be addressed, there can be several rounds of feedback from the reviewer. There is no time constraint for how long this step may take; however, it will directly impact the timing of the publication of the FIP. Note that getting to the publication of the new FIP profile will depend on:
 - a. The amount of follow-up needed to secure additional information from the FIP implementer.
 - b. How quickly the FIP addresses any feedback.
7. *Publication of the new FIP:* Once the review process is complete and the FIP is ready for publication, the reviewer will publish the FIP profile on FisheryProgress, and the FIP will receive a message informing them the profile is now public.

4.2.2. Six-Month and Annual Progress Report Review Process

Every six months from the date the FIP profile is published on FisheryProgress, FIPs must report on progress following the criteria outlined in [Section 4.3.3: Six-Month Progress Report Review Criteria](#). Every 12 months from the date the profile is published on FisheryProgress, FIPs must report on progress as specified in the HRSR Policy and according to the criteria outlined in [Section 4.3.4: Annual Progress Report Review Criteria](#).

A FIP that is in the process of having an Announcement Comment Draft Report (ACDR) completed is still required to complete the six-month and annual progress reports according to the FIP's reporting schedule.

A FIP may request a one-time extension of up to three months for its six-month or annual progress report due date. That is separate from the 12-month extension allowed for social-requirements.

A FIP must submit all the required information – for both environmental and social reporting – as part of the report. The review team will not begin its review until all required materials are submitted.

FisheryProgress will send out two reminders to FIPs with regard to its upcoming reporting deadline. Those reminders will be sent out during the month prior to each FIP's progress report due date and the month the report is due. For example, a FIP whose progress report is due at the end of March would

⁸ A FIP profile will be considered "submitted" once all required documentation and information on the profile is uploaded on the website. This process will depend on the diligence of the FIP when uploading the documentation into the new profile.

receive its first reminder in the first week of February and the second reminder in the first week of March. It is the FIP's responsibility to keep track of its progress reporting deadlines.

Note: On a case-by-case basis, and under exceptional circumstances, FisheryProgress will grant FIPs with extensions for reporting.

The following steps outline the submission, review, and approval process for both six-month and annual reports:

1. *Submission process:*
 - a. The FIP uploads all required environmental and social information and alerts FisheryProgress by emailing contact@fisheryprogress.org or the FIP's reviewer directly.
2. *Review process:*
 - a. The reviewer will complete a detailed review and contact the FIP with any feedback about the report. The reviewer assesses the progress details and evidence to confirm that they are credible and of acceptable quality.
 - b. The reviewer will aim to complete the initial review within two weeks of the date the report is submitted.⁹ This timing will vary depending on the volume of FIP profiles awaiting review by FisheryProgress.
 - c. Once the reviewer has completed the initial review, the completion of a report will depend on:
 - i. The time it takes the FIP to address feedback.
 - ii. The amount of follow-up needed to secure additional information from the FIP.
 - iii. How quickly the FIP addresses any follow-up feedback.
 - d. If needed, the Reviewer will consult with the Technical Committee when confronted with unique situations.
 - e. The FIP can request a conversation with the reviewer to clarify any feedback sent by the reviewer. Any inquiries and replies by the reviewer and FIP should occur within a reasonable time frame (five business days when possible).
 - f. All reported information the reviewer does not have feedback on will be published once reviewed. Any items, including action progress or score change information the reviewer does have feedback on will not be published until the FIP lead addresses the comments.
3. *Approval, publication, and notification process:*
 - a. Once the FIP lead has addressed any feedback and pending items about all the mandatory updates¹⁰ flagged by the reviewer and all report information has been published, the report will be marked complete. **Note that the report will be considered missed if the FIP lead does not address outstanding items that fall under the mandatory updates.**
 - b. Once the report is completed, the reviewer will confirm with the FIP that the progress report has been marked as complete.
 - c. Once SFP completes its progress rating evaluation, FisheryProgress updates the FIP progress rating or stage if SFP has determined there is a change.

⁹ A report will be considered "submitted" once all required documentation and information on the profile is uploaded on the website. See [Section 4.3.2: Six-Month Progress Report Review Criteria](#) and [Section 4.3.3: Annual Progress Report Review Criteria](#) for details.

¹⁰ Mandatory updates for six-month reports are outlined in the table under [Section 4.3.2: Six-Month Progress Report Review Criteria](#). Mandatory updates for annual reports are outlined in the table under [Section 4.3.3: Annual Progress Report Review Criteria](#).

4.2.3. Three-Year Evaluation Reviews (for Comprehensive FIPs Only)

Every three years, comprehensive FIPs are required to have an independent evaluation of action results and performance against the Marine Stewardship Council (MSC) Fisheries Standard.¹¹ Please review the Conservation Alliance for Seafood Solutions' [Guidelines for Supporting Fishery Improvement Projects \(CASS Guidelines\)](#) for details on the requirements of the independent evaluation.

The evaluation must be completed by someone who is both experienced with the MSC Standard (e.g., is a [registered MSC technical consultant](#) or [accredited conformity assessment body](#) or has [other demonstrated qualifications approved by the reviewer](#)) and independent from the organization implementing the FIP (i.e., not a FIP participant or FIP lead and has not been an employee of either within the past three years).

FIPs must use the [three-year evaluation template](#), which must be filled out in English. Additional guidance is available in the [three-year evaluation guidelines](#).

The following steps outline the process of submitting and reviewing the three-year evaluation:

1. *FisheryProgress confirms the date of the FIP's last evaluation:*
 - a. Evaluations must be completed at least every three years after the publication of the FIP profile on FisheryProgress.
2. *FisheryProgress sends reminders to FIPs on the due date of the three-year evaluation:*
 - a. FisheryProgress will send three reminders to the FIP. The first reminder is sent out a year before the audit is due; the second reminder is three months before the audit is due; the third and last reminder is the first week of the month the audit is due.
3. *The FIP confirms its assessor meets the required qualifications:*
 - a. Before the evaluation is conducted, the FIP must reach out to FisheryProgress to confirm the assessor chosen for the evaluation meets the qualifications to carry out the evaluation. **Failing to obtain the pre-approval may result in additional costs to the FIP due to the need for a re-evaluation by a qualified assessor.**
4. *Submission of the three-year evaluation:*
 - a. The FIP submits the evaluation along with the annual progress report and informs FisheryProgress.
5. *Review of the evaluation.* The reviewer will confirm:
 - a. **Assessor qualifications:** The reviewer will confirm the evaluation was completed by an assessor who has the required experience with the MSC Standard (e.g., is a [registered MSC technical consultant](#) or [accredited conformity assessment body](#) or has [other demonstrated qualifications approved by the reviewer](#)).
 - b. **Template:** The reviewer will confirm the FIP used the three-year evaluation template and that the template is completed correctly and in English.
 - c. **Confirm the audit is submitted properly:** The reviewer will confirm the evaluation is uploaded to the profile under the "Independent Evaluation" section in the Documents tab, along with a short description of the evaluation.
6. *Approval of the evaluation.* If the reviewer finds the evaluation to be incomplete or incorrectly filled out, and/or it is not published on the FIP profile by the evaluation report deadline,

¹¹ All mentions throughout this document to the "MSC Standard" refer to the MSC Fisheries Standard specifically.

FisheryProgress will render the FIP inactive. Note: On a case-by-case basis and under exceptional circumstances, FisheryProgress will grant FIPs with extensions for reporting.

4.2.4. Missed Reports

A report will be considered missed if it is not submitted by the end of the month it is due, e.g., a FIP with its progress report due in January must submit updates no later than Jan. 31. A report will also be considered missed if feedback on the report is not addressed and the report is not published by the end of the month following the due date, e.g. a FIP with its progress report due in January must address all feedback on the report provided and have the report published by Feb. 28. **For a report to be considered completed, a FIP must submit its report and address all feedback that falls under the “mandatory updates,”¹² which has been flagged by the reviewer by the end of the following month.** If a report is not completed, the FIP’s report will be marked as missed and the deadline will be in red text on the FIP Overview tab.

If the FIP completes a missed report at a later date, the report will still be considered missed. Two consecutive missed reports (including a report that was missed but then submitted later) will render the FIP inactive. A FIP can move back to active (reactivate) at any time by following the reactivation process (See [Section 6.2: How to Reactivate an Inactive FIP](#)).

4.2.5. Review Process for Extensions and Extension Requests for Social Requirements

Extension Requests

FIPs may request extensions for HRSR Policy Requirements 1.1-1.4 and Requirements 2.1 and 2.2 if the FIP is required to meet them. When an extension request is uploaded, the reviewer will:

1. **Confirm that the FIP is eligible to request an extension** for the requirement (e.g., the requirement has not yet been met, and if requesting an extension for Requirement 2.1 and 2.2, the FIP does not have a [reported incident](#)).
2. **Confirm that the FIP has used the HRSR Policy [Extension Request Form](#)** and that the form has been filled in and submitted correctly, including:
 - a. All required fields have been filled in.
 - b. A list of actions has been provided.
 - c. Each request is for an extension of a single requirement and has been uploaded to the appropriate document field on the site.
3. **Publish the extension request** to the profile as part of the FIP progress report and update any associated information fields on the site (e.g., risk assessment summary fields on the Social Performance tab).

After the first 12-month extension, FisheryProgress may consider additional extensions for exceptional circumstances. Any FIP requesting an additional 12-month extension must provide an updated request template that details progress made during the prior extension period, remaining challenges, and concrete steps to overcome them. Any request for an additional extension is subject to review by FisheryProgress’ leadership and/or advisory committees prior to being approved or denied.

¹² Mandatory updates for six-month reports are outlined in the table under [Section 4.3.3: Six-Month Review Criteria](#). Mandatory updates for annual reports are outlined in the table under [Section 4.3.4: Annual Report Review Criteria](#).

Ongoing and Concluding Extensions

At each six-month and annual report, the reviewer will confirm whether the FIP has any extensions for the HRSR Policy requirements. At the conclusion of the extension period, the FIP must meet the requirement as outlined in the HRSR Policy. The first review of a social requirement follows the same process and criteria regardless of whether an extension was granted. In other words, during the first review of a social requirement after the extension period is over, the reviewer will follow the steps outlined in the relevant table from the initial review in [Section 4.3.1](#) or [Section 4.3.2](#) (as appropriate to the requirement).

Note that if an extension period has ended in line with a six-month report, the requirement will be reviewed at that time, even if the requirement is typically reviewed during the annual report. The first progress update for the related requirement, however, will not be due until the second annual report after the FIP has met the requirement (i.e., 18 months later).

See also [Section 4.3.5: Review of and Reporting on Extensions to the HRSR Policy Requirements](#) for details on the criteria followed during the review process.

4.2.6. Review Process for FIPs Undergoing MSC Full Assessment

A FIP that has entered the full assessment process for MSC certification will remain active on the site, but reporting requirements will be reduced. The FIP must provide an Announcement Comment Draft Report (ACDR), at which point FisheryProgress will add a banner to the FIP's profile noting it is under assessment and providing a link to the fisheries' subpage on the [MSC website](#). During the FIP's regular progress reports, the FIP will be asked to confirm it is still in assessment and to meet the social progress reporting requirements. It will not be required to meet environmental progress reporting requirements.

4.2.7. Reviewing FIP Scope Changes and Impact on the Review Process

General Information on Scope Changes

Changes occur over the lifespan of a FIP and as such, FIPs are allowed to submit scope changes between reports. These scope changes will aim to be completed within one month of the date the scope change is submitted. For examples on common FIP scope changes, please see the [Guidance for Scope Changes in FIPs](#).

The following outlines the scope changes allowed for FIP profiles and how the reviewer will respond to minor and significant scope changes.

- **Minor scope changes** (e.g., change in FIP lead, new participants added): The FIP must inform the reviewer that an update was made to the profile and the reviewer will ensure the change is published on the profile. Reporting deadlines will remain the same.
- **Significant scope changes**: FIPs are **strongly encouraged to reach out to FisheryProgress before doing significant scope changes** to get guidance on how to best carry out the scope change. The reviewer will work with the FIP to ensure it makes the appropriate changes to the profile. The reviewer will then conduct an initial review of the core components affected by the scope change, including any updated documentation such as an assessment or workplan. The reviewing process and timeline can vary depending on the scope change. In all significant scope change scenarios, the FIP's new information will be published as soon as it's reviewed.

- Significant scope changes can be categorized as follows:
 - *Increases in scope* (e.g., transition from basic to comprehensive, expansion to include more species, expansion to include another fishing gear, expansion to include other geographies/exclusive economic zones (EEZs), new vessel flags, etc.).
 - *Reductions of scope* (e.g., reduction in FIP objectives, majority of participants leave).
 - *Shifts in scope* (e.g., more than 25% turnover in vessels or vessel owners, shifts in vessel flags).

Note: Reductions of scope that result in completion of the FIP will be made explicit in a note on the FIP's profile.

Transitioning to and/or Maintaining Comprehensive FIP Status

FIPs that transition from basic to comprehensive will need to comply with all the requirements for comprehensive FIPs, including the three-year evaluation. The three-year evaluation will be due at the same time of the FIP's third annual progress report deadline after its transition to comprehensive.

Comprehensive FIPs must address all of the fishery's environmental challenges – indicated by <60 (red) and 60-79 (yellow) scoring indicators – necessary to achieve a level of performance consistent with an unconditional pass (80+/green) of the MSC Fisheries Standard. A comprehensive FIP's workplan must include actions to improve all red and yellow MSC Performance Indicators (PIs) until the indicator achieves a green score. If at any point a comprehensive FIP's workplan no longer addresses all red and yellow indicators, FisheryProgress will proceed with the following steps:

1. Reach out to the FIP to inform them the FIP no longer meets the comprehensive FIP requirements. From the date of outreach, the FIP will have six months to update the FIP's workplan document and subsequently the Action Progress tab with actions that address all red and yellow indicators. That can be done through either:
 - a. Updating existing action(s).
 - b. Adding new action(s).
2. The FIP will reach out to FisheryProgress once it has made all the necessary changes.
3. FisheryProgress will review the updates on the Action Progress tab to ensure there are actions to address all red and yellow indicators.

If the FIP does not update the Action Progress tab within six months from the date of outreach, FisheryProgress will change the FIP type to basic until the FIP updates its Action Progress tab, so actions address all red and yellow indicators. At that point, the FisheryProgress will change the FIP type back to comprehensive.

Scope Changes With Regard to the HRSR Policy Requirements

Changes in FIP Leads and FIP Participants:

- **Requirement 1.1 Policy Statement**
 - *New FIP lead, in cases where the FIP lead was one of the Policy Statement signatories:* If a FIP lead has changed, ensure the FIP has uploaded a new signed Policy Statement(s) and [Policy Statement Description template](#). The review of the updated Policy Statement will follow the process for the initial review as outlined in [Section 4.3.1](#). Note this can occur between reports.
 - *New FIP supply chain participant(s) and the FIP submits a new or revised Policy Statement on behalf of the participant(s):* If the FIP has changes to its participant(s), ensure the FIP has uploaded a new or revised Policy Statement that reflects the updated participant(s) and an

updated [FisheryProgress Policy Statement Description template](#). The review of the new or revised Policy Statement and FisheryProgress Policy Statement Description template will follow the process for the initial review as outlined in [Section 4.3.1](#). Note this can occur between reports.

- **Requirement 2.1 Risk Assessment**

- *Changes to the FIP supply chain participant(s):* If FIP supply chain participants have been added or removed:
 - Any FIP that has published an SRA must engage a qualified [HRSR consultant](#) to reconfirm that the existing risk assessment remains representative of the FIP. If the HRSR consultant indicates that the risk assessment is no longer representative of the FIP, the FIP must submit a new risk assessment and, if required, workplan within 12 months. FIPs must notify FisheryProgress with the details of whom they engaged to confirm the SRA's continued representativeness and their findings.
 - Any FIP that has provided evidence of an alternative social assessment must update its description of the scope of the assessment and how it is relevant to the FIP. If the FIP identifies that the assessment is no longer relevant to the FIP, the FIP must submit a new assessment and workplan within 12 months.

- **Requirements 1.2-1.5**

- *Changes to FIP supply chain participants:* For any changes to supply chain participants that affect Requirements 1.2-1.5, FIPs must provide the relevant updated documentation as part of progress reporting.

Changes in Operating Conditions

- **Requirement 1.5 Self-evaluation**

- *If a FIP that previously met the criteria for increased risk of forced labor and human trafficking no longer does, it may submit a new self-evaluation against the criteria so that its profile may be updated. Additionally:*
 - If the FIP has an SRA with high-risk-scoring indicators, it must continue to meet the Requirements 2.1 Risk Assessment and 2.2 Social Workplan until an updated SRA shows a reduction in risk level of all indicators to at least medium risk.
- *If a FIP that previously did not meet the criteria for increased risk of forced labor and human trafficking now does (flagged either by changes in the FIP or a reported incident), the FIP will be required to update its self-evaluation to reflect that change during its next annual report and will be required to comply with Component 2 of the HRSR Policy.*

- **Requirements 2.1 Risk Assessment & 2.2 Social Workplan**

- *If there are significant¹³ changes to the FIP's vessel list OR if there are significant changes to the FIP's geographic scope:*
 - Any FIP that has published an SRA must engage a qualified HRSR consultant to reconfirm that the existing risk assessment remains representative of the FIP. If the HRSR consultant indicates that the risk assessment is no longer representative of the FIP, the FIP must submit a new risk assessment and, if required, a social workplan within 12 months.
 - Any FIP that has provided evidence of an alternative social assessment must update its description of the scope of the assessment and how it is relevant to the FIP. If the

¹³ "Significant changes" in this context is defined as more than 25% turnover in vessels or vessel owners, new vessel flags, and/or fishing occurring in new countries or EEZs.

FIP identifies that the assessment is no longer relevant to the FIP, the FIP must submit a new assessment and workplan within 12 months.

4.2.8. Unpublished FIPs

A FIP may not request its profile be unpublished (i.e., removed from the site). If a FIP would like to stop reporting on the site, it may either provide evidence it is completed (as outlined above) or move to inactive.

4.3. Review Criteria

4.3.1. Initial Review

When a new FIP profile is created on FisheryProgress, reviewers must confirm that the appropriate information has been provided and that it meets the criteria for publishing a new profile. The initial review for new FIPs includes both environmental and social requirements. The initial review of social criteria for existing FIPs takes place according to the initial deadlines for the requirements of the HRSR Policy, and existing FIPs must meet those deadlines to retain active status on FisheryProgress.

The following tables outline the criteria required to create a new FIP profile on FisheryProgress. The tables are organized by the relevant tab in the FIP Profile and by field under each tab.

Initial Review of General and Environmental Criteria

Main Profile Tab (Required)	
Field	Criteria Confirmed in the Review Process
FIP Name	<ul style="list-style-type: none"> ● Follows FisheryProgress’ naming conventions: <i>“Location species – gear.”</i> ● Accurately reflects the scope of the FIP, being as specific as possible about location, species, and gear(s). ● The location is specific in identifying the area where the fleet that is included in the FIP fishes, beginning with the country and, if applicable, followed by the region, state, or coast/bay/sea. If the fleet spans across multiple EEZs, the ocean(s) where fishing occurs should be named in place of a country. ● The species listed were scored against Principle 1 of the MSC Standard. If there are more than three target species, the species are aggregated into a group (e.g., small pelagics, groundfish). ● The gear(s) listed were scored against Principle 2 of the MSC Standard. ● If the FIP does not cover the whole fishery, the name should specify what portion is covered. ● If multiple FIPs exist within the same Unit of Assessment, FisheryProgress reserves the right to add a FIP lead organization to the FIP name to distinguish between FIPs.
FIP Type	<ul style="list-style-type: none"> ● Selected.

FIP Stage	<ul style="list-style-type: none"> Selected.
Objective(s)	<ul style="list-style-type: none"> There are one or more environmental objective(s) that define the scope of improvements of the FIP. <ul style="list-style-type: none"> Note: FIPs may choose to include social objectives, but those are voluntary. All objectives are time-bound (include end date, i.e., month and year) and measurable (e.g., by X date, the FIP will accomplish Y). The scope of objectives is appropriate for the FIP type (see eligibility information in the Section 4.1: Eligibility and in the CASS Guidelines). For comprehensive FIPs, the objectives address all the fishery's environmental challenges to achieve a level of performance consistent with a score of 80 or above for all MSC PIs. For basic FIPs, the objectives address a specific set of the fishery's environmental challenges. A basic FIP aims to achieve a level of performance consistent with a score of 80 or above for the relevant MSC PIs.
Description	<ul style="list-style-type: none"> Short description of FIP providing additional details on history, context, and scope. The description clarifies the scope of the fishery included in the FIP by listing: 1) the target stock or stocks and 2) the fishing method/gear. FIPs may also include any information related to the social dimensions of the fishery (e.g., general social, cultural, and economic importance of the fishery or social challenges that may be impacting the fishery).
FIP Lead(s)	<ul style="list-style-type: none"> Information for at least one public FIP contact entered. No more than two leads are listed.
Project Dates	<ul style="list-style-type: none"> Start date is when the FIP completes stage 2 requirements. If the FIP met those requirements before creating a FIP profile, the start date should be consistent with when it completed stage 2 requirements. End date is based on the expected completion date for all workplan actions. Month/year entered for both.
Species	<ul style="list-style-type: none"> At least one target species selected that matches those scored against Principle 1 of the MSC Standard.
Gear Type(s)	<ul style="list-style-type: none"> At least one gear type selected that matches those scored against Principle 2 of the MSC Standard.
Location(s)	<ul style="list-style-type: none"> FAO Major Fishing Area completed. Information on EEZ (i.e., Country and Geographic Scope) and Regional Fishery Management Organization (RFMO) entered if relevant.
Estimated Total FIP Landings	<ul style="list-style-type: none"> Filled in (in metric tons). Numbers must not include commas.

	<ul style="list-style-type: none"> ● <u>Estimated Total FIP Landings</u> are defined as: The estimated weight of the product a FIP catches at the time of landing. The estimated landings of the FIP is a subset of the Estimated Total Fishery Landings; however, only the landings from FIP participants or landings sold to FIP participants in the FIP’s Unit of Assessment should be considered.
Estimated Total Fishery Landings	<ul style="list-style-type: none"> ● Filled in (in metric tons). ● Numbers must not include commas. ● <u>Estimated Total Fishery Landings</u> are defined as: The estimated weight of the product a fishery catches at the time of landing, regardless of the state in which it is landed (e.g., whole or gutted or fileted). The estimated landings of the fishery should match with the scope of the FIP’s Unit of Assessment, which is defined as 1) the target stock(s); 2) the fishing method or gear; and 3) the fleets, vessels, individual fishing operators, and other eligible fishers pursuing that stock.
Landings Date	<ul style="list-style-type: none"> ● Filled in. The landings date refers to the month and year when the landings were recorded. Landings should be no more than two years old.
Participants	<ul style="list-style-type: none"> ● Included for each participant: <ul style="list-style-type: none"> ○ Name, organization/association, and email entered. <i>Note: Participant contact information will be kept private and only used by FisheryProgress to contact participants if: FisheryProgress can’t establish contact with the FIP coordinator or lead, the FIP misses a report, or the FIP is being moved to inactive or a one-time contact to invite supplier participants to list profiles on FishChoice.com.</i> ○ Appropriate Primary Function category selected. ○ Selection made for Contribution Type. ● Must include at least one FIP supply chain participant. ● FIP leads must be listed as FIP participants if they are implementing the workplan and/or funding the FIP. ● Note: A FIP participant (including fishers/vessels) may be part of one or more active FIPs.
Geo Location	<ul style="list-style-type: none"> ● Filled in. ● Note: Only one Geolocation can be selected per FIP.

Documents Tab	
<i>It is the FIP’s responsibility to obtain permission to utilize any documentation that was not created or commissioned by a FIP participant itself.</i>	
<u>Mandatory Documentation</u>	
Field	Criteria Confirmed in the Review Process
MSC Pre-Assessment	<ul style="list-style-type: none"> ● Pre-assessment or Needs Assessment, also known as Environmental

<p>OR Needs Assessment (Also Known as an Environmental Rapid Assessment)</p>	<p>Rapid Assessments (ERA), is in English.</p> <ul style="list-style-type: none"> ● Date of completion of the document is included. ● Author’s name and affiliation is included in the document. ● <u>MSC pre-assessment</u>: <ul style="list-style-type: none"> ○ Is completed by someone experienced with applying the MSC Standard (e.g., is a registered MSC technical consultant or accredited conformity assessment body or has other demonstrated qualifications approved by FisheryProgress). ○ FIPs, qualified consultants, and Conformity Assessment Bodies (CABs) use the MSC Pre-Assessment template available on FisheryProgress. ● <u>Needs Assessment (ERA)</u>: <ul style="list-style-type: none"> ○ The ERA tool template, available on FisheryProgress, must be used. ● The author(s) of a pre-assessment or needs assessment performs due diligence in determining baseline scores for MSC PIs. If an indicator does not have information to support scoring, the reviewer may request additional detail about why the information is not available.
<p>Environmental Workplan</p>	<ul style="list-style-type: none"> ● For comprehensive FIPs, the environmental workplan is completed by someone experienced with applying the MSC Standard (e.g., is a registered MSC technical consultant or accredited conformity assessment body or has other demonstrated qualifications approved by FisheryProgress). ● FIPs, qualified consultants, and CABs use the environmental workplan template. ● The environmental workplan is in English. ● Actions/tasks align with FIP environmental objectives and are paired with appropriate MSC PIs. ● The workplan covers the expected lifetime of the FIP (i.e., through the FIP’s expected end date). ● Time frames are plausible. ● There are no major concerns or risks to achieving the workplan given the information provided. ● Workplan includes: <ul style="list-style-type: none"> ○ <u>Actions aligned with FIP objectives</u>. An action is a major activity from the FIP’s workplan that addresses at least one deficiency identified in the needs assessment (for basic FIPs) or MSC pre-assessment (for comprehensive FIPs). Actions must always be linked to at least one MSC PI. For comprehensive FIPs, PIs with a score lower than 80 must be addressed by at least one action. A PI can be addressed by multiple actions. Individual actions or a combination of actions must lead to an improvement in score of MSC PIs, and must align with the FIP’s objectives. ○ Actions should provide enough detail and clarity for users to understand the fundamentals of what will be completed, the steps involved, and how the FIP will address the deficiencies identified in the needs assessment or pre-assessment. That detail must be provided through the action description or can be provided through

	both the action description and tasks (optional). For examples of FIP actions and tasks, please refer to the FisheryProgress Glossary .
Proof of Budget	<ul style="list-style-type: none"> • FIPs use the FIP budget template. • The budget is in English. • The budget extends to year 2 of the FIP and is fully funded through at least year 1. • The budget provides specific detail on how activities and funds will contribute toward achieving stated outcomes. A more detailed budget could list all of the costs associated with each activity as well as secured funding and needed funding for each activity. • A budget may anonymize or aggregate the sources of revenue and may include in-kind contributions and monetary contributions. • Information provided on the budget indicates that there are enough funds to complete the workplan. • Note: The budget does not need to be made publicly available. FIPs that keep their budgets private may give FisheryProgress approval to anonymize their budgets for research purposes.
Optional Documentation	
Scoping Document	<ul style="list-style-type: none"> • For basic FIPs, the scoping document summarizes the results of the needs assessment and recommends strategies for addressing the fishery's challenges to improve its performance against the MSC Standard. • For comprehensive FIPs, the scoping document summarizes the results of the MSC pre-assessment and recommends strategies for addressing the fishery's challenges to achieve a level of performance consistent with an unconditional pass of the MSC Standard. • For all scoping documents, there is reasonable alignment between the challenges identified in the MSC pre-assessment/needs assessment and strategies recommended in the scoping document.
MOU	<ul style="list-style-type: none"> • Includes the FIP scope or name. • Includes names and organizations of participants. • Includes the specific terms of agreement (funding/in-kind support and/or activities to be conducted by each participant). • There is an end date. • All parties have signed the memorandum of understanding (MOU).
Additional Documentation	<ul style="list-style-type: none"> • Ensure additional documents have clear descriptions and are relevant to the FIP.

Indicators Tab (Required)	
Field	Criteria Confirmed in the Review Process
Baseline Indicator	<ul style="list-style-type: none"> • For comprehensive FIPs, all indicators include a score.

Scores (Year 0 Scores)	<ul style="list-style-type: none"> ● <u>For basic FIPs</u>, all indicators that are being directly addressed by one or more workplan actions include a score. Indicators that are not being addressed by any actions are scored as “N/A” and accompanied by a short explanation for why it is not being addressed. <p><u>Single-Species/Single-Gear FIPs</u></p> <ul style="list-style-type: none"> ● The scores entered for Year 0 are the scores in the first pre-assessment/needs assessment undertaken by the FIP in stage 1. <p><u>Multi-Species/Multi-Gear/Multi-Jurisdiction FIPs</u></p> <ul style="list-style-type: none"> ● If the FIP includes multiple species/gear/jurisdiction types and the pre-assessment/needs assessment includes separate scores for each species/gear/jurisdiction combination, the FIP has entered the lowest score for each indicator on the main table. ● <i>Optional:</i> The FIP fills out the Multi-Species/Gear/Jurisdiction Indicator Score spreadsheet, available on the FisheryProgress website, based on its pre-assessment/needs assessment.
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Engagement Opportunities Tab (Optional)	
Field	Criteria Confirmed in the Review Process
Engagement Opportunities	<p>Listing engagement opportunities is optional. The below guidelines are for those FIPs that complete this section of the FIP profile.</p> <ul style="list-style-type: none"> ● <u>Engagement Opportunity</u>: Is clear and concise and provides enough information to adequately describe the engagement opportunity. ● <u>Type of Opportunity (optional)</u>: If selected, type of opportunity is consistent with the engagement opportunity that is described. ● <u>Description</u>: Provides additional information and context that helps industry understand more about the engagement opportunity. ● <u>How Will the Engagement Opportunity Benefit Businesses? (optional)</u>: If provided, information persuasively conveys the potential benefits to seafood businesses to engage in the FIP. The text here should not describe the benefit to the FIP. ● <u>Who Needs to Engage in This Opportunity? (optional)</u>: If selected, target audience should be consistent with the information provided elsewhere in the Engagement Opportunity section. ● <u>Why is the Engagement Opportunity Important? (optional)</u>: If provided, information explains why the engagement opportunity is important and how it will advance the FIP. Providing a compelling reason to engage in the FIP will help ensure that businesses participate. ● <u>Deadline (optional)</u>: If provided, confirm the deadline is not expired or extends beyond the projected end date of the FIP. ● <u>How to Get Involved</u>: Sufficient information should be provided to make this as easy as possible for a company to engage by including a contact

	name with contact information (even if this is included elsewhere in the FIP profile). It is recommended that additional information such as links to template letters or a FIP agreement be provided in this section as well.
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Additional Impacts Tab (Optional)	
Field	Criteria Confirmed in the Review Process
Additional Impacts	<p>Listing additional impacts is optional. The below guidelines are for those FIPs that complete this section. Which of the following are confirmed is based on which impact(s) the FIP notes:</p> <ul style="list-style-type: none"> ● Traceability: Adequate information is included to describe how the FIP is working to address traceability. ● Illegal Unreported and Unregulated (IUU): Adequate information is included to describe how the FIP is working to address IUU fishing. ● Ecosystem Impact: Adequate information is included to describe how the FIP is working to address additional ecosystem impacts beyond those addressed in the MSC Standard. ● Supplier Roundtables: Confirm that the supplier roundtables' link is accurate if participating. <p>If the FIP includes a document:</p> <ul style="list-style-type: none"> ● Document is relevant to additional impact described. <p>If the FIP includes a website:</p> <ul style="list-style-type: none"> ● Website title is accurate. ● The URL link works.

Initial Review of Social Criteria

Requirement 1.1: Policy Statement Field, Social Performance Tab	
Sub-Field	Criteria Confirmed in the Review Process
Documentation	<ul style="list-style-type: none"> ● One or more Policy Statements has been uploaded. If the Policy Statement is posted on a website, the FIP may provide the hyperlink to the website or download the file and upload it to the FIP profile. ● The FIP has uploaded the FisheryProgress Policy Statement Description template and: <ul style="list-style-type: none"> ○ All required fields are filled in. ○ The FIP affirmed that the Policy Statement(s) meets the criteria outlined in the HRSR policy. ○ Information is in English. ○ Information provided aligns with the Policy Statement(s) provided and

	<p>the general information the FIP has provided, such as the participant list and the vessels and/or fishers harvesting FIP product.</p> <ul style="list-style-type: none"> ● Note: FisheryProgress conducts a more detailed review of a subset of Policy Statements and completed Policy Statement Description templates through spot checks. In those spot checks, they confirm that the Policy Statement(s) meet all criteria outlined in the HRSR Policy and has all required signatures, as was affirmed by the FIP. ● Note: FIPs may request an extension for Requirement 1.1. If the FIP has uploaded an extension request, the reviewer follows the process for reviewing requested extensions to the HRSR Policy outlined in Section 4.2.5 above in lieu of confirming the criteria listed in the bullets above.
Date Signed	<ul style="list-style-type: none"> ● Matches the date indicated in the uploaded document (the date the Policy Statement was signed).
Details (optional)	<p>The FIP has optionally provided additional detail related to the Policy Statement, which may include but is not limited to:</p> <ul style="list-style-type: none"> ● Clarification that the Policy Statement is integrated into the FIP’s MOU. ● Information about how the FIP addresses parts of the Policy Statement, such as it is part of a retailers’ Policy Statement for suppliers that the FIP follows. ● Additional details on the signatories or owners of the Policy Statement(s).

Requirement 1.2: Vessel Information Field, Documents Tab	
Sub-Field	Criteria Confirmed in the Review Process
Documentation	<ul style="list-style-type: none"> ● The FIP has uploaded one vessel list and/or fisher information list that: <ul style="list-style-type: none"> ○ Uses the FisheryProgress vessel information template ○ Provides all required information in the template’s “Overview” tab. ○ Is in English. ○ Clearly describes all sources from where/whom the information was obtained. If the source is publicly accessible, a link has been provided. ● The FIP has fully completed the template in accordance with the designated category of vessel(s)¹⁴ and/or fishers in the FIP, as outlined below. <ul style="list-style-type: none"> ○ If the FIP indicates it has large vessels or vessels fishing outside their EEZ: <ul style="list-style-type: none"> ▪ The FIP provides a list of vessels in the “Vessel List” tab and completes all required fields for each vessel listed. ▪ That includes providing vessel identification number with unique

¹⁴ Large vessels are those that weigh 10 GT or more or are 12 m or longer. Small vessels are those that weigh less than 10 GT and are shorter than 12 m. FisheryProgress may consider minor exceptions to these definitions based on local legal definitions.

	<p>vessel identifier (UVI)¹⁵ and/or other vessel identification number type indicated along with the number.</p> <ul style="list-style-type: none"> ○ If the FIP indicates it has small vessels, the FIP either: <ul style="list-style-type: none"> ▪ Provides a list of vessels in the “Vessel List” tab and completes all required fields for each vessel listed. OR ▪ Provides a description in the “Fleet Description” tab that includes: <ul style="list-style-type: none"> ● The number of vessels. ● Landing sites for the catch. ● Home communities of the fishers. ● Gear and vessel types. ○ If the FIP indicates it has shore-based or non-vessel fishers, the FIP provides a description in the “Fisher Description” tab that includes: <ul style="list-style-type: none"> ▪ Approximate number of fishers. ▪ Landing sites for the catch. ▪ Home communities of the fishers. ▪ Type of fishing practice. ● The information provided in the document aligns with other information the FIP provides (e.g., the gear type, vessel flags, FIP description, species). ● There is no indication that the information is incomplete, inaccurate, or non-exhaustive (i.e., it covers the full scope of the FIP). ● Note: FIPs may request an extension for Requirement 1.2. If the FIP has uploaded an extension request, the reviewer follows the process for reviewing requested extensions to the HRSR Policy outlined in Section 4.2.5 above in lieu of confirming the criteria listed in the bullets above.
Document Link (optional)	If filled in, the link relates to the vessel or fisher information – for example, a link to a public vessel registry.
Document Creation Date	The date provided matches the date indicated in the Overview tab of the uploaded document.
Document Description (optional)	If filled in, the text provides detail related to the vessel or fisher information, including the category of vessels or fishers in the FIP (large, small, fishing outside the EEZ, shore-based/non-vessel).

Requirement 1.5: Self-Evaluation of Risk Criteria Field, Social Performance Tab	
Sub-Field	Criteria Confirmed in the Review Process

¹⁵ UVIs must be provided for all vessels that have a UVI. FisheryProgress accepts the following UVIs: International Maritime Organisation (IMO) number, Tuna Unique Vessel Identifier (TUVI), and the International Seafood Sustainability Foundation UVI (ISSF-UVI). Additionally, we request that FIPs share information to help us better understand the barriers and reasons that currently prevent or discourage vessels that are eligible for a UVI from getting one.

Documentation	<ul style="list-style-type: none"> ● The FIP has uploaded a PDF copy of its signed and completed self-evaluation. ● The fishery does not have a reported incident of forced labor, child labor, or human trafficking that meets FisheryProgress’ criteria as outlined in the Processes for Addressing Concerns About FIP Information on FisheryProgress. That includes but is not limited to: <ul style="list-style-type: none"> ○ There is not a reported incident submitted to FisheryProgress. ○ None of the vessels on the FIP’s vessel list have been subject to a U.S. Customs & Border Protection Withhold Release Order within the past two years. Consider both vessel flag state and EEZ state. ○ None of the vessels on the FIP’s vessel list¹⁶ are documented in the U.S. Department of Labor List of Goods Produced by Child Labor or Forced Labor. ○ There is no other readily available public evidence of forced labor, child labor, or human trafficking, including in nongovernmental organizations or media reports with documented worker testimony and government reports. ● The self-evaluation aligns with other information provided on the FIP including but not limited to the pre-assessment, description of the FIP, and the vessel and fisher lists. The self-evaluation also aligns with the results of FIPs sharing similar characteristics. ● The self-evaluation was completed within the last six months.
Date Completed	The date provided matches the date indicated in the uploaded document.
Details (optional)	If filled in, the text provides detail related to the self-evaluation not included in the template, which may include: <ul style="list-style-type: none"> ● Sources for the information. ● Additional detail on any of the responses to the criteria (e.g., to provide detail on why the FIP met a specific criterion in the self-evaluation). ● Information about the FIP’s response to a reported incident.

If the FIP meets one or more criteria in Requirement 1.5, the reviewer will:

- Update relevant fields in the FIP at a Glance box to note that requirement 2.1 Risk Assessment is now required.
- Update the summary box on the Social Performance tab to note that the FIP has met one or more risk criteria.
- Confirm directly with the FIP that a risk assessment and workplan (if applicable), or an extension request for Requirements 2.1 and 2.2, will be required during its next annual report.

Note that FIPs are not required to proactively submit evidence in support of the results of their self-evaluation. However, FisheryProgress reserves the right to ask for evidence as needed.

If the FIP has a reported incident:

¹⁶ Presence of the fishery, but not of FIP participants or FIP vessels, in the U.S. Department of Labor [List of Goods Produced by Child Labor or Forced Labor](#) is considered in context with other information about the FIP.

- FisheryProgress will not publish the details of reported incidents on the website, but FIPs may provide an optional explanation of any reported incidents of forced labor, human trafficking, or child labor on their profiles.
- The FIP may provide its explanation of any reported incidents of forced labor, human trafficking, or child labor in the Additional Information section of the [Jotform](#) and in the Details section in the Self-Evaluation of Risk Criteria section on the Social Performance tab where the PDF copy of the [Jotform](#) submission is uploaded.

Additional Information Field, Social Performance Tab (Optional)	
Sub-Field	Criteria Confirmed in the Review Process
Details	The information provided is outside the scope of the HRSR Policy, or it is not feasible to provide that information through reporting on the other requirements.
Documents (optional)	The FIP has uploaded documentation to support the additional information it has described. If documentation relates to HRSR Policy requirements, the documentation provided is relevant to/supports information provided in the associated requirement(s) (see Appendix A for guidance on acceptable evidence and examples).

4.3.2. Initial Review for HRSR Policy Requirements That Are Not Immediately Applicable

Not all requirements in the HRSR Policy are immediately applicable, and their initial review will take place according to the initial deadlines noted in [Section 2.4](#) above.

Initial Review for Requirements 1.3 and 1.4 of the HRSR Policy

The tables below outline what the reviewer will look for during the initial review of social information for Requirements 1.3 (fisher awareness of rights) and 1.4 (grievance mechanism), which must be submitted during the FIP’s **first six-month report** after becoming active on FisheryProgress.¹⁷

Requirement 1.3: Fisher Awareness of Rights Field, Social Performance Tab	
Sub-Field	Criteria Confirmed in the Review Process
Documentation	<ul style="list-style-type: none"> • The FIP has uploaded the FisheryProgress Fisher Awareness of Rights template in which: <ul style="list-style-type: none"> ○ All required fields are filled in. ○ Information is in English. ○ Information provided is aligned with the Policy Statement(s) provided.

¹⁷ For existing FIPs, these requirements become applicable at the first six-month report in 2023 if they have not already been met, as the HRSR Policy comes into effect in full on Jan. 1, 2023.

	<ul style="list-style-type: none"> ○ The list of actions undertaken is adequate to communicate about the Policy Statement(s) and existing grievance mechanisms and reach all fishers in the Unit of the FIP. ● The FIP has uploaded evidence to demonstrate the action(s) it has described in the template (see Appendix A for guidance on acceptable evidence and examples). ● Note: FIPs may request an extension for Requirement 1.3. If the FIP has uploaded an extension request, the reviewer follows the process for reviewing requested extensions to the HRSR Policy outlined in Section 4.2.5 above in lieu of confirming the criteria listed in the bullets above.
Last Updated	The date the information was updated on FisheryProgress.
Details (optional)	If filled in, this provides details related to fisher awareness of rights not included in the template.

Requirement 1.4: Grievance Mechanism Field, Social Performance Tab	
Sub-Field	Criteria Confirmed in the Review Process
Documentation	<ul style="list-style-type: none"> ● The FIP has uploaded a copy of the grievance mechanism(s). ● There is at least one grievance mechanism available to all fishers in the FIP. If the grievance mechanism does not specify applicability, the FIP provides this information in the Details section. ● The grievance mechanism outlines the full complaint and remedy process, meaning it details the communication channels available to fishers to report complaints to a responsible party who can review and escalate complaints for remedy as needed. It is clear who manages and is responsible for the mechanism(s). ● The grievance mechanism details how it is available to all fishers in the FIP, including how fishers are able to report in a timely manner (at least every 24 hours) regardless of whether they are on shore or at sea. If the grievance mechanism documentation does not provide this detail, the FIP provides this detail in the Details section. ● The scope of the grievance mechanism(s) is sufficient to reach all fishers in the Unit of the FIP (including those engaged in transshipment). ● Note: FIPs may request an extension for Requirement 1.4. If the FIP has uploaded an extension request, the reviewer follows the process for reviewing requested extensions to the HRSR Policy outlined in Section 4.2.5 above in lieu of confirming the criteria listed in the bullets above.
Last Updated	This provides the date the information was updated on FisheryProgress.
Details (optional)	If filled in, the text provides detail related to the grievance mechanism.

Initial Review for Requirements 2.1 and 2.2 of the HRSR Policy

The tables below outline what the reviewer will look for during the initial review of social information for Requirements 2.1 (risk assessment) and 2.2 (social workplan). These requirements are applicable to those FIPs who met one or more risk criteria in Requirement 1.5 Self-Evaluation as well as any FIP who chose to comply with Requirements 2.1 and 2.2 voluntarily. **The criteria confirmed during the review process for Requirements 2.1 and 2.2 are the same for FIPs regardless of whether they are completing the requirements voluntarily or on a mandatory basis.**

Requirement 2.1: Risk Assessment Field, Social Performance Tab	
Sub-Field	Criteria Confirmed in the Review Process
Documentation	<p><i>For FIPs that complete an SRA:</i></p> <ul style="list-style-type: none"> ● The FIP has uploaded a document of its completed risk assessment that: <ul style="list-style-type: none"> ○ Uses the FisheryProgress risk assessment template or the SRA tool assessment template. ○ Is in English. ○ Was completed within the 12 months prior to the date of submission. ○ Has all required sections fully and correctly completed, including but not limited to the following: <ul style="list-style-type: none"> ▪ SRA indicators that are scored provide adequate justification for each score. ▪ All Core FisheryProgress SRA Indicators have been assessed for any FIP that was required to meet Requirement 2.1 (i.e., FIPs that meet one or more risk criteria in the Self-Evaluation of Risk). ○ Sources are clearly described. If the source is publicly accessible, a link has been provided. ● The scope of the risk assessment covers the full scope of the FIP. When a sampling approach is taken, the methodology is described, and the representativeness of the sample is justified. Additional guidance is available in the SRA Assurance Guidance. ● The data collection methodology aligns with the guidance provided in SRA: A Guide to Data Collection AND/OR the FIP uses a social audit from an approved standard and a qualified party conducts the audit (see Guidance For FIPs with Audits Through Other Standards). ● The data collection methodology of the risk assessment includes consultation with fishers, trade unions, worker organizations, labor rights nongovernmental organizations, and/or civil society organizations, when possible and applicable. ● A qualified individual or team conducted the assessment: <ul style="list-style-type: none"> ○ <u>For all Core FisheryProgress SRA Indicators</u>, each indicator was assessed by a qualified HRSR consultant(s), defined as an individual or team who meets the qualifications for conducting risk assessments and creating social workplans.

	<ul style="list-style-type: none"> ○ <u>For all other SRA indicators</u>, the SRA was completed by either a qualified HRSR consultant or consultant(s) who meet the general guidance on qualifications for assessment and evaluation teams from the SRA. <p>For FIPs that provide evidence of an alternative assessment:</p> <ul style="list-style-type: none"> ● The FIP has uploaded a document that is either: <ul style="list-style-type: none"> ○ The alternative assessment that includes information on areas of risk. OR ○ A summary of findings that details the areas of risk. ● The FIP has uploaded a PDF copy of its Alternative Social Assessment and Workplan Form that is in English, has a recent date, and has all required fields related to the assessment complete. ● The assessment source is a social risk assessment, pre-assessment or audit as part of a social standard or certification program, a recent research study, or similar. ● The assessment is relevant to the FIP. <p>For FIPs that submit an extension request:</p> <ul style="list-style-type: none"> ● FIPs may request an extension for Requirement 2.1 whether providing an SRA or alternative social assessment. If the FIP has uploaded an extension request, the reviewer follows the process for reviewing requested extensions to the HRSR Policy outlined in Section 4.2.5 above in lieu of confirming the criteria listed in the bullets above.
Date Completed	Confirm the date provided matches the date indicated in the uploaded document.
Details (optional)	<p>If filled in, this provides details related to the risk assessment not included in the documentation, which may include:</p> <ul style="list-style-type: none"> ● A brief summary of the findings of the assessment, including the number of high-risk-scoring indicators if an SRA was provided. ● Information about the audit data from a social standard or certification program (e.g., Seafood Task Force, Fair Trade Certified) used to populate the SRA. ● Additional information not included in the Form about the alternative assessment such as further description of its source or findings (e.g., areas of high risk).

Requirement 2.2: Social Workplan Field, Social Performance Tab	
Sub-Field	Criteria Confirmed in the Review Process

<p>Documentation</p>	<p><i>For FIPs that complete an SRA:¹⁸</i></p> <ul style="list-style-type: none"> ● The FIP has uploaded a social workplan that: <ul style="list-style-type: none"> ○ Is based on the findings of the SRA. ○ Uses the FisheryProgress social workplan template. ○ Has all required sections in the template completed. ○ Is in English. ● The FIP's initial social workplan was developed within the 12 months prior to the date of submission. ● The described actions and tasks (optional) provide enough detail and clarity for users to understand the fundamentals of what will be completed. ● Time frames are plausible and adequate based on the actions. ● There are no major concerns or risks to achieving the workplan given the information provided. ● If the FIP's risk assessment shows high-risk scoring SRA indicators, then the workplan: <ul style="list-style-type: none"> ○ Includes at least one action for every high-risk-scoring indicator. ○ The action(s) described should effectively move the high-risk-scoring indicator(s) to produce the intended result of reaching at least the medium-risk level within the time frames noted. ● If the workplan includes activities addressing Core FisheryProgress SRA Indicators, confirm that a qualified party completed those sections of the workplan (as outlined in the qualifications for conducting risk assessments and creating social workplans). <p><i>For FIPs that provide evidence of an alternative assessment:</i></p> <ul style="list-style-type: none"> ● The FIP has uploaded a workplan or corrective action plan. ● The FIP has uploaded a PDF copy of its Alternative Social Assessment and Workplan Form that is in English, has a recent date, and has all required fields related to the Workplan complete. ● The explanation of relevance in the Form provides sufficient detail and clarity for users about the workplan's relevance to the issues identified in the alternative assessment. <p><i>For FIPs that submit an extension request:</i></p> <ul style="list-style-type: none"> ● FIPs may request an extension for Requirement 2.2 whether providing an SRA-based workplan or an alternative assessment workplan. If the FIP has uploaded an extension request, the reviewer follows the process for reviewing requested extensions to the HRSR Policy outlined in Section 4.2.5 above in lieu of confirming the criteria listed in the bullets above.
<p>Date Completed</p>	<p>Confirm the date provided matches the date indicated on the uploaded document.</p>

¹⁸ Note that as outlined in Requirement 2.2 in the HRSR Policy, only FIPs that complete an SRA are required to submit an associated social workplan if they have high-risk scoring indicators.

Details (optional)	If filled in, this provides detail related to the social workplan and/or progress reporting not included in the documentation – for example, a summary of key actions.
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4.3.3. Six-Month Progress Report Review Criteria

The following table outlines the **criteria required during each six-month progress report** for all FIPs published on FisheryProgress’ website. Those criteria are reviewed and confirmed by reviewers to ensure the profile is kept up to date. FIPs must meet the criteria below for a report to be marked as completed. The first table outlines general and environmental criteria, and the second includes the social criteria.

Six-Month Review of General and Environmental Criteria

Action Progress Tab	
Field	Criteria Confirmed in the Review Process
Action Updates	<ul style="list-style-type: none"> The FIP updates the Actions tab, providing a detailed update on all actions that are currently being implemented. If no progress is made on an action, the FIP states that in the update (best practice is to provide a reason for no progress, such as lack of funding for an activity or legislative session break). Note: Actions with a start date later than the due date of the progress report, do not require an update (i.e., the report due date falls before the action’s start date).
Action Evidence¹⁹	<ul style="list-style-type: none"> Adequate evidence is provided for progress claimed on actions and tasks. Note: It is encouraged that evidence is submitted in English. If it is not, the evidence may be subject to a secondary review and may take longer to publish on the site. Additionally, it is best practice for evidence to be submitted in a Word or PDF form.
Completed Actions	<ul style="list-style-type: none"> The FIP submitted evidence for completed actions and tasks. Note: An action may be considered complete when evidence is provided showing the action goal was achieved, regardless of whether it resulted in an indicator score change, or if the indicator it was addressing changed to green. Additionally, an action will be marked as “removed” if the indicator(s) it was addressing have achieved an 80+/green score and the FIP no longer needs to implement the action. Comprehensive FIPs have at least one action addressing all red and yellow indicators.

¹⁹ See guidance on evidence in [Section 4.4: Evidence of Progress](#).

Six-Month Review of Social Criteria

Requirement 2.2: Social Workplan & Progress Reporting Field, Social Performance Tab

Only FIPs that have an SRA with high-risk-scoring indicators are required to provide an update on their progress at the six-month report. All other FIPs with a social workplan may voluntarily report on progress at their six-month report. However, the criteria below apply to any FIP reporting on progress at their six-month report, regardless of whether that is voluntary.

Sub-Field	Criteria Confirmed in the Review Process
Documentation	<p>For FIPs that completed an SRA (optional if no high-risk-scoring indicators):</p> <ul style="list-style-type: none"> ● The FIP has uploaded an updated social workplan document that: <ul style="list-style-type: none"> ○ Is still in accordance with the criteria listed in the initial review process for Requirement 2.2. ○ Incorporates a comprehensive update on progress for all actions and tasks (as applicable). ○ Includes a recent date for the progress updates. ● The FIP submitted evidence for progress on, and completion of, actions and tasks (as applicable) (see Appendix A for guidance on acceptable evidence and examples). <p>For FIPs that provided evidence of an alternative assessment (optional):</p> <ul style="list-style-type: none"> ● The FIP has uploaded: <ul style="list-style-type: none"> ○ A document in English that summarizes progress on the actions in the social workplan or corrective action plan. ○ Evidence for progress reported (optional). <p>For FIPs that submitted an extension request:</p> <ul style="list-style-type: none"> ● See Section 4.3.5.
Date Completed	Confirm the date provided matches the date indicated on the uploaded document.
Details (optional)	<p>If filled in, this provides details related to the social workplan and/or progress reporting not included in the documentation, which may include:</p> <ul style="list-style-type: none"> ● A summary of key progress. ● Any major changes made to the workplan.

4.3.4. Annual Progress Report Review Criteria

This section outlines the criteria required during each annual progress report for all FIPs published on FisheryProgress' website. These criteria are reviewed and confirmed by reviewers to ensure the profile is kept up to date. FIPs must meet the criteria below for a report to be marked as completed.

Annual Review of General and Environmental Criteria

Overview Tab, Details Tab, Improvement Progress Tab, and Actions Progress Tab	
Field	Criteria Confirmed in the Review Process
Main Profile	<ul style="list-style-type: none"> • The FIP’s projected end date has not passed. If the end date has passed, the FIP must revise its end date to reflect a more accurate timeline and provide a reason for the extension. • Note: The FIP must also review the objectives, actions, tasks, and workplan and make timeline updates as necessary (these items may be in different fields from the Main Profile).
Environmental Workplan	<ul style="list-style-type: none"> • If the FIP’s end date has passed: <ul style="list-style-type: none"> ○ The environmental workplan is updated to reflect the new extended timelines for actions. ○ The environmental workplan must be in English. The environmental workplan may additionally be uploaded in other languages. • Note: If the environmental workplan requires significant changes, the reviewer may choose to approve a report and mark it as complete with the condition that the FIP will provide the updated environmental workplan during its next report.
Budget	<ul style="list-style-type: none"> • The budget is in English. • The budget covers, at a minimum, the year the report takes place.
Performance Indicators (PI) Updates	<ul style="list-style-type: none"> • New scores for all MSC PIs for the current year are added. <ul style="list-style-type: none"> ○ Note: Basic FIPs must use the N/A score for any indicators they are not tracking. • PIs with an increase in score must include a rationale and evidence to support the score change. Please see Section 4.4: Evidence of Progress for details on acceptable evidence. <ul style="list-style-type: none"> ○ Note: It is best practice to provide rationale and evidence for decreases in scores. <p>Communicating scores changes resulting from a new/different assessor:</p> <ul style="list-style-type: none"> • If there is a different assessment author from the previous year, that must be stated in the rationale on the FIP profile for the relevant PIs.
Action Updates	<ul style="list-style-type: none"> • The FIP updates the Action tab, providing a detailed update on all actions and tasks that are currently being implemented. If no progress is made on an action, the FIP states that in the update (best practice is to provide a reason for no progress, such as lack of funding for an activity or legislative session break). • Note: Actions with a starting date later than the date of the reporting time do not require an update (i.e., the report date falls before the action’s start date).

Action Evidence²⁰	<ul style="list-style-type: none"> ● The FIP must submit evidence for progress claimed on actions and tasks. The reviewer may also request evidence for progress reported on tasks and actions that are not yet complete. ● Note: It is encouraged that evidence be submitted in English. If it is not, the evidence may be subject to a secondary review and may take longer to publish on the site. Additionally, it is best practice for evidence to be submitted in a Word or PDF form.
Completed Actions	<ul style="list-style-type: none"> ● The FIP must submit evidence for completed actions and tasks. ● An action may be considered complete when evidence is provided that the action was achieved, regardless of whether it resulted in an indicator score change or whether the indicator it was addressing changed to green. <ul style="list-style-type: none"> ○ Note: An action will be marked as “removed” if the indicator(s) it was addressing have achieved an 80+/green score and the FIP no longer needs to implement the action. ● Comprehensive FIPs must have at least one action addressing all red and yellow indicators. If the FIP marks an action as complete and the indicator it was addressing is still red or yellow with no other actions addressing that indicator, the FIP must either: <ul style="list-style-type: none"> ○ Leave the action open and, if needed, extend its deadline and report on progress against it. OR ○ Mark the action as complete and create a new action in the FIP workplan that addresses the indicator.

Annual Review of Social Criteria

The tables below detail the criteria confirmed in the annual review process after the HRSR Policy requirements have been implemented to ensure the profile is kept up to date. The criteria below must be met for a report to be marked as complete.

Requirement 1.1 Policy Statement

FIPs that have undergone a scope change may be required to update their Policy Statement(s) (see [Section 4.2.7: Reviewing Scope Changes and Impact on the Review Process](#)). For example, changes to the FIP lead and/or FIP supply chain participants will trigger an update. FIPs may also voluntarily adapt their approach to the Policy Statement(s) over time (e.g., starting with multiple statements and then converging around a single shared Policy Statement).

FIPs must confirm during their annual report that the information provided remains current and meets the above requirement details or submit updated documentation. During the annual report, reviewers will confirm whether the FIP is required to update its Policy Statement due to a change in scope. For any relevant changes to the FIP, including but not limited to changes to the FIP lead and/or FIP supply chain participants, the FIP must submit an updated Policy Statement(s) and an updated FisheryProgress Policy Statement Description template.

²⁰ See guidance on evidence in [Section 4.4: Evidence of Progress](#).

Requirement 1.1: Policy Statement Field, Social Performance Tab	
Sub-Field	Criteria Confirmed in the Review Process
Documentation	<p><i>If the FIP is required to update its Policy Statement(s):</i></p> <ul style="list-style-type: none"> One or more Policy Statements has been uploaded. If the Policy Statement is posted on a website, the FIP may provide the hyperlink to the website or download the file and upload it to the FIP profile. An updated Policy Statement Description template has been uploaded. The updated documentation is in accordance with the criteria listed in the initial review process for Requirement 1.1 and includes a recent date. Note: FisheryProgress conducts a more detailed review of a subset of Policy Statements and completed Policy Statement Description templates. In those spot checks, FisheryProgress confirms that the Policy Statement(s) meet all criteria outlined in the HRSR Policy, as was affirmed by the FIP. <p><i>If the FIP submitted an extension request:</i></p> <ul style="list-style-type: none"> See Section 4.3.5.
Date Signed	<ul style="list-style-type: none"> Matches the date indicated in the updated uploaded document.
Details	<p><i>If the FIP has not updated its documentation</i> (i.e., if the Policy Statement(s) has not been updated), the FIP has confirmed in writing that the information provided remains current and meets the above requirement details. That confirmation has a current date associated with it.</p> <p>The FIP has optionally provided additional detail related to the Policy Statement not included in the template, which may include:</p> <ul style="list-style-type: none"> Clarification that the Policy Statement is integrated into the FIP's MOU. Information about how the FIP addresses parts of the Policy Statement, such as it is part of a retailers' Policy Statement for suppliers that the FIP follows. Additional details on the signatories or owners of the Policy Statement(s).

Requirement 1.2 Vessel or Fisher Information

Requirement 1.2: Vessel Information Field, Documents Tab	
Sub-Field	Criteria Confirmed in the Review Process
Documentation	<p><i>If there have been any changes to the vessel or fisher information</i> since the last report:</p> <ul style="list-style-type: none"> The FIP has uploaded one updated/current document with its vessel and/or fisher information that is in accordance with the criteria listed in the initial review process for Requirement 1.2.

	<ul style="list-style-type: none"> • The document includes a recent date of when it was updated. • Note: <ul style="list-style-type: none"> ○ If there are major changes in the FIP’s vessel information, the reviewer may follow up to confirm the cause for the changes. ○ If the FIP has a risk assessment and the FIP’s vessel information indicates that there are vessels with new vessel flags or vessels that are fishing in new countries or EEZs, the reviewer will notify the FIP that it will be required to submit a new risk assessment during the next annual report. <p><i>If the FIP submitted an extension request:</i></p> <ul style="list-style-type: none"> • See Section 4.3.5.
Document Link (optional)	If filled in, this provides a link related to the vessel or fisher information – for example, a link to a public vessel registry.
Document Creation Date	The date provided matches the date indicated in the Overview tab of the uploaded document.
Document Description (optional)	<p><i>If the FIP has not updated its documentation</i> (i.e., if the vessel and fisher information has not been updated), the FIP has confirmed in writing that the information provided remains current and meets the above requirement details. That confirmation has a current date associated with it.</p> <p>If filled in, the text provides detail related to the vessel information but not included in the template, which may include:</p> <ul style="list-style-type: none"> • An explanation of changes. • Confirmation that no changes were made since the last vessel information was submitted.

Requirement 1.3 Fisher Awareness of Rights

Requirement 1.3: Fisher Awareness of Rights Field, Social Performance Tab	
Sub-Field	Criteria Confirmed in the Review Process
Documentation	<ul style="list-style-type: none"> • The FIP has uploaded an updated FisheryProgress Fisher Awareness of Rights template that: <ul style="list-style-type: none"> ○ Is in accordance with the criteria listed in the initial review process for Requirement 1.3. ○ Includes current information about the FIP’s continuing efforts to make fishers aware of their rights. ○ Has a recent date. • The FIP has uploaded evidence to demonstrate the action(s) it has described in the template (see Appendix A for guidance on acceptable evidence and examples).

	<p><i>If the FIP submitted an extension request:</i></p> <ul style="list-style-type: none"> • See Section 4.3.5.
Last Updated	The date provided is the date the information was updated on FisheryProgress.
Details (optional)	If filled in, this provides details related to effectiveness of its efforts to make fishers aware of their rights.

Requirement 1.4 Grievance Mechanism

Requirement 1.4: Grievance Mechanism Field, Social Performance Tab <i>All FIPs provide an annual update on the grievance mechanism(s) in the form of a brief appraisal, either as an uploaded document or as site text.</i>	
Sub-Field	Criteria Confirmed in the Review Process
Documentation	<p><i>If the FIP uploaded the update as a document,</i> the update includes a brief appraisal of the effectiveness of the grievance mechanism(s), which considers at a minimum:</p> <ul style="list-style-type: none"> • The extent to which the mechanism(s) has been used. • The accessibility of the mechanism(s). • Time required to process grievances. • General challenges and/or successes. <p><i>If the FIP provided a new grievance mechanism:</i></p> <ul style="list-style-type: none"> • The grievance mechanism meets the criteria listed in the initial review process for Requirement 1.4. <p><i>If the FIP uploaded new evidence (optional):</i></p> <ul style="list-style-type: none"> • The evidence demonstrates the action(s) the FIP has described (see Appendix A for guidance on acceptable evidence and examples). <p><i>If the FIP submitted an extension request:</i></p> <ul style="list-style-type: none"> • See Section 4.3.5.
Last Updated	Confirm the date provided is the date the information was updated on FisheryProgress.
Details	<p><i>If the FIP provided the update as site text:</i></p> <ul style="list-style-type: none"> • The description addresses the points noted above in the documentation section of this table. <p><i>If the FIP uploaded the update as a document:</i></p> <ul style="list-style-type: none"> • The FIP may note the update is provided as an upload or provide other details related to the effectiveness of the grievance mechanism.

Requirement 1.5 Self-Evaluation of Risk Criteria

Requirement 1.5: Self-Evaluation of Risk Criteria Field, Social Performance Tab	
Field	Criteria Confirmed in the Review Process
Documentation	<ul style="list-style-type: none"> • A PDF of the most recent self-evaluation has been uploaded. • Whether there has been a change in the FIP’s status regarding meeting the criteria from the last self-evaluation.
Date Completed	Confirm the date provided matches the date indicated in the uploaded document.
Details (optional)	If filled in, confirm the text provides detail related to the self-evaluation.

Following the review of Requirement 1.5, **the reviewer will take the following additional steps:**

- **If no changes in status (e.g., did not meet risk criteria and still does not or did meet risk criteria and still does),** no additional steps are needed.
- **If there were changes in status so that the FIP now meets the risk criteria, but it previously did not,** the FIP will report according to the guidance in section [Scope Changes With Regard to the HRSR Policy Requirements](#). The reviewer will:
 - Update relevant fields in the FIP at a Glance box to note the risk assessment is now required.
 - Update the summary box on the Social Performance tab to reflect the change in status.
 - Confirm directly with the FIP that a risk assessment and workplan (if applicable) will be required during the FIP’s next annual report.
- **If there were changes in status so that the FIP now does not meet the risk criteria but it previously did,** the FIP will report according to the guidance in section [Scope Changes With Regard to the HRSR Policy Requirements](#). The reviewer will:
 - Update relevant fields in the FIP at a Glance box to note the risk assessment is now voluntary.
 - Update the summary box on the Social Performance tab to reflect the change in status.

Requirement 2.1 Risk Assessment

During the annual report, the reviewer will confirm whether the FIP is required to complete an updated risk assessment as part of the current annual report by confirming whether the FIP meets any of the situations below:

Situation	Required documentation
The FIP does not currently have a risk assessment, but the self-evaluation of risk criteria completed in the past 12 months indicated it meets one of the criteria.	An SRA addressing all Core FisheryProgress SRA Indicators, an alternative social assessment, or an extension request
The FIP submitted an SRA during the most recent annual	An updated risk assessment of the SRA

report ²¹ that had SRA indicators that scored as high risk.	indicators that scored as high risk
The FIP has a past SRA with all indicators scoring low or medium risk but has not provided an updated assessment of all indicators it has assessed in the past three years.	An updated SRA of all indicators the FIP has assessed in the past is required.

A risk assessment is not required for any FIP that does not meet any of these situations. However, a FIP may voluntarily submit a new or updated risk assessment. For example, a FIP that previously submitted evidence of an alternative assessment may submit a more recent alternative assessment, additional information about their prior alternative assessment, or an SRA.

Requirement 2.1: Risk Assessment Field, Social Performance tab	
Sub-Field	Criteria Confirmed in the Review Process
Documentation	<p><i>If the FIP uploaded a new or updated risk assessment:</i></p> <ul style="list-style-type: none"> • The reviewer will follow the initial review process outlined in Section 4.3.2 of these guidelines for either FIPs that completed an SRA assessment or provided evidence of an alternative assessment. • If the FIP completed an SRA with high-risk-scoring-indicators: For every three years a FIP has been tracking SRA indicators, it demonstrates that <u>at least one</u> high-risk scoring indicator has improved to a medium risk level. <p><i>If the FIP submitted an extension request:</i></p> <ul style="list-style-type: none"> • See Section 4.3.5.
Date Completed	Confirm the date provided matches the date indicated in the uploaded document.
Details (Optional)	<p>If filled in, this provides details related to the risk assessment not included in the documentation, which may include:</p> <ul style="list-style-type: none"> • A brief summary of the findings of the assessment, including the number of high-risk scoring indicators if an SRA was provided. • A summary of changes from the FIP’s past SRAs. • Additional information about the alternative assessment that was not provided previously.

Requirement 2.2 Social Workplan

During the annual report, the reviewer will confirm whether the FIP is required to have a social workplan. Once a FIP’s social workplan has been approved and published, the FIP may then be required to report on progress against the actions outlined in their social workplan. FIPs required to report on progress include all FIPs with an SRA showing high-scoring indicators as well as those that submitted evidence of an alternative assessment. All other FIPs with a social workplan may voluntarily report on

²¹ Note that in rare instances, a FIP’s most recent SRA may be between one and two years old. In that case, that most recent SRA is considered.

progress. The criteria confirmed during the review process as outlined below are the same regardless of whether the FIP is reporting voluntarily or on a mandatory basis.

Requirement 2.2: Social Workplan, Social Performance Tab	
Sub-Field	Criteria Confirmed in the Review Process
Documentation	<p><i>For FIPs that complete an SRA:</i></p> <ul style="list-style-type: none"> ● The FIP has uploaded an updated social workplan document that: <ul style="list-style-type: none"> ○ Is still in accordance with the criteria outlined in the initial review process for Requirement 2.2. ○ Reflects the FIP’s most recent SRA indicator scores (if applicable, see below for details). ○ Incorporates a comprehensive update on progress for all actions and tasks (as applicable). ○ Includes a recent date. ● The FIP submitted evidence for progress on, and completion of, actions and tasks (as applicable) (see Appendix A for guidance on acceptable evidence and examples). <p><i>For FIPs that provide evidence of an alternative assessment:</i></p> <ul style="list-style-type: none"> ● The FIP has uploaded: <ul style="list-style-type: none"> ○ A document that summarizes progress on the actions in the social workplan or corrective action plan. ○ Evidence for progress reported (optional). Optional evidence will be published when provided but not reviewed. <p><i>If the FIP submitted an extension request:</i></p> <ul style="list-style-type: none"> ● See Section 4.3.5.
Date Completed	Confirm the date provided matches the date indicated on the cover page of the uploaded document.
Details (optional)	<p>If filled in, this provides details related to the social workplan and/or progress reporting, which may include:</p> <ul style="list-style-type: none"> ● A summary of key progress. ● Any major changes made to the workplan.

Additional criteria for reviewing workplans when FIPs submit an updated SRA

If the FIP provides an updated SRA, it will also update any scores that have changed in its social workplan. The reviewer will confirm the following:

- Whether any scores have changed between the most recent SRA and the prior SRA.
- The FIP updated any changed scores in its most recent social workplan.
- **If a high risk indicator becomes medium or low risk**, the FIP may stop reporting on any actions and tasks (if applicable) related to the indicator going forward. No additional evidence is required for score changes, but the justification for the score change must be properly documented in the most recent risk assessment.

- **If the FIP has a new high risk indicator (either due to expanding the scope of the risk assessment or due to a low or medium risk indicator becoming high risk), the reviewer will:**
 - Confirm that the FIP has updated its workplan to include at least one action for every new high-risk-scoring indicator.
 - Confirm that the new action(s) meet the criteria outlined in the social workplan initial review in [Section 4.3.2](#).

4.3.5. Review of and Reporting on Extensions to the HRSR Policy Requirements

At each report (six-month and annual), the reviewer will confirm whether the FIP has extensions for any requirements in the HRSR Policy that are currently active or that have ended.

If the extension period has concluded, then:

- The FIP must meet the requirement as outlined in the HRSR Policy.
- The reviewer will follow the review process for initial review of the requirement as outlined in [Section 4.3.1](#) or [Section 4.3.2](#) above (as appropriate to the requirement).

If extension period is still ongoing, the reviewer will confirm the FIP has provided a progress update as follows:

- The FIP has provided an updated [Extension Request Form](#) for the relevant requirement that includes information on the progress made on the activities toward meeting the requirement in the Progress Reporting section within Section 5 of the HRSR Extension Request Form.
 - Note: The reviewer may request evidence for progress reported.
- The FIP has optionally provided additional details such as a summary of key progress or the anticipated date of when the FIP expects to fully meet the requirement, if before the extension deadline.

4.4. Evidence of Progress

Evidence submitted to support progress claimed on environmental and social actions (either for action updates or action completion) as well as for increases in MSC PI scores **must** meet the following criteria to be acceptable:

- Be documented in writing.
- Have a date.
- Have a source (e.g., person, organization).
- Be publicly available (with anonymization where appropriate). If not publicly available, there must be a way to make it public on FisheryProgress with appropriate anonymizing. Any evidence submitted must not include personally identifiable information or any other confidential information. If the only available evidence for an action or task includes this confidential information, the FIP may contact the reviewer to discuss options for verifying it. For more information, please see the [Permission and Confidentiality of Reporting](#) documents and information on the website.
 - **Note:** In rare and unique circumstances where evidence cannot be anonymized and contains commercially sensitive or otherwise restricted information by statute or law, evidence can be kept confidential and submitted directly to FishChoice. In such cases, FishChoice will sign a nondisclosure agreement upon request. **However, for progress to**

be considered a Stage 4 or Stage 5 result by Sustainable Fisheries Partnership (SFP), the supporting evidence must be made publicly available.

Evidence and Timing for MSC Score Changes: FisheryProgress will review data/evidence that support MSC score changes on a case-by-case basis to make a determination on how and where it influences a score change. However, as new evidence becomes available, the original date of publication (as opposed to the date when the FIP uploaded the documentation) must be used to determine which year (Year 0, Year 1, etc.) the MSC scores are changed or adjusted. For example, a FIP currently in its third year submits evidence to increase the score of a PI for Year 3 (Y3) on the Indicators tab. However, the publication date of the evidence is from the first year (Y1) of the FIP. In this case, the score change should be applied to Y1 instead.

SRA Indicator Score Changes: Any changes to SRA indicator scores must be based on an updated SRA that is conducted according to the requirements of the HRSR Policy and associated guidelines and assessor qualification requirements.

Examples of evidence: Please see [Appendix A](#) for guidance and examples on acceptable evidence to support action progress, MSC PI score increases.

5. Completed FIPs

5.1. Eligibility

Completed FIPs are those that have independent verification showing they have achieved their environmental objectives and/or achieved MSC certification. A FIP can be considered complete if it achieves its objectives even if it chooses not to enter certification (or for basic FIPs, if performance doesn't reach the level required for certification). For basic FIPs, independent verification (i.e., completed by someone not affiliated with the FIP) could include a revised assessment report, government report, or peer-reviewed paper.

For FIPs pursuing certification, the certification report serves as independent verification. However, FIPs are still considered active on FisheryProgress while in MSC full assessment. FIPs will need to continue to meet the social reporting requirements during the FIP's six-month and annual progress reports while in MSC full assessment. Once an Announcement Comment Draft Report (ACDR) is uploaded and published to FisheryProgress, environmental progress report requirements (i.e., reporting on action progress and updating indicator scores) are waived. Reviewers will confirm that the FIP is in MSC full assessment during the FIP's six-month and annual reporting cycles. If the review team discovers that the FIP has withdrawn from MSC full assessment, FisheryProgress will reach out to the FIP and ask whether it wishes to start tracking progress again on FisheryProgress or be moved to inactive. If the FIP wishes to remain active, it will have six months (i.e., until its next progress report is due) to update its FIP profile (end date, objectives, workplan, etc.). Failure to update the FIP profile such that it meets the minimum requirements for publication will result in moving the FIP to inactive.

Completed FIPs no longer report on their environmental performance but may choose to voluntarily report against the requirements of the HRSR Policy. In particular, completed FIPs with an active social workplan are strongly encouraged to continue reporting. Completed FIPs will be left on the site indefinitely.

5.2. Completing an Active FIP

Examples of claims and appropriate verification include:

Claim	Independent Verification
Certified	Certification report
Meets a level of performance equivalent to an unconditional pass of the MSC Standard (i.e., a comprehensive FIP that does not pursue certification)	Independent evaluation that affirms all indicators are green (and meets FisheryProgress' evaluation guidelines) posted publicly on FisheryProgress.
Rated	Assessment report
Met specific objective such as bycatch reduction	Independent evidence – government report, peer-reviewed paper, etc. – that meets the site's criteria for evidence (see Appendix A)

The reviewer will check to ensure a FIP has adequate evidence to support its completion claim.

6. Inactive FIPs

6.1. Reasons for a FIP To Be Marked As Inactive

FisheryProgress may move a FIP to the inactive section of the site for a diverse number of reasons. The reasons are outlined throughout this document; however, the main reasons are:

1. The FIP self-reports that work has been suspended without completing its objectives.
2. The FIP no longer wishes to report on FisheryProgress.
3. The FIP misses two consecutive reporting deadlines. (A FIP must fully update its progress to move back to active.) A report will be considered missed if not submitted by the end of the month it is due or if the FIP does not address feedback on the report by the end of the month following the due date (as outlined in [Section 4.2.4](#)).
4. The reviewer finds the three-year evaluation to be incomplete and/or it is not submitted by the end of the month it is due (as outlined in [Section 4.2.3](#)).
5. A FIP had entered MSC full assessment but withdrew from the certification process and does not wish to continue reporting on FisheryProgress (as outlined in [Section 5.1](#)).
6. The FIP reports no changes in fishing practice or management or change on the water in three years. A FIP must provide evidence of at least one change in fishing practice or management or change on the water to move back to active.
7. The FIP makes changes such that it now reports under another FIP profile (e.g., the FIP merges with another FIP). In those cases, the inactive profile will note the FIP's active profile.
8. The FIP fails to meet the HRSR Policy:
 - a. **The FIP did not meet the initial deadline for completing requirements 1.1-1.5 and, if applicable, 2.1-2.2 of the HRSR Policy.** FIPs will be considered out of compliance with

the FisheryProgress HRSR Policy if they do not meet the requirements by the end of the calendar month of the original deadline or, if requested and approved, by the end of 12-month extension period. If they fail to do so, they will be moved to inactive status.

- b. **The FIP did not report regularly as outlined in each requirement the HRSR Policy.** FIPs meet future and progress reporting requirements through their existing six-month and annual report schedule, as outlined in these guidelines
- c. **The FIP did not make sufficient progress on high-risk social indicators.** Active FIPs reporting on their SRA must demonstrate progress when the SRA shows one or more Core FisheryProgress SRA Indicators are at the high-risk level. Those FIPs that are unable to demonstrate that at least one of these high-risk indicators has improved to a medium-risk level (or better) within three years will be moved to inactive.

Inactive FIPs are not eligible to actively report on FisheryProgress in any form. Inactive FIPs remain on the site indefinitely but as a limited profile that includes a subset of the FIP's information.

6.2. How To Reactivate an Inactive FIP

Reactivating an inactive FIP. A FIP that is inactive may move back to active (reactivate) at any time by uploading the required documentation and providing the necessary progress updates. Based on the date the FIP is moved back to active, its reporting cycle may be adjusted. The FIP will maintain the original profile's start date.

- *Inactive for three months or less:* For FIPs that have been inactive for less than three months and have submitted the relevant materials and updates to move back to active, the reviewer will carry out a review based on the most recent progress report type (i.e., six month or annual). See the details on the requirements for progress reports in [Section 4.3.3: Six-Month Progress Report Review Criteria](#) and [Section 4.3.4: Annual Report Progress Review Criteria](#).
- *Inactive for more than three months:* For FIPs that have been inactive for more than three months, the reviewer will carry out an initial review. See the details on the requirements for an initial review in [Section 4.3.1: Initial Review](#).

If the FIP went inactive due to failure to comply with the HRSR Policy, one of the following applies:

- **If the FIP did not meet a deadline for completing Requirements 2.1 and/or 2.2,** the FIP must undergo a full annual review, including meeting the review criteria immediately as outlined in the guidelines above.
- **If the FIP did not report regularly as outlined in each requirement,** the FIP must undergo a full annual review, including the review criteria outlined in the guidelines above.
- **If the FIP did not make sufficient progress on high-risk indicators,** the FIP must submit an updated SRA of all Core FisheryProgress SRA Indicators (or if reporting voluntarily, any high-risk scoring indicators the FIP was tracking) and an updated social workplan that explicitly describes how it plans to overcome the challenges it faced before going inactive.

Impact on the three-year audit cycle. Comprehensive FIPs that are reactivating a profile will maintain the profile's original three-year evaluation report due date unless it is due within 12 months of reactivating, in which case the three-year cycle report date will be adjusted to 12 months from the reactivation date.

In instances where a FIP's reporting cycle is adjusted based on the date it reactivates, the three-year evaluation report will be aligned with the closest annual report preceding the original audit report deadline.

If the FIP moved to inactive due to failure to complete a three-year audit, it must submit the audit to be reactivated.

7. Appendix A: Guidance on Evidence and Examples

We encourage FIPs to submit evidence in English (see [Section 2.2: Language Requirements](#) for documentation that must be in English). If it is not, the evidence is subject to secondary review and may take longer to publish on the site. Guidance on evidence is below.

Examples of evidence. This will vary depending on the action/task or proposed activities. The following are examples of different kinds of evidence:

- Signed agreements with consultants, government agency staff, or other individuals demonstrating progress on specific activities such as research.
- Meeting or training agendas, notes, and/or participant lists.
- Letters sent to government agencies, suppliers, or other entities.
- Credible media articles, blog posts, and/or statements posted on a website.
- White papers, summary reports, rapid assessments, formal stock assessments, data analyses, or social impact assessment reports or studies.
- Data collection protocols, log books and catch documentation, or raw data.
- Official government laws, regulations, or policies.
- Evidence of trainings (documented with agendas and participant signatures)
- Internal or external policies or templates (e.g., handbooks, onboarding materials, worker contracts).
- Evidence of worker interviews (e.g., a summary report of findings).
- Links to videos or photos (e.g., demonstrating improvements, new gear, new health and safety equipment, meetings, announcements on bulletin boards or landing sites).
- Signed agreements (e.g., with community members, with service providers).

MSC PI score increase: Score changes may be driven by action progress or by demonstrated improvements in policy, management, or fishing practices or improvements on the water. Evidence will vary depending on the improvement reported. The following are examples of different kinds of evidence for improvements a FIP may report:

- **Policy change:** management plan, ministerial decree, or media coverage documenting policy change.
- **Change in fishery status:** government or third-party reports showing improvement in fishery (e.g., stock assessment).
- **Changes in fishing practices (e.g., gear changes):** government or consultant report or summary report from the FIP. For fishing practice changes, evidence must clearly state what proportion of the fishery has implemented the changes.
- **Research (e.g., research done or data collection made more accurate):** peer-reviewed study, consultant or government report, or grant report that confirms data being collected.

FisheryProgress reserves the right to ask for additional evidence for any FIP claiming an MSC score change. Pre-assessments, workplans, or reports can be used as evidence as long as they are authored by

a party experienced in the MSC Standard and accompanied by appropriate rationale that draws upon language from the MSC Standard scoring guideposts. Reviewers may exercise discretion in absence of concrete evidence.