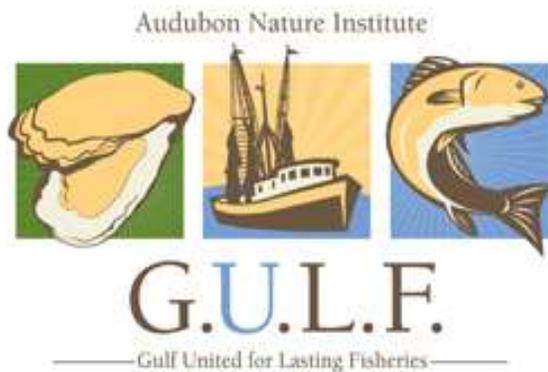


AUDUBON NATURE INSTITUTE

**Gulf United for Lasting Fisheries
(G.U.L.F.)**

**Responsible Fisheries Management
Certification Scheme**

Guidance to Assessment



**for use by U.S. Gulf State fisheries for assessment to a third-party
certification scheme**

**January 12th 2018
Issue 1.2**

**Based on the FAO's Ecolabelling Guidelines of Fish and Fishery Products
from Marine Capture Fisheries and relevant articles of the 1995 UN FAO
Code of Conduct for Responsible Fisheries.**

Document Control, Approval and Issue

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Audubon G.U.L.F. RFM Guidance to Assessment				
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Foreword

The purpose of the Audubon Nature Institute Gulf United for Lasting Fisheries Responsible Fisheries Management Certification Scheme (G.U.L.F. RFM) is to provide U.S. Gulf State fisheries with a “Certification of Responsible Fisheries Management” to an internationally recognized standard.

Certification to requirements under this Scheme will demonstrate that fisheries are managed in accordance with internationally established practices provided by the United Nations Food & Agriculture Organization. This document provides guidance for the assessment of fisheries for each clause contained within the Standard.

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Acronyms

B_{lim}	Limit reference point for spawning stock biomass
CCRF	FAO Code of Conduct for Responsible Fisheries
CPUE	Catch Per Unit Effort
EP	Evaluation Parameter
ETP species	Endangered Threatened and Protected Species
F	Fishing mortality
FAO	United Nations Food and Agriculture Organization
FAO Eco	FAO Ecolabelling Guidelines
F_{lim}	Limit reference point for fishing mortality
FMP	Fishery Management Plan
G.U.L.F.	Gulf United for Lasting Fisheries Program
HCR	Harvest Control Rule
MSY	Maximum sustainable yield
NC	Non-Conformance
RFM	Responsible Fisheries Management
SSB	Spawning Stock Biomass
TAC	Technical Advisory Committee

General Introduction

The Audubon Nature Institute (hereafter Audubon) Gulf United for Lasting Fisheries Responsible Fisheries Management (hereafter G.U.L.F. RFM) Certification Standard (hereafter the Standard) is a tool for use in the evaluation of United States fisheries in the Gulf of Mexico to an eco-certification program developed and owned by Audubon. The Standard has been formulated from existing publicly available documents principally, developed by the United Nations Food and Agriculture Organization (FAO) and agreed by an expert committee of fishery stakeholders in the U.S. Gulf of Mexico.

Purpose of document

The objective of this document is to provide guidance for assessment in the evaluation of applicants to the G.U.L.F. RFM Certification Scheme. The document sets out the specific performance levels for each clause of the Standard that must be achieved to demonstrate certification status.

This G.U.L.F. RFM Certification Scheme is based on the substantive criteria contained within the FAO's Guidelines for the Ecolabelling of Fish and Fishery Products from Marine Capture Fisheries (originally published in 2005 and revised in 2009) and clauses from the relevant Articles of the 1995 FAO Code of Conduct for Responsible Fisheries. A full description of the Standard setting arrangements, normative references and processes can be obtained from Audubon, owners of the G.U.L.F. RFM Certification Scheme.

The purpose of the G.U.L.F. RFM Certification Scheme is to provide U.S. Gulf State fisheries with a "Certification of Responsible Fisheries Management" to an internationally recognized standard.

Certification to requirements under this scheme will demonstrate that fisheries are managed in accordance with internationally established practices provided by the UN FAO.

Introduction

The Audubon G.U.L.F. RFM Certification Standard is a tool for use in the evaluation of fisheries in the Gulf of Mexico to a scheme developed and owned by Audubon. The Standard has principally been formulated from existing publicly available documents, developed by the United Nations Food and Agriculture Organization (FAO) and agreed upon by a Technical Advisory Committee (TAC) of fishery experts and stakeholders in the U.S. Gulf of Mexico. The Guidance to Assessment has been developed as a support for evaluation of applicant fisheries against each Clause of the Standard.

The main normative documents of the Standard are:

- the 2005 FAO Guidelines for Ecolabelling of Fish and Fishery Products from Marine Capture Fisheries (as updated in 2009)
- the relevant Articles of the 1995 FAO Code of Conduct for Responsible Fisheries (CCRF)
- FAO Fisheries Circular 917 (1996).

These documents have global significance in fisheries with respect to setting a standard for responsible fisheries management. The Standard used in this certification scheme represents a technical translation of these normative references to facilitate effective measurement of fisheries in the U.S. Gulf of Mexico.

The FAO CCRF and FAO Ecolabelling Guidelines make reference to several other international agreements and documents important to the development of responsible fishery practices. These are cited to confirm that the G.U.L.F. Responsible Fisheries Management Certification Scheme is consistent with these agreements/regulation/guidelines:

- 1982 United Nations Convention on the Law of the Sea (UNCLOS) (referring to consistency of U.S. Gulf State fisheries with the provisions of UNCLOS).
- Implementation of the International Plan of Action to Prevent, Deter and Eliminate Illegal, Unreported and Unregulated Fishing. FAO Technical Guidelines for Responsible Fisheries No. 9.
- ISO 14024:1999 Environmental labels and declarations - Type 1 environmental labelling - Principles and Procedures.
- ISO/IEC Guide 59:1994 Code of Good Practice for Standardization.
- ISO/IEC 17065:2012 Conformity Assessment – Requirements for certifying products, processes and services
- ISO/IEC 17067 Conformity Assessment- Fundamentals of product certification and guidelines for product certification schemes
- WTO Technical Barriers to Trade (TBT) Agreement Annex 3 Code of Good Practice for the Preparation, Adoption and Application of Standards, for the Technical Barriers to Trade (TBT) Second Triennial Review Annex 4, Principles for the Development of International Standards, Guides.

1. Guidance to Performance Evaluation

1.1. Confidence Ratings and Non Conformances

Applicant fisheries are assessed against the clauses of the Standard using confidence ratings (**Low**, **Medium** and **High**). For initial and re-assessments, each clause is assessed separately and a confidence rating applied. **High** confidence is assigned when the fishery demonstrates full conformity to a particular clause. In circumstances where the fishery falls short of a **High** confidence rating, a **Medium** or **Low** confidence rating is assigned. A **Medium** confidence can be assigned when there are minor or major shortfalls in the fisheries' conformance to a particular clause. Where there are critical shortfalls in the fisheries' ability to conform to a clause, a **Low** confidence is assigned.

When **Medium** and **Low** confidence ratings are applied and evidence is not available to confirm a **High** confidence rating, a non-conformance is assigned. The three levels of non-conformance are further defined in Table 1.

Table 1: Non-Conformance Definition and Allocation

Confidence	Conformity/Non Conformity	Definition
High	Full	Where full evidence is available that demonstrates conformance to a clause.
Medium	Minor	Where a minor gap in information/evidence is identified that is otherwise required to demonstrate full conformance to a clause.
	Major	Where a major gap in information/evidence is identified and/or certain contradictive evidence that is otherwise required to demonstrate full conformance to a clause.
Low	Critical	Where there is a complete absence of evidence and or highly contradictory evidence that is required to demonstrate conformity to a clause.

High Confidence – Full Conformance

Where the Assessment Team agrees that full evidence is available to demonstrate conformance to a given supporting clause, a **High** confidence rating can be assigned.

Full evidence is that which allows substantiation that the fishery meets the intent of a clause of the Standard, through the objective, expert opinion of the Assessment Team, supported by this document.

In all situations where the rating is less than **High** confidence, the assessment procedures require the Assessment Team to request further clarification with the Fishery Applicant in order to establish if further evidence is available

Medium Confidence - Minor Non-Conformance

Where there is a broad level of evidence available that demonstrates partial conformity to a clause but there are minor gaps in the performance that, if available would allow for Full Confidence, a **Medium** confidence rating equivalent to a **Minor Non-Conformance** is assigned.

Medium Confidence - Major Non-Conformance

Where the information/evidence available is insufficient to demonstrate conformance of the fishery to the requirements of a clause a **Medium** confidence rating equivalent to a **Major Non-Conformance** is assigned.

Low Confidence - Critical Non-Conformance

When there is a complete absence or extremely sparse evidence available and/or there is evidence that the fishery management system significantly contradicts the overall intent of a clause; a **Low** confidence rating, equivalent to a **Critical Non-Conformance** is assigned.

A **Critical Non-Conformance** will trigger the conclusion of the assessment, not allowing for certification, unless the applicant fishery is able to provide information/evidence that demonstrates a higher level of conformance of the fishery than previously assessed.

Validation Assessment which is undertaken prior to full assessment is designed to determine if critical Non-Conformances within the Applicant Management System may occur before proceeding to full assessment.

1.2. Non-Conformance Thresholds and Corrective Actions

Table 2 presents the permissible number and type of Non-Conformances that can be assigned for each section of the Standard. A Critical Non-Conformance results in the fishery failing the assessment. For the purposes of scoring 1 Major Non-Conformance is equal to 3 Minor Non-Conformances.

Table 2: Non-Conformance Thresholds per Section of the Standard

Category of Standard criteria	No. of clauses/sub-clauses	Maximum no. of combined Non-Conformances allowed per section that allow for a certified fishery		
		Critical NC	Major NC	Minor NC
Section A	16	0	1	0
			0	3
Section B	14	0	1	0
			0	3
Section C	13	0	1	0
			0	3
Section D	5	0	1	0
			0	3
Section E	19	0	1	0
			0	3

Corrective Action Plans

When a non-conformance is assigned against a clause, the applicant fishery is required to prepare a Corrective Action Plan that identifies the actions and activities that will be implemented resulting in full conformance of the fishery against the clause.

Corrective Action Plans should be sufficiently developed and documented so as to clearly show how the fishery will achieve full conformance. Corrective Action Plans should also indicate the departments, agencies, institutions or other organizations that will take part in the implementing activities. Corrective Action Plans should provide time bound outcomes that achieve the intent of the clause within the timeframe of the life of the certificate (typically 5 years). In extenuating circumstances, timeframes may be extended beyond the life of the certificate, for example, if a non-conformance is raised toward the end of a certification period or if there is justification for requiring a longer time period. The Assessment Team assigned to undertake the evaluation is responsible for accepting the corrective action plan.

1.3. Definition of Performance Evaluation Parameters

Each clause in the Standard is associated with scoring guidance to ensure continuity and consistency across fisheries and assessment teams. Scoring is based on a systematic approach to the assessment of the fishery against each clause using a series of **Evaluation Parameters (EPs)**. These are considered of equal importance with regards to assignment of the scoring categories (High confidence = Full Conformance and Minor, Major or Critical = Non-Conformances). These EPs essentially break down the evaluation method in a consistent manner:

Framework or Process:

Does information demonstrate that a framework, process or procedure is available and is consistent with the intent of the clause?

This EP generally requires that evidence is provided on the process or framework used by a fishery management organization to implement or maintain key aspects of fishery management practices. Examples may include systems for data collection, laws and regulations, stock assessment, enforcement and so on. If evidence on the current process or framework of a given process-based requirement is scarce or non-existent then this EP is not satisfied, resulting in a non-conformity.

Implementation and Effectiveness:

Is information available that demonstrates that the framework, process or procedure is implemented consistent with the intent of the clause?

This EP requires that the current status of implementation and its effectiveness to be measured, as appropriate to the aspect of fisheries management specific to each clause. Examples include data collection systems and the data collected, implementation of stock assessment practices and implementation of activities that respond to the outcome of stock status; implementation of management measures and rules through various mechanisms, monitoring and enforcement. If evidence on the current status of implementation and effectiveness is scarce or non-existent then this EP is not satisfied, resulting in a non-conformity.

Evidence Basis:

Is sufficient evidence available to demonstrate that the framework or process is consistent with the intent of the clause and substantiate its implementation and its effectiveness, measured by current status?

This EP requires that the availability, the quality and the adequacy of the evidence base for scoring a clause is assessed. If evidence availability (e.g. studies, reports, other data, regulations, etc.) is scarce, low quality or non-existent, then this EP is not satisfied, resulting in a non-conformity. The non-conformity will refer to one or more of the other EP's as the evidence will be associated with these parameters.

1.4. Evidence Classifications

Identification of Types of Information Useful to the Assessment

The assessment of fisheries for the G.U.L.F. RFM Certification Scheme requires that a range and variety of information types and sources are reviewed as part of the process of evaluation of the fishery to the clauses within the Standard.

This guidance note is intended to inform assessors of the range and categories of information that should be considered but can also be used to inform fishery applicants on what level of detail and information will be required during the review process. It provides guidance only and should not be considered as absolute with respect to the type of information that may be required during a fishery assessment.

Information types and sources can range from legal instruments such as acts, regulations and laws, official documentation published or required for collection by the management authorities or official organizations (permits, landing declarations, official catch records). Scientific and statistical information concerning the status of the fishery resource such as reports on returns, stock assessments and supporting research from state or official scientific organizations will also provide verification. Peer reviewed and published information from other science-based institutions will also provide further supporting evidence. Unofficial or 'softer' information either in printed format or contributed verbally at consultation audits will also be used to support the body of evidence necessary to verify fishery performance. All information should be objectively based, and verifiable through supporting or corroborative means for it to be useful to the assessment. Information can be sourced directly from the fishery, from the governing authorities and science institutions, from fishers themselves and from a wide variety of stakeholders in the supply chain and coastal communities that have objective information specific to the evaluation (i.e. specific to the clauses of the Standard).

The following table provides further categorization and descriptions of the information for each category.

INFORMATION CATEGORIES AND DESCRIPTIONS

Information Category	Description and Source
Fishery Legal and Governance	<p>Fishery Acts and legal instruments that shape, define and authorize the controlling organization (s) at national and state level for the directing and allocation of fishery resources.</p> <p>These are overarching statutory references that define the governance structure, the interrelationship between the different management authorities, give authority, and define responsibilities and functions they perform.</p> <p>Sources: National and state departments/often available via websites of state public departments.</p>
Fishery Legal Instruments for Policy Implementation	<p>Fishery acts and legal instruments that shape the policy and its implementation for the operational management and control of the fishery resource and commercial activities including; access, vessel licensing and permits, official lists of registered vessels, monitoring, surveillance and enforcement regulations, regulation of fishing gears, harvest control rules, fishery conservation and penalties and sanctions for violations of fishery regulations.</p> <p>Sources: National and state departments and local control/management agencies/ often available via websites and state publication departments and through direct consultation.</p>
Fishery non-specific legal instruments	<p>Acts and legal instruments which may have a bearing on natural fishery resources, their management or the management of other aspects of the aquatic resource and their conservation. (E.g. coastal zone management legislation, rights-based entitlements, instruments that relate to other coastal uses that may have a bearing of fisheries and their management.)</p> <p>Sources: National and state departments and local control/management agencies/ often available via websites and state public documents departments and through direct consultation. These may include non-binding instruments that have been adopted in the region.</p>
Fishery primary Catch/Sale data	<p>The original catch record/landing and transfer data. Normally generated by the fisher at the time or soon after the time of catch, reported in logbook format or as a landing or first sales record for official, statutory and commercial purposes. In almost all cases, this will be in a regularized, legal format for reporting purposes. Information normally including vessel, captain/owner, gear type(s), date, time and location of fishing activity, species landed, weight or number of harvested fish by species, handling and conversions for yield (dressed, fillet, etc.).</p> <p>Source: Primarily and originally generated by fishers as catch records or by first sale in the form of fish slips/ tickets by buyers and traders. These logbook and landing records are then transferred to a regulatory authority, sometimes via a fishery association or handling agency for reporting</p>

	<p>purposes or directly through submission or collection by fishery officer staff.</p>
Fishery Statistical Information	<p>Official statistical compilations of fishery data. Referring to primary but more often compilations of catch data from official bodies responsible for fishery data collection. (E.g. landings per fishery, species, location, by gear type, time of season, place of landing, total volume or numbers, value at first sale.)</p>
Fishery Scientific Assessment Information	<p>Various types of scientific assessment and information can provide valuable contribution to the assessment. The quality of information will be considered as much as the conclusions and outcome of the information.</p> <p>Sources: Can include peer reviewed published information, publications from reputable science-based organizations and unpublished information that can be supported through secondary sources.</p>
Fishery Dependent Data	<p>Data generated by the information gathered through fishing activity. Can be specific to the abundance of stock(s) under assessment, e.g., CPUE studies, age-length estimates, weight at age, gear selectivity studies or concerning other aspects of the health of the stock(s), the incidence of by-catch and/or other ecosystem components.</p> <p>Sources: Normally through the control or official scientific research organization.</p>
Fishery Independent Data	<p>Usually concerning a specific scientific survey of fishery stocks to assess population distribution, year class strength, recruitment, spawning stock or similar population dynamics. Techniques such as acoustic surveys, sample fishing, tagging, observation and stock assessments through counting devises and estimates.</p> <p>Sources: Official Research Agencies or contracted bodies.</p>
Stock/Fishery or Organizational Assessment Reports and Outcomes/Analyses	<p>The combination of historical data from fishery-dependent and seasonal survey work from fishery-independent data that form the basis of stock assessment work of a fishery. The outcomes of stock assessment reports may also include subsequent analysis and reporting at joint national and international committees for shared or common fisheries where co-management may be a feature. Assessment reports can be quantitative and qualitative in nature but should be verifiable through objective means.</p> <p>Assessment reports may also be environmental rather than fishery stock focused and includes a variety of evaluation methods, both quantitative and qualitative in nature.</p> <p>Source: Most often undertaken by the Official Research Agency or can be contracted to other research agencies with specific fishery competences. Wider sources include International Fishery Research Organizations and scientific committees of Regional Management Organizations. Third party institutions and certification bodies may also provide sources of information.</p>
Additional supporting	<p>These may be carried out by state research institutes, higher education authorities such as universities, and independent researcher organizations.</p>

<p>scientific Reports and Programs concerning the stock and the interactions of stock/fishing activity and the environment</p>	<p>Reports may be specific to the fishery under evaluation or may be from a wider pool of fisheries that can be described as representative in some way such that outcomes and results are comparable.</p> <p>Examples include: Population distribution studies, species biology, interactions with ecosystems components, such as by-catch, threatened, endangered and protected species and studies of genetic interactions of stocks, gear selectivity observations and research.</p> <p>Sources: Various research institutions. There should be specific competences apparent.</p>
<p>Reports in trade Press/Local Press.</p>	<p>These may be more news items, commentary and opinion where verification and objectivity should be established.</p> <p>Source: National and Local Press, Trade Press Magazines and websites</p>
<p>Verbally Communicated Information.</p>	<p>Information collected through consultation, audit and meetings forms a valuable part of the assessment. A structured and accurate approach will be adopted for documenting verbally received information. Wherever possible, verbal information should be supported by documents that provide verification, or other secondary sources that corroborate the information. The weight that verbally communicated information carries will always be decided by the Assessment Team based on the situation and balance of evidence available at that time.</p>

2. G.U.L.F. RFM Guidance Matrix for each Clause

A. The Fisheries Management System

A1 – Fundamental Clause 1

There shall be a structured and legally mandated fishery management system, and an appropriate policy, legal and institutional framework for fisheries management based upon and respecting international, national and local fishery laws, including the requirements of any regional fisheries management organizations that manage the fisheries on the stock(s) under consideration.

(FAO CCRF (1995) 7.1, 7.3, 7.6, 7.7, 8.4, 12; FAO Eco (2009) 28, 29)

1.1. – Supporting Clause 1

The fishery management system shall have a legal basis defining the powers of the authorities and laws that identify by objectives or otherwise allowing for responsible fisheries management as defined by the Standard.

(FAO CCRF (1995) 7.1.1, 7.7.1; FAO Eco (2009) 28, 29.5)

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformity)
<p>The fishery management system is either not or is only poorly defined and is not legally established.</p> <p>The fishery management system is ineffective at allowing for responsible fisheries management as defined by the Standard.</p> <p>Lacking in all EPs.</p>	<p>Laws within the fishery management system, including the powers of the authorities, are insufficiently defined overall and there is either an absence of, or only broad, objectives consistent with responsible management of fishery resources.</p> <p>Lacking in two EPs.</p>	<p>Laws are generally moderately well-defined but absent in one of the following:</p> <p>Defined powers of the authorities OR objectives or goals consistent with responsible management of fishery resources.</p> <p>Lacking in one EP.</p>	<p>Laws explicitly define the bodies and their functions and powers.</p> <p>The overall objectives of the fishery management system are defined and are consistent with responsible management of fishery resources.</p> <p>All EPs are met.</p>
<p>Evaluation Parameters (EPs):</p> <ul style="list-style-type: none"> • Framework or Process: There is a formally established fisheries management framework defined in statutes or other legislation at the appropriate level(s) (national, state, regional) within which broad objectives of the management system consistent with responsible management of fishery resources are defined. • Implementation and Effectiveness: Identifiable organizational structures and institutional arrangements appropriate for the scale and geographic location of the fishery and the resource are implemented. The management system should be effective in facilitating the responsible management of fishery resources as defined by the Standard. • Evidence Basis: Evaluate quality and adequacy of the available evidence. Examples of evidence may include, but are not limited to, fishery governance instruments such as laws and policies, evidence of their implementation, formal FMPs (fishery management plans), structured harvest control rules, and formalized stock assessments. Evidence may include non-binding agreements that have been ratified/adopted and can be shown to be adhered to. 			

1.2. – Supporting Clause 2

The fishery management system shall have an identified framework or documented procedure, publicly accessible (to national and international government agencies, fisheries participants, and other stakeholders) that allows it to create, amend and abolish laws, regulations and other legal instruments or measures that are used to implement and improve upon responsible fisheries management for the applicant fishery.

(FAO CCRF (1995) 7.1.1, 7.1.2, 7.1.6)

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformity)
<p>There is no defined framework or procedures for the creation, amendment and abolishment of laws, etc.</p> <p>These are generally inconsistent or irregular in their creation and are very rarely adopted/implemented with any consistency for the applicant fishery.</p>	<p>The framework or procedures are loosely defined but insufficient and not explicitly available in a documented format.</p> <p>AND/OR</p> <p>The framework is defined but inconsistently implemented for the applicant fishery in the creation, amendment and abolishment of laws, etc., that are consistent with the intent of the clause.</p>	<p>There is a moderately identifiable framework or procedures but it may not be accessible to all of the following:</p> <p>(1) All relevant fishery agencies, (2) Fishery participants and (3) Other stakeholders for the applicant fishery.</p>	<p>There is an identifiable framework or procedures.</p> <p>The framework or procedures are implemented and are demonstrably accessible to the relevant fishery agencies, fishery participants and other stakeholders for the applicant fishery.</p> <p>The process is effective at creating, adopting, amending and abolishing laws, regulations and other legal instruments.</p>
<p>Lacking in all EPs.</p>	<p>Lacking in two EPs.</p>	<p>Lacking in one EP.</p>	<p>All EPs are met.</p>
<p>Evaluation Parameters (EPs):</p> <ul style="list-style-type: none"> • Framework or Process: Procedures are formal, readily identifiable and carry institutional authority at the appropriate level of the fishery jurisdiction. There are procedures/processes that define access to decision making from national, international agencies (as relevant), fishery participants and other stakeholders. • Implementation and Effectiveness: There is a track record of the creation, adoption and amendment /abolishing of laws, regulations and management measures. • Evidence Basis: Evaluate quality and adequacy of the available evidence. Examples of evidence may include, but are not limited to, fishery governance instruments such as laws and policies, evidence of their implementation, formal FMPs, structured harvest control rules, and formalized stock assessments. Evidence may include non-binding agreements that have been ratified/adopted and can be shown to be adhered to. 			

1.3. – Supporting Clause 3

Procedures and mechanisms shall be established within the management system to avoid conflict and through an appropriate external judiciary appointed at the state level to settle conflicts, which arise both within the fisheries sector and with other coastal users.

(FAO CCRF (1995) 7.6.5, 10.1.4, 10.1.5)

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformity)
<p>There are no defined procedures and/or evidence of mechanisms that are established to avoid conflict within the fishery (internal) and other coastal users.</p> <p>There is no judicial process established to handle conflict and disputes within the fishery or with other coastal users.</p> <p>Conflict within the fishery and/or other coastal users undermines the conformance of the fishery to the Standard.</p> <p>Lacking in all EPs.</p>	<p>There are defined procedures and/or mechanisms but these are insufficient; either not implemented or that evidence proves them continually ineffective at avoiding conflict within the fishery and other coastal users that impacts the long-term, responsible use of the resource as defined by this Standard</p> <p>OR</p> <p>There is an absence or insufficiently established judicial system for settlement of conflict that is causing an impact on the long-term, responsible use of the resource as defined by the Standard.</p> <p>There is evidence that conflict is such that conformance to other clauses of the Standard is occurring.</p> <p>Lacking in two EPs.</p>	<p>There are moderately defined procedures and/or mechanisms implemented although there are cases of on-going conflict within the fishery and/or other coastal users that impacts the long-term, responsible use of the resource as defined by this Standard.</p> <p>OR</p> <p>There is some over-reliance on the judicial/court system for the settlement of repeated disputes concerning the fishery that impacts the long-term, responsible use of the resource as defined by this Standard.</p> <p>Lacking in one EP.</p>	<p>Procedures and/or mechanisms are established and act directly or indirectly to avoid conflict within the fishery and with other coastal users and settle conflicts related to the long-term, responsible use of the resource as defined by this Standard.</p> <p>There is an external judiciary/court system appointed at the state level to settle cases related to the long-term, responsible use of the resource as defined by this Standard.</p> <p>All EPs are met.</p>
<p>Evaluation Parameters (EPs):</p> <p>General note: The assessment shall only consider ‘conflict’ that undermines the long-term, responsible management of the fishery resource as defined by the Standard. The assessment team should ensure there is a clear link between the nature of conflict and impact on the resource.</p> <ul style="list-style-type: none"> • Framework or Process: Procedures can be formally documented or established through a track record in the management arrangements for engaging with fishers and with other coastal users such as task forces, advisory panels, working groups, etc. • Implementation and Effectiveness: There is evidence of conflict avoidance, resolution and/or settlement. A lack of conflict in connection with the fishery can also be used to demonstrate conformity. Where conflict does occur, it does not undermine the long-term, responsible management of the fishery as defined by this Standard. 			

- **Evidence Basis:** Evaluate quality and adequacy of the available evidence. Examples of evidence may include, but are not limited to, fishery governance instruments such as laws and policies, evidence of their implementation, formal FMPs, structured harvest control rules and minutes from meetings of various relevant fora. Evidence may include non-binding agreements that have been ratified/adopted and can be shown to be adhered to.

1.4. – Supporting Clause 4

- (i) Institutions that make up the management system shall consult with other U.S. state, federal, relevant regional/international fisheries management organizations, relevant to the stock(s) under consideration and;

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Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformity)
There is no consultation with other U.S. state, federal, relevant regional/international fisheries management organizations, relevant to the stock(s) under consideration	There is insufficient or very infrequent consultation with other U.S. state, federal, relevant regional/international fisheries management organizations, relevant to the stock(s) under consideration.	There is moderately effective or infrequent consultation with other U.S. state, federal, relevant regional/international fisheries management organizations, relevant to the stock(s) under consideration.	There is effective and timely consultation with other U.S. state, federal, relevant regional/international fisheries management organizations, relevant to the stock(s) under consideration.
Lacking in all EPs.	Lacking in two EPs.	Lacking in one EP.	All EPs are met.
<p>Evaluation Parameters (EPs):</p> <p>General Note: This clause only qualifies if the stock(s) is either transboundary, straddling, highly migratory, or high seas. If not, this clause should be scored as NOT APPLICABLE.</p> <p>Note on sub-stocks: Where sub-stocks are referred to as part of an overall ‘stock’ there should be sufficient information on biology/distribution and life-cycle that demonstrates the degree of association/disassociation and basis for the management approach taken to prevent recruitment failure of the stock or other negative impacts that are likely to be irreversible or very slowly reversible.</p> <ul style="list-style-type: none"> • Framework or Process: Formal processes and procedures for consultation are in place and evidence of consultation exists. • Implementation and Effectiveness: Consultation leads to effective conservation and responsible management (i.e. not overfished/overfishing¹) of the stock(s) in question. Assessment Teams should consider both the frequency and quality of consultation as part of their evaluation. • Evidence Basis: Evaluate quality and adequacy of the available evidence. Examples of evidence may include, but are not limited to, fishery governance instruments such as laws and policies, evidence of their implementation, formal FMPs, structured harvest control rules and minutes from meetings of various relevant fora. Evidence may include non-binding agreements that have been ratified/adopted and can be shown to be adhered to. 			

¹ See [Glossary of Terms](#) section

- (ii) Where the applicant fishery is based on a shared, straddling, high seas or highly migratory stock(s), its management shall be compatible with any requirements set out by applicable regional fisheries management organization(s).

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformity)
Management of the applicant fishery is incompatible and conflicts with the requirements set out by regional/international fisheries management organizations, relevant to the stock(s) under consideration.	Management of the applicant fishery is somewhat incompatible and may conflict with the requirements set out by regional/international fisheries management organizations, relevant to the stock(s) under consideration.	Management of the applicant fishery is generally (mostly) compatible with the requirements set out by regional/international fisheries management organizations, relevant to the stock(s) under consideration.	Management of the applicant fishery is fully compatible with the requirements set out by regional/international fisheries management organizations, relevant to the stock(s) under consideration
Lacking in all EPs.	Lacking in two EPs.	Lacking in one EP.	All EPs are met.
<p>Evaluation Parameters (EPs):</p> <p>General Note: This clause only qualifies if the stock(s) is either transboundary, straddling, highly migratory, or high seas. If not, this clause should be scored as NOT APPLICABLE.</p> <p>Note on requirements set out by regional/international fisheries management organizations: The applicant fishery should be a participating member or cooperating party to regional management organizations. The applicant fishery management measures should be consistent with the measures set out by regional /international fisheries management organizations. Consistent means that the measures do not contradict or conflict with the conservation measures of the regional/international fishery management, either for stock or related fishery interactions.</p> <ul style="list-style-type: none"> • Framework or Process: Formal processes and procedures for consultation are in place and evidence of consultation exists. • Implementation and Effectiveness: Measures are consistent with international/regional measures either by direct transposition into the applicant fishery or can demonstrate consistency at meeting conservation/fishery objectives. • Evidence Basis: Evaluate quality and adequacy of the available evidence. Examples of evidence may include, but are not limited to, fishery governance instruments such as laws and policies, evidence of their implementation, formal FMPs, structured harvest control rules and minutes from meetings of various relevant fora. Evidence may include non-binding agreements that have been ratified/adopted and can be shown to be adhered to. 			

1.5. – Supporting Clause 5

The management system, its institutional arrangements and their legal basis, regulations and other instruments, and management measures and outputs shall be subject to periodic review through identifiable review procedures and mechanisms.

(FAO CCRF (1995) 7.6.8)

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformity)
<p>There are no procedures in place and no evidence of a periodic review of the management system.</p> <p>Lacking in <i>all</i> EPs.</p>	<p>There are insufficient procedures for periodic review of the management system although there is evidence of occasional reviews of aspects or components of the management system.</p> <p>Lacking in <i>two</i> EPs.</p>	<p>There are moderately effective procedures for periodic review of aspects or components of the management system and evidence of these reviews are available but key aspects are missing OR Reviews are infrequent or not appropriate to the scale and intensity of the fishery.</p> <p>Lacking in <i>one</i> EP.</p>	<p>There are effective procedures for periodic review of the management system and evidence that reviews adequately cover the main components.</p> <p>All EPs are met.</p>
<p>Evaluation Parameters (EPs):</p> <ul style="list-style-type: none"> • Framework or Process: A procedure that defines periodic review of the fishery management system and mechanism of how reviews are undertaken. Reviews may be internal/external or a combination of both. • Implementation and Effectiveness: Reviews have clear objectives and outcomes for the fishery management system such that they are usable for confirmation of key aspects of the fishery performance and effectiveness of management measures. Reviews should form the basis for amendment, adoption and revisions of management objectives and measures that are conducive with responsible fisheries management (refer to clause 1.6). • Evidence Basis: Evaluate quality and adequacy of the available evidence. Examples of evidence may include, but are not limited to, fishery governance instruments such as laws and policies, evidence of their implementation, official reports, formal FMPs, structured harvest control rules and minutes from meetings of various relevant fora. Evidence may include non-binding agreements that have been ratified/adopted and can be shown to be adhered to. 			

1.6. – Supporting Clause 6

The review process shall be clearly linked to improvement of the management system under clause 1.2 for the applicant fishery, and based on the use of best available scientific evidence, advice and/or objectively verified information by the management system from recognized institutions and other sources, including fisheries and external bodies and shall respond in a timely manner.

(FAO CCRF (1995) 7.4.1, 7.6.8; FAO Eco (2009) 29.2)

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformity)
<p>There is no periodic review undertaken. There is no clear process for review linked to improvements in the fishery management system based on best available scientific evidence, advice and/or objectively verified information.</p>	<p>Reviews are insufficient in their consideration of the best available scientific evidence, advice and/or objectively verified information; and/or inconsistent in their outputs relative to the scale and intensity of the fishery AND/OR Responses do not occur in a timely manner.</p>	<p>The review processes and mechanisms are moderately effective in that they form part of the improvement of the fishery management system but do not always reflect the best available scientific evidence, advice and/or objectively verified information AND/OR Responses do not occur in a timely manner.</p>	<p>The review processes and mechanism (and outputs and conclusions) form an effective basis for improvement of the fishery management system. Reviews reflect the best available scientific evidence, advice and/or objectively verified information from recognized institutions and other sources, including fisheries and external bodies and there is a timely response.</p>
<p>Lacking in all EPs.</p>	<p>Lacking in two EPs.</p>	<p>Lacking in one EP.</p>	<p>All EPs are met</p>
<p>Evaluation Parameters (EPs):</p> <ul style="list-style-type: none"> • Framework or Process: Regular and periodic review forms part of the mechanism for improvements in the fishery management system. • Implementation and Effectiveness: Reviews have clear objectives and outcomes for the fishery management system based on best available scientific evidence, advice and/ or objectively verified information and are used for confirmation of key aspects of the fishery performance and effectiveness of management measures. Reviews form the basis for amendment, adoption and revisions of management objectives and measures that are conducive with responsible fisheries management and occur in a timely manner. • Evidence Basis: Evaluate quality and adequacy of the available evidence. Examples of evidence may include, but are not limited to, implementation policies, FMPs and associated documents, official proceedings, official reports, scientific proceedings and research papers. 			

1.7. – Supporting Clause 7

The management system shall forbid, prohibit or otherwise outlaw the use of destructive fishing practices including dynamiting, poisoning and other comparable destructive fishing practices.
(FAO CCRF (1995) 8.4.2)

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformity)
There is no prohibition of dynamiting, poisoning and other comparable destructive fishing practices and evidence of these activities taking place.	There is no prohibition of dynamiting, poisoning and other comparable destructive fishing practices but no evidence of these activities taking place.	There is prohibition of dynamiting, poisoning and other comparable destructive fishing practices but insufficient implementation through evidence of these activities taking place and evidence of ineffective enforcement.	The U.S. state explicitly prohibits dynamiting, poisoning and other comparable destructive fishing practices, and there is no evidence of infringement of this law.
Lacking in all EPs.	Lacking in two EPs.	Lacking in one EP.	All EPs are met.
<p>Evaluation Parameters (EPs):</p> <p>General Note: The term refers to the use of fishing practices in ways or in places such that one or more key components of an ecosystem are obliterated, devastated or ceases to be able to provide essential ecosystem functions. (reference from http://www.fao.org/docrep/012/i1490e/i1490e00.pdf FAO/UNEP EXPERT MEETING ON IMPACTS OF DESTRUCTIVE FISHING PRACTICES, UNSUSTAINABLE FISHING, AND ILLEGAL, UNREPORTED AND UNREGULATED (IUU) FISHING ON MARINE BIODIVERSITY AND HABITATS)</p> <p>Also further guidance is provided in the FAO Bulletin: http://tinyurl.com/h4c559v</p> <ul style="list-style-type: none"> • Framework or Process: There are laws that prohibit destructive fishing practices as described. • Implementation and Effectiveness: The laws are fully implemented and no evidence of infringement exists. • Evidence Basis: Evaluate quality and adequacy of the available evidence. Examples of evidence may include, but are not limited to, legal instruments, enforcement policies and reports, evidence of legal proceedings, prosecution records, etc. 			

1.8. – Supporting Clause 8

The management system shall be resourced through structured, identifiable and consistent means.

(FAO CCRF (1995) 7.7.4)

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformity)
Mechanisms for resourcing of the fishery management system are not available or cannot be identified.	There are insufficient , and/or poorly identifiable means for resourcing of the fishery management system.	The means for resourcing the fishery management system are structured and identified but track record of implementation is inconsistent or intermittent .	Mechanisms for resourcing of the fishery management system are available and/or identifiable and evidence demonstrates that they are adequate for the implementation and effectiveness of the management system.
Lacking in all EPs.	Lacking in two EPs.	Lacking in one EP.	All EPs are met.
<p>Evaluation Parameters (EPs):</p> <ul style="list-style-type: none"> • Framework or Process: Mechanisms may include legal powers within the management system for allocation of resources and track record for their execution. • Implementation and Effectiveness: Measured holistically through evidence presented that demonstrates the fishery conforms to the Standard. Mechanisms for resourcing of the fishery management system are available or identifiable and adequate as measured by its effectiveness (e.g. data collection, analysis, research, management measures, regulations, enforcement and conformity to this Standard). • Evidence Basis: Evaluate quality and adequacy of the available evidence. Examples of evidence may include, but are not limited to, legal instruments, official policies, non-binding agreements, official proceedings and reports, etc. 			

1.9. – Supporting Clause 9

The management system shall identify and document research priorities for the fishery and stock(s) under consideration and allocate resources to execute these.

(FAO CCRF (1995) 7.4.2, 12.1, 12.2, 12.3; FAO Eco (2009) 29.1)

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformity)
<p>Research priorities are not identified and/or documented and there is no evidence of research being undertaken for the fishery.</p>	<p>Research priorities are not clearly identified or are insufficiently documented. The process of allocating resources to execute these is not clearly established and there is very little track record to demonstrate effectiveness of delivery of research.</p>	<p>Research priorities are identified and formally documented. There is moderate evidence of a process for allocation of resources and moderate evidence that research is conducted according to a plan of implementation, although their execution may be inconsistent with the research plan.</p>	<p>Research priorities are identified by the management system for the stock(s) under consideration. There is a clear process for allocating resources for carrying out research and there is evidence that research has been effectively undertaken according to a plan of implementation.</p>
<p>Lacking in all EPs.</p>	<p>Lacking in two EPs.</p>	<p>Lacking in one EP.</p>	<p>All EPs are met.</p>
<p>Evaluation Parameters (EPs):</p> <ul style="list-style-type: none"> • Framework or Process: Formal mechanisms may include legal powers within the management system for defining the research priorities within the fishery and the allocation of resources and track record for the execution of research. • Implementation and Effectiveness: Measured through the delivery of research activities according to a plan or similar document and progression of research with respect to current status and outcomes. • Evidence Basis: Evaluate quality and adequacy of the available evidence. Examples of evidence may include, but are not limited to, legal instruments, management and research plans, research activities, official reports, research papers, fishery scientific assessment information and statistical reports. 			

1.10. – Supporting Clause 10

Gulf-wide and international research relevant to the species and research priorities shall be promoted including, fostering relationships and information exchange with external scientific bodies and other national and international fishery organizations.

(FAO CCRF (1995) 7.3.4, 7.4.6, 12.16, 12.17)

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformity)
The fishery management system does not foster relationships and information exchange between states, other national and international fishery organizations.	The fishery management system fosters only infrequent and insufficient relationships and information exchange between states, other national and international fishery organizations.	The fishery management system fosters moderately effective relationships and information exchange between states, other national and international fishery organizations.	The fishery management system effectively fosters relationships and information exchange between states, other national and international fishery organizations.
Lacking in all EPs.	Lacking in two EPs.	Lacking in one EP.	All EPs are met.
<p>Evaluation Parameters (EPs):</p> <p>General Note: Qualifies at the Gulf-wide level of cooperation and where stocks are transboundary or migratory may also qualify at the national or international level. For discrete fisheries that operate on unconnected stocks there is no automatic requirement and this clause would be scored as NOT APPLICABLE.</p> <ul style="list-style-type: none"> • Framework or Process: There should be a formal framework or processes and arrangements for conducting, coordinating and sharing research activities and outcomes. • Implementation and Effectiveness: There should be documented information indicating the level of activity, application, and level of engagement for conducting, coordinating, and sharing research activities and outcomes. • Evidence Basis: Evaluate quality and adequacy of the available evidence. Examples of evidence may include, but are not limited to, research plans, research activities, official reports, research papers, fishery scientific assessment information and statistical reports. 			

1.11. – Supporting Clause 11

The economic, social and institutional dimensions under which fisheries operate shall be monitored.

(FAO CCRF (1995) 7.4.2, 7.4.5, 12.9)

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformity)
The economic, social and institutional dimensions of the fishery are not monitored.	The economic, social and institutional dimensions of the fishery are monitored but only intermittently.	The economic, social and institutional dimensions of the fishery are moderately monitored.	The economic, social and institutional dimensions under which fisheries operate are regularly monitored.
Lacking in all EPs.	Lacking in two EPs.	Lacking in one EP.	All EPs are met.
<p>Evaluation Parameters (EPs):</p> <p>General Note: The clause is focused on the evaluation of monitoring and not the evaluation of whether the fishery is meeting management objectives for social, economic and institutional dimensions.</p> <ul style="list-style-type: none"> • Framework or Process: There are established frameworks, processes, or mechanisms and a track record in monitoring the economic, social and institutional dimensions of the fishery. • Implementation and Effectiveness: The economic, social and institutional dimensions are monitored. Monitoring mechanisms should ensure sufficient information is collected. • Evidence Basis: Evaluate quality and adequacy of the available evidence. Examples of evidence may include, but are not limited to, monitoring procedures, evaluation activities, research analysis, reports on socio-economic value of the fishery, stakeholder input, etc. 			

1.12. – Supporting Clause 12

Fishing capacity shall be managed such that it does not undermine the effective management of the fishery and conservation objectives for the stock(s). These measures can include, among other tools, the reduction of capacity and/or effort to levels commensurate with a sustainable stock(s).

(FAO CCRF (1995) 6.3, 7.1.8, 7.2.2a, 7.6.3)

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformity)
Fishing capacity is not managed and clearly undermines the management of the fishery and the conservation objectives for the stock(s).	Management of fishing capacity is insufficient to ensure the effective management of the fishery and the conservation measures for the stock(s).	Management of capacity is moderately effective such that it does not undermine the management of the fishery and conservation objectives for the stock(s).	Fishing capacity is effectively managed such that it does not undermine the management of the fishery and conservation objectives for the stock(s).
Lacking in all EPs.	Lacking in two EPs.	Lacking in one EP.	All EPs are met.
<p>Evaluation Parameters (EPs):</p> <ul style="list-style-type: none"> • Framework or Process: There are established measures in place to manage fishing capacity. • Implementation and Effectiveness: There is evidence to confirm the measures are effectively managing fishing capacity. • Evidence Basis: Evaluate quality and adequacy of the available evidence. Examples of evidence may include, but are not limited to, fishery reports on harvest recommendation and harvest or fleet reports, tools that reduce the capacity of the fleet and/or effort levels such as licenses, curfews, daily catch limits, effort controls, vessel size limits, pot/trap limits, gear size limits, etc. 			

A2 – Fundamental Clause 2

Gulf States fishery management organizations shall implement monitoring and control systems to allow for effective enforcement of management measures and their associated rules and regulations.

(FAO CCRF (1995) 6.1, 6.10, 7.1, 7.7, 8.1, 8.2; FAO Eco (2009) 29.5)

2.1. – Supporting Clause 1

Effective mechanisms shall be established for fisheries monitoring, surveillance, control and enforcement measures including, where appropriate, observer programs, inspection schemes and vessel monitoring systems, to ensure compliance with the conservation and management measures for the fishery in question.

(FAO CCRF (1995) 6.10, 7.1.7, 8.2.7; FAO Eco (2009) 29.5)

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformity)
<p>No mechanisms established for fisheries monitoring, surveillance, control and enforcement measures including, where appropriate, observer programs, inspection schemes and vessel monitoring systems, to ensure compliance with the conservation and management measures for the fishery in question.</p>	<p>Established mechanisms are insufficient for effective fishery monitoring, surveillance, control and enforcement measures including, where appropriate, observer programs, inspection schemes and vessel monitoring systems, to ensure compliance with the conservation and management measures for the fishery in question.</p>	<p>Established mechanisms are moderately effective for fishery monitoring, surveillance, control and enforcement measures including, where appropriate, observer programs, inspection schemes and vessel monitoring systems, to ensure compliance with the conservation and management measures for the fishery in question.</p>	<p>Effective mechanisms are established for fisheries monitoring, surveillance, control and enforcement measures including, where appropriate, observer programs, inspection schemes and vessel monitoring systems, to ensure compliance with the conservation and management measures for the fishery in question.</p>
<p>Lacking in all EPs.</p>	<p>Lacking in two EPs.</p>	<p>Lacking in one EP.</p>	<p>All EPs are met.</p>
<p>Evaluation Parameters (EPs):</p> <p>General Note: Mechanisms may all be there individually or may be somehow integrated, depending on the characteristics and need of the fishery. For example, observer schemes and inspection schemes may be one of the same, and vessel monitoring schemes may be required to different degrees.</p> <ul style="list-style-type: none"> • Framework or Process: There are established monitoring, control and surveillance mechanisms in place. • Implementation and Effectiveness: Mechanisms may include, but are not limited to, observer programs, inspection schemes, vessel monitoring, etc. • Evidence Basis: Evaluate quality and adequacy of the available evidence. Examples of evidence may include, but are not limited to, legal instruments/policies, monitoring control and surveillance plans, resources, official reports, boarding reports, prosecution proceedings, etc. 			

2.2. – Supporting Clause 2

Non-compliance with conservation and management measures will result in sanctions, including, but not limited to, removal of authorization to fish and/or to serve as masters or officers of a fishing vessel. Sanctions shall be enforceable through local, state and national law, applicable in respect of violations and illegal activities shall be adequate in severity to be effective in securing compliance and discouraging violations wherever they occur.

(FAO CCRF (1995) 7.7.2, 8.1.9, 8.2.7)

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformity)
No state/national laws of adequate severity are in place that provides effective sanctions.	State/national laws of adequate severity are in place but are insufficient in their effectiveness in providing effective sanctions.	State/national laws of adequate severity are in place but are moderately effective in providing effective sanctions.	State/national laws of adequate severity are in place that provides effective sanctions.
Lacking in <i>all</i> EPs.	Lacking in <i>two</i> EPs.	Lacking in <i>one</i> EP.	All EPs are met.
<p>Evaluation Parameters (EPs):</p> <ul style="list-style-type: none"> • Framework or Process: There are laws in place that are of adequate severity and allow for the provision of effective sanctions. • Implementation and Effectiveness: There are sanctions in place for those who violate fisheries laws. There is evidence that these sanctions are effective in ensuring compliance. High levels of compliance would infer that sanctions are effective. • Evidence Basis: Evaluate quality and adequacy of the available evidence. Examples of evidence may include, but are not limited to, legal instruments, monitoring and control systems reports, legal reports and proceedings, official reports, statistical reports, etc. 			

2.3. – Supporting Clause 3

U.S. Gulf States shall enhance through education and training programs the education and skills of fishers and, where appropriate, their professional qualifications. Such programs shall take into account agreed international standards and guidelines.

(FAO CCRF (1995) 6.16, 8.1.7, 8.1.10)

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformity)
No education and training programs for fishers have been implemented that take into account international standards and guidelines.	Education and training programs are insufficiently effective education and training programs for fishers have been implemented that take into account international standards and guidelines.	Moderately effective education and training programs for fishers have been implemented that take into account international standards and guidelines.	States enhance through effective education and training programs the education and skills of fishers and, where appropriate, their professional qualifications. Such programs take into account agreed international standards and guidelines.
Lacking in all EPs.	Lacking in two EPs.	Lacking in one EP.	All EPs are met.
<p>Evaluation Parameters (EPs):</p> <p>General Note: The clause does not require formally established education and professionalism programs for fishers but that there are mechanisms to inform fishers of legal and responsible practices conducive with the fishery under evaluation.</p> <ul style="list-style-type: none"> • Framework or Process: There are education programs in place for fishers that have defined outcomes aimed at improving the fishery. • Implementation and Effectiveness: Education programs are operational and are utilized. If programs are mandatory, there are legal instruments requiring participation, sanctions for non-compliance and target competency levels for those involved in the fishery. • Evidence Basis: Evaluate quality and adequacy of the available evidence. Examples of evidence may include, but are not limited to, legal instruments, policies, non-binding agreements, educational programs, professional, academic courses, official reports/reviews, statistical reports, etc. 			

B. Data Collection, Stock Assessment and Scientific Advice

B3 – Fundamental Clause 3

Adequate data and/or information are collected, maintained and assessed in accordance with applicable international standards and practices for evaluation of the current state and trends of the stocks.

(FAO CCRF (1995) 6.4, 7.3, 7.4, 8.4, 12; FAO Eco (2009) 29, 31)

3.1. – Supporting Clause 1

Data shall be collected from both fishery dependent and independent sources, as relevant, in a routine and consistent manner to allow for scientifically robust assessment of:

- 1) The state of the stock(s) relative to the management-elected reference points or suitable substitutes or other performance indicators.
- 2) The performance of the fishery with respect to the utilization of the resource.
- 3) The performance of management measures, harvest controls and associated rules that support the strategy and the defined objectives of the fishery.

(FAO CCRF (1995) 7.4.2, 7.4.4, 7.4.6, 8.4.3, 12.4; FAO Eco (2009) 29.1, 29.3, 31.1)

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformity)
<p>No collection of data from both fishery dependent and independent sources, as relevant, in a routine and consistent manner to allow for scientifically robust assessment of:</p> <ol style="list-style-type: none"> 1) the state of the stock(s) relative to the management elected reference points or suitable substitutes or other performance indicators; 2) the performance of the fishery with respect to the utilization of the resource and 3) the performance of management measures, harvest controls and associated rules that support the strategy and the defined objectives of the fishery. 	<p>Insufficient collection of data from both fishery dependent and independent sources, as relevant, in a routine and consistent manner to allow for scientifically robust assessment of:</p> <ol style="list-style-type: none"> 1) the state of the stock(s) relative to the management elected reference points or suitable substitutes or other performance indicators; 2) the performance of the fishery with respect to the utilization of the resource and 3) the performance of management measures, harvest controls and associated rules that support the strategy and the defined objectives of the fishery. 	<p>Moderate collection of data from both fishery dependent and independent sources, as relevant, in a routine and consistent manner to allow for scientifically robust assessment of:</p> <ol style="list-style-type: none"> 1) the state of the stock(s) relative to the management elected reference points or suitable substitutes or other performance indicators; 2) the performance of the fishery with respect to the utilization of the resource and 3) the performance of management measures, harvest controls and associated rules that support the strategy and the defined objectives of the fishery. 	<p>Effective collection of data from fishery dependent and independent sources, in a routine and consistent manner to allow for scientifically robust assessment of:</p> <ol style="list-style-type: none"> 1) the state of the stock(s) relative to the management elected reference points or suitable substitutes or other performance indicators; 2) the performance of the fishery with respect to the utilization of the resource and 3) the performance of management measures, harvest controls and associated rules that support the strategy and the defined objectives of the fishery.
<p>Lacking in all EPs.</p>	<p>Lacking in two EPs.</p>	<p>Lacking in one EP.</p>	<p>All EPs are met.</p>

Evaluation Parameters (EPs):

- **Framework or Process:** There is a framework or process for collection of data from both fishery dependent and independent sources, as relevant, in a routine and consistent manner to allow for scientifically robust assessment of: 1) the state of the stock(s) relative to the management elected reference points or suitable substitutes or other performance indicators; 2) the performance of the fishery with respect to the utilization of the resource and 3) the performance of management measures, harvest controls and associated rules that support the strategy and the defined objectives of the fishery.
- **Implementation and Effectiveness:** Data collection systems/processes are operational and are utilized. Data collected by the systems/processes is reliable and comprehensive enough so as to allow assessment of: 1) the state of the stock(s) relative to reference points/suitable substitutes; 2) fishery performance with respect to the stock(s) utilization; and 3) management measures, harvest controls and associated rules that support the defined objectives of the fishery.
- **Evidence Basis:** Evaluate quality and adequacy of the available evidence. Examples of evidence may include, but are not limited to, trip tickets, logbooks, observer data, stock assessment reports, survey reports, various datasets, etc.

3.2. – Supporting Clause 2

Data review and analysis shall consider all fishery removals of the target stock(s) including retained catch and discards in target and non-target fisheries.

(FAO CCRF (1995) 7.3.1; FAO Eco (2009) 29.2b)

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformity)
There is no consideration of all fishery removals of the target stock(s) including retained catch and discards in target and non-target fisheries.	There is insufficient consideration of all fishery removals of the target stock(s) including retained catch and discards in target and non-target fisheries.	There is moderate consideration of all fishery removals of the target stock(s) including retained catch and discards in target and non-target fisheries.	Data review and analysis effectively considers all fishery removals of the target stock(s) including retained catch and discards in target and non-target fisheries.
Lacking in all EPs.	Lacking in two EPs.	Lacking in one EP.	All EPs are met.
<p>Evaluation Parameters (EPs):</p> <ul style="list-style-type: none"> <p>Framework or Process: There is a system of data review and analysis that considers all fishery removals from the target stock(s). The data collection system shall be established and includes fishery independent (survey) data, as well total catch data (e.g. commercial, recreational and catch in other fisheries). Such data shall be analyzed through an appropriate system and appropriate estimates shall be derived that consider all fishery removals of the target stock(s).</p> <p>Implementation and Effectiveness: The system is considered effective if there is high confidence that all removals of the target stock(s) are considered. Analyses sufficiently consider fishery removals of the target stock(s) including retained catch and discards in target and non-target fisheries. Within the stock assessment/evaluation process, data are analyzed for completeness and accuracy. All the key sources of mortality of the target stock(s) shall be considered accordingly. These shall include all significant commercial and recreational catches (landed and discarded) in the directed fisheries, including discards and incidental catches (landed and discarded) in other fisheries targeting other species. Stock assessments/evaluations shall provide a clear understanding of the data and sources of mortality considered, utilized and accounted for.</p> <p>Evidence Basis: Evaluate quality and adequacy of the available evidence. Examples of evidence may include, but are not limited to, data from landing reports, survey data, and stock assessments or evaluation reports, etc.</p> 			

3.3. – Supporting Clause 3

Data review and analysis shall consider catches and discards of other commercial and non-commercial species associated with fishing activity to the extent that impacts on these species can be understood.

(FAO CCRF (1995) 6.2, 7.5.2; FAO Eco (2009) 29.3, 31.1)

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformity)
There is no consideration of catches and discards of other commercial and non-commercial species associated with fishing activity.	There is insufficient consideration of catches and discards of other commercial and non-commercial species associated with fishing activity to the extent that impacts on these species can be understood.	There is moderate consideration of catches and discards of other commercial and non-commercial species associated with fishing activity to the extent that impacts on these species can be understood.	Data review and analysis effectively considers catches and discards of other commercial and non-commercial species associated with fishing activity to the extent that impacts on these species can be understood.
Lacking in all EPs.	Lacking in two EPs.	Lacking in one EP.	All EPs are met.
<p>Evaluation Parameters (EPs):</p> <p>General Note: Refer to Appendix 1 for guidance on relevant non-target catches.</p> <ul style="list-style-type: none"> • Framework or Process: There is a framework or process that allows for consideration of the impacts of catches and discards of other commercial and non-commercial species associated with the target stock(s). The data collection system that allows for an evaluation of associated species catches (and discards) shall be established and allow for a meaningful evaluation of the effects of target species fisheries on other species mortality. Such data shall be analyzed through an appropriate system. The species analyzed in this clause shall include commercial stocks as well as other non-commercial species. • Implementation and Effectiveness: The data collection system effectively considers of the impacts of catches and discards of other commercial and non-commercial species associated with the target stock(s). Data shall be collected from various reports including agencies reports and other published work including peer reviewed publications on the levels of bycatch encountered in the fishery under assessment. The overall data collection and analysis system shall be assessed and determined effective if it allows for a fair assessment of commercial and non-commercial species associated with the target stock(s). • Evidence Basis: Evaluate quality and adequacy of the available evidence. Examples of evidence may include, but are not limited to, data from landing reports, survey data, stock assessment reports, ecosystem assessment reports, etc. 			

3.4. – Supporting Clause 4

Data shall be collected and research advanced to improve the understanding of the biology, life-cycle and reproductive cycle of the stock(s) under consideration, its geographic range, its habitat, the environmental factors that may influence stock abundance, and its role in the ecosystem, to improve management of the fishery.

(FAO CCRF (1995) 7.3.1, 12.4; FAO Eco (2009) 31.2, 31.3)

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformity)
<p>There is no data collection and research to improve the understanding of the biology, life-cycle and reproductive cycle of the stock(s) under consideration, its geographic range, its habitat, the environmental factors that may influence stock abundance, and its role in the ecosystem; to improve management of the fishery.</p> <p>Lacking in all EPs.</p>	<p>There is insufficient data collection and research to improve the understanding of the biology, life-cycle and reproductive cycle of the stock(s) under consideration, its geographic range, its habitat, the environmental factors that may influence stock abundance, and its role in the ecosystem; to improve management of the fishery.</p> <p>Lacking in two EPs.</p>	<p>There is moderate data collection and research to improve the understanding of the biology, life-cycle and reproductive cycle of the stock(s) under consideration, its geographic range, its habitat, the environmental factors that may influence stock abundance, and its role in the ecosystem; to improve management of the fishery.</p> <p>Lacking in one EP.</p>	<p>Data is effectively collected and research advanced to improve the understanding of the biology, life-cycle and reproductive cycle of the stock(s) under consideration, its geographic range, its habitat, the environmental factors that may influence stock abundance, and its role in the ecosystem; to improve management of the fishery.</p> <p>All EPs are met.</p>
<p>Evaluation Parameters (EPs):</p> <ul style="list-style-type: none"> • Framework or Process: There is a framework or process which provides data collection and research to improve the understanding of the biology, life-cycle and reproductive cycle of the stock(s) under consideration, its geographic range, its habitat, the environmental factors that may influence stock abundance, and its role in the ecosystem; and to improve management of the fishery(s). • Implementation and Effectiveness: Where there is a lack of understanding surrounding the biology, life-cycle and reproductive cycle of the stock(s) under consideration, its geographic range, its habitat, the environmental factors that may influence stock abundance, and its role in the ecosystem, etc., data collection supports research aimed at addressing these knowledge gaps in order to improve management of the fishery(s). The information indicated shall be analyzed and assessed for its values for improving knowledge and management of the fishery. • Evidence Basis: Evaluate quality and adequacy of the available evidence. Examples of evidence may include, but are not limited to, data from research studies, other reports and information, data may come from federal and state agencies, academic institutions or other research organizations, environmental non-governmental organizations (eNGOs), etc. 			

3.5. – Supporting Clause 5

Data can include relevant traditional, fisher or community knowledge, provided their validity can be objectively verified.

(FAO CCRF (1995) 6.4, 12.12; FAO Eco (2009) 29.1, 29.3, 31)

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformity)
Where relevant, objectively verified traditional, fisher or community knowledge is available, it is not used, where appropriate.	Where relevant, objectively verified traditional, fisher or community knowledge is available, it is insufficiently used, where appropriate.	Where relevant, objectively verified traditional, fisher or community knowledge is available, it is moderately used, where appropriate.	Where relevant, objectively verified traditional, fisher or community knowledge is available, it is used effectively , where appropriate.
Lacking in all EPs.	Lacking in two EPs.	Lacking in one EP.	All EPs are met.
<p>Evaluation Parameters (EPs):</p> <p>General Note: If no relevant traditional, fisher, or community knowledge exists or it is not objectively verified, then this clause should be scored as NOT APPLICABLE.</p> <ul style="list-style-type: none"> • Framework or Process: Where appropriate, there are processes to make effective use of any relevant objectively verified relevant traditional, fisher or community knowledge. These processes include documentation indicating the method of collection, verification and utilization. • Implementation and Effectiveness: Traditional fisher knowledge is used, where appropriate, provided it is objectively verified. Note that such information may have been integrated within the overall system historically through meetings with various stakeholders, advancement of fishing practices, the evolution of fishery management, through various regulation and legislation, and other such means. Describe the use of such information accordingly. • Evidence Basis: Evaluate quality and adequacy of the available evidence. Examples of evidence may include, but are not limited to, meeting minutes, documented interviews, questionnaire surveys, logbook data, various fisheries reports, community status reports, etc. 			

3.6. – Supporting Clause 6

Where appropriate, scientific observer schemes and surveys or alternative objective methods shall be used to both generate data and verify understanding.

(FAO CCRF (1995) 8.4.3)

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformity)
No scientific observer schemes and surveys or alternative objective methods are used to both generate data and verify understanding, where appropriate.	Insufficient use of scientific observer schemes and surveys or alternative objective methods are used to generate data and verify understanding, where appropriate.	Moderate use of scientific observer schemes and surveys (or alternative objective methods) are used to generate data and verify understanding, where appropriate.	Effective use of scientific observer schemes and surveys or alternative objective methods are used to both generate data and verify understanding, where appropriate.
Lacking in all EPs.	Lacking in two EPs.	Lacking in one EP.	All EPs are met.
<p>Evaluation Parameters (EPs):</p> <ul style="list-style-type: none"> • Framework or Process: Where appropriate, there are established observer schemes and survey programs or alternative objective methods to generate data and verify understanding. Concurrent with fishery dependent data, information derived from surveys shall be used for the assessment of the species in question. An observer program may or may not be present. If an observer program is not present, the Assessment Team shall document how other sources of information make up for it in ensuring that all required data for fisheries management is available. • Implementation and Effectiveness: Data produced by data collection system(s) is considered appropriate for management of the fishery resource. If an observer program is not present the Assessment Team shall document how other sources of information make up for it in ensuring that all required data for fisheries management is available. If an observer program is available, the team shall provide evidence for the data collected and its effectiveness within the overall framework of fisheries management. • Evidence Basis: Evaluate quality and adequacy of the available evidence. Examples of evidence may include, but are not limited to, observer, survey, stock assessment or other reports, etc. 			

3.7. – Supporting Clause 7

In the absence of specific information on the stock(s) under consideration, generic evidence based on similar stocks can be used for fisheries with low risk. However, the greater the risk the more specific evidence is necessary to ascertain the sustainability of intensive fisheries.

(FAO CCRF (1995) 7.5.2; FAO Eco (2009) 30.4)

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformity)
In the absence of specific information on the stock(s) under consideration, there is no use of generic information.	In the absence of specific information on the stock(s) under consideration, there is insufficiently effective use of generic information.	In the absence of specific information on the stock(s) under consideration, there is moderately effective use of generic information.	In the absence of specific information on the stock(s) under consideration, there is effective use of generic information.
Lacking in all EPs.	Lacking in two EPs.	Lacking in one EP.	All EPs are met.
<p>Evaluation Parameters (EPs):</p> <p>General Note: If there is sufficient specific information available and, therefore, there is no need to use generic evidence based on similar stocks, then this clause should be scored as NOT APPLICABLE.</p> <ul style="list-style-type: none"> • Framework or Process: In the absence of specific information on the stock(s) under consideration, generic evidence based on similar stocks is used for fisheries with low risk. When using generic evidence, the risks associated with doing so are considered. If specific evidence on the stock(s) is available, then this clause can be scored with full conformance. If not, describe the process employed to adapt information from one stock to the stock(s) under consideration and the precautionary measures taken to ensure proper applicability. • Implementation and Effectiveness: Where specific information on the stock(s) under consideration is not available generic evidence based on similar fishery situations has been used in its stead. Based on the risk of severe adverse impact, the information shall be more precise with increasing risk. For example, keystone species or species with relative low growth rates, high catchability can be considered high risk. If the application of less elaborate methods of stock assessment results in greater uncertainty about the state of the stock(s) under consideration, more precaution must be applied in managing fisheries on such stocks. This may, for example, necessitate lower levels of utilization of the resource than would be possible with lower levels of uncertainty. • Evidence Basis: Evaluate quality and adequacy of the available evidence. Examples of evidence may include, but are not limited to, various stock and ecosystems assessment reports, etc. 			

3.8. – Supporting Clause 8

The assessment shall include an appraisal of the stock status and harvest rate relative to target and limit reference points, substitutes or proxies that can demonstrably act in a similar way.
(FAO CCRF (1995) 7.5.3; FAO Eco (2009) 29.2)

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformity)
No measurement of the position of the fishery in relation to the reference points, substitutes or proxies.	Insufficiently clear measurement of the position of the fishery in relation to the reference points, substitutes or proxies.	Moderately clear measurement of the position of the fishery in relation to the reference points, substitutes or proxies.	The assessment includes an effective appraisal of the stock status and harvest rate relative to target and limit reference points, substitutes or proxies that can demonstrably act in a similar way.
Lacking in <i>all</i> EPs.	Lacking in <i>two</i> EPs.	Lacking in <i>one</i> EP.	All EPs are met.
<p>Evaluation Parameters (EPs):</p> <ul style="list-style-type: none"> • Framework or Process: There is appraisal of stock status and harvest rate against management targets. Describe the most recent assessment process with due regard to the historical information about the stock(s), the fishery and its management. • Implementation and Effectiveness: There is a good level of confidence in appraisals of stock status and harvest rate against management-elected targets. Describe the outputs of the stock assessment process and the confidence of these outputs. Provide an evaluation of how data on fishing mortality and stock biomass, or the relevant proxies or metric adopted for the stock(s) meet management targets as selected in the FMP or other management framework. • Evidence Basis: Evaluate quality and adequacy of the available evidence. Examples of evidence may include, but are not limited to, historical trends, indices of abundance, stock assessment reports, FMPs, etc. 			

3.9. – Supporting Clause 9

The nominated scientific institutions shall use best available scientific evidence, advice, and/or objectively verified information as a basis to inform stock assessment and provide advice on the objectives of fisheries management including:

(FAO CCRF (1995) 7.5.3, 7.2.2e 12.13; FAO Eco (2009) 29.2b, 30)

- (i) Management targets consistent with achieving maximum sustainable yield (MSY) or a suitable proxy on average, or a lesser fishing mortality if that is optimal in the circumstances of the fishery (e.g. multispecies fisheries) or to avoid severe adverse impacts on dependent predators, taking into consideration relevant economic, social, or ecological factors.

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformity)
<p>There are no management targets consistent with achieving MSY or a suitable proxy on average, or a lesser fishing mortality if that is optimal in the circumstances of the fishery (e.g. multispecies fisheries) or to avoid severe adverse impacts on dependent predators, taking into consideration relevant economic, social, or ecological factors.</p>	<p>There are management targets established but they are considered insufficiently consistent with achieving MSY or a suitable proxy on average, or a lesser fishing mortality if that is optimal in the circumstances of the fishery (e.g. multispecies fisheries) or to avoid severe adverse impacts on dependent predators, taking into consideration relevant economic, social, or ecological factors.</p>	<p>There are management targets established but they are considered only moderately consistent with achieving MSY or a suitable proxy on average, or a lesser fishing mortality if that is optimal in the circumstances of the fishery (e.g. multispecies fisheries) or to avoid severe adverse impacts on dependent predators, taking into consideration relevant economic, social, or ecological factors.</p>	<p>There are management targets established that are expected to be effective in achieving MSY or a suitable proxy on average, or a lesser fishing mortality if that is optimal in the circumstances of the fishery (e.g. multispecies fisheries) or to avoid severe adverse impacts on dependent predators, taking into consideration relevant economic, social, or ecological factors.</p>
Lacking in all EPs.	Lacking in two EPs.	Lacking in one EP.	All EPs are met.
<p>Evaluation Parameters (EPs):</p> <ul style="list-style-type: none"> • Framework or Process: Management targets (biomass/fishing mortality reference points) or proxies (e.g. survey abundance index, CPUE, etc.) have been established. The Assessment Team shall consult information contained in the FMP and/or stock assessment and describe what management targets have been adopted and their scientific basis. • Implementation and Effectiveness: The management target is considered effective in its function and the stock is either close to or at the management target. Describe the effectiveness of the management target in helping maintaining the stock within safe limits. Management targets take into account the particular circumstances of the fishery (e.g. multispecies fisheries). Risks of adverse impacts on dependent predators and relevant economic, social, or ecological factors are taken into consideration. • Evidence Basis: Evaluate quality and adequacy of the available evidence. Examples of evidence may include, but are not limited to, stock assessment reports, FMPs, other research work, etc. 			

- (ii) The application of specific limits or directions in key performance indicators, consistent with avoiding recruitment overfishing or other impacts that are likely to be irreversible or very slowly reversible, and specification of the actions to be taken if the limits are approached or the desired directions are not achieved.

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformity)
There are no formalized limit reference points or directions in key performance indicators are specified, consistent with avoiding recruitment overfishing or other impacts that are likely to be irreversible or very slowly reversible, and there is no specification of actions to be taken if the limits are approached or the desired directions are not achieved.	Insufficiently formalized limit reference points or directions in key performance indicators are specified, consistent with avoiding recruitment overfishing or other impacts that are likely to be irreversible or very slowly reversible and there is insufficient specification of actions to be taken if the limits are approached or the desired directions are not achieved.	Moderately formalized limit reference points or directions in key performance indicators are specified, consistent with avoiding recruitment overfishing or other impacts that are likely to be irreversible or very slowly reversible or there is moderate specification of actions to be taken if the limits are approached or the desired directions are not achieved.	Effectively formalized limit reference points or directions in key performance indicators are specified, consistent with avoiding recruitment overfishing or other impacts that are likely to be irreversible or very slowly reversible, and there is clear specification of actions to be taken if the limits are approached or the desired directions are not achieved.
Lacking in all EPs.	Lacking in two EPs.	Lacking in one EP.	All EPs are met.

Evaluation Parameters (EPs):

General Note: In some jurisdictions the terminology used to define limit and target reference points may be different, and Assessment Teams should be aware of this when conducting assessments.

- **Framework or Process:** There is a process in place for setting appropriate limit reference points/or directions in key performance indicators consistent with avoiding recruitment overfishing or other impacts that are likely to be irreversible or very slowly reversible. Describe how the limit reference points/proxies are set along with their scientific basis. There are defined process/actions to be taken if the limits are approached or the desired directions are not achieved.
- **Implementation and Effectiveness:** The limit reference point or directions in key performance indicators are considered to have a well-based expectation of success. An appropriate limit reference point shall be consistent with avoiding recruitment overfishing or other impacts that are likely to be irreversible or very slowly reversible. When a limit reference point is approached, there are measures taken to ensure that it will not be exceeded. For instance, if fishing mortality or its proxy is above the associated limit reference point, actions are taken to decrease the fishing mortality or its proxy below that limit reference point/proxy.
- **Evidence Basis:** Evaluate quality and adequacy of the available evidence. Examples of evidence may include, but are not limited to, stock assessment reports, FMPs, etc.

(iii) Accordingly: the stock(s) under consideration shall not be overfished if it is above the associated limit reference point or its proxy.

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformity)
The stock(s) under consideration is (are) considered overfished and corrective action(s) is (are) not in place	There is insufficient information showing that the stock(s) under consideration is (are) not overfished and above the associated limit reference point or its proxy OR the stock(s) under consideration is (are) considered overfished but there is (are) corrective action(s) in place.	There is moderate information showing that the stock(s) under consideration is (are) not overfished and above the associated limit reference point or its proxy OR the stock(s) under consideration is (are) considered overfished but there is (are) corrective actions(s) in place.	There is effective information resulting in high confidence that the stock(s) under consideration is (are) not overfished and highly likely to be above the associated limit reference point or its proxy.
Lacking in all EPs.	Lacking in two EPs.	Lacking in one EP.	All EPs are met.
<p>Evaluation Parameters (EPs):</p> <p>General Note: In some jurisdictions the terminology used to define limit and target reference points may be different, and Assessment Teams should be aware of this when conducting assessments.</p> <ul style="list-style-type: none"> • Framework or Process: There is a system/process measuring the status of the stock in relation to its associated limit reference point or its proxy. Describe as for stock assessment output, if the stock is measured against the chosen reference points. • Implementation and Effectiveness: The stock is at or above the limit reference point (or its proxy). To be effective, reference points must be incorporated within a framework of decision rules to ensure that the stock does not fall below a limit, B_{lim}, at which recruitment could be significantly impaired, or lead to average recruitment that is significantly lower than it would be with a higher stock biomass. The level of B_{lim} should be set on the basis of historical information, applying an appropriate level of precaution according to the reliability of that information. In addition, an upper limit should be set on fishing mortality, F_{lim}, which is the fishing mortality rate that, if sustained, would drive biomass down to the B_{lim} level. If the stock is below the limit reference point it can be considered overfished. The overfished status can be due to anthropogenic or environmental pressure (causing reduced productivity), but once below limit, recruitment can be considered impaired and the stock overfished. If this is the case, a non-conformance will be issued here and corrective action will be requested from the client. • Evidence Basis: Evaluate quality and adequacy of the available evidence. Examples of evidence may include, but are not limited to, stock assessment reports or FMPs, etc. 			

(iv) If fishing mortality or its proxy is above the associated limit reference point, actions shall be taken to decrease the fishing mortality or its proxy below that limit reference point.

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformity)
No actions are taken to decrease the fishing mortality or its proxy below that of limit reference point.	Insufficient or insufficiently effective actions are taken to decrease the fishing mortality or its proxy below that of limit reference point.	Moderate or moderately effective actions are taken to decrease the fishing mortality or its proxy below that of limit reference point.	If fishing mortality or its proxy is above the associated limit reference point, effective actions are taken to decrease the fishing mortality or its proxy below that limit reference point.
Lacking in all EPs.	Lacking in two EPs.	Lacking in one EP.	All EPs are met.
<p>Evaluation Parameters (EPs):</p> <p>General Note: In some jurisdictions the terminology used to define limit and target reference points may be different, and Assessment Teams should be aware of this when conducting assessments.</p> <ul style="list-style-type: none"> • Framework or Process: There are agreed processes/systems/actions that will be taken should analysis show fishing mortality or its proxy in excess of associated reference points. Define the harvest control rule/process in place that trigger actions to ensure fishing mortality is not above limit reference point or proxy. The harvest control rule shall be proactive (i.e. routine assessment updates that ensure overfishing is avoided on a year-to-year basis) as opposed to reactive, in maintaining the stock above the limit reference point or proxies. • Implementation and Effectiveness: The HCR (harvest control rule) shall be effective at maintaining the stock at acceptable biological levels. Where these have been surpassed the HCR should allow for the effective reduction of fishing mortality or its proxy to assist in the rebuilding of the stock to above these levels. Define where fishing mortality is in relation to its limit reference point. If fishing mortality is above limit, there must be established management measures or processes detailing what actions will be taken to return fishing mortality below that limit reference point, within reasonable specified timeframes. • Evidence Basis: Evaluate quality and adequacy of the available evidence. Examples of evidence may include, but are not limited to, stock assessment reports or FMPs, etc. 			

(v) In the event that evidence shows that biomass falling well below target levels, management measures shall allow for restoration within reasonable time frames, relevant to the life history characteristics of the species under consideration.

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformity)
No restoration of the stock back to target levels within a reasonable timeframe, relevant to the life history characteristics of the species under consideration.	Insufficiently effective restoration of the stock back to target levels within a reasonable timeframe, relevant to the life history characteristics of the species under consideration.	Moderately effective restoration of the stock back to target levels within a reasonable timeframe, relevant to the life history characteristics of the species under consideration.	In the event that evidence shows biomass falling well below target levels, management measures allow for the effective restoration within reasonable time frames, relevant to the life history characteristics of the species under consideration.
Lacking in all EPs.	Lacking in two EPs.	Lacking in one EP.	All EPs are met.
<p>Evaluation Parameters (EPs):</p> <p>General Note: In some jurisdictions the terminology used to define limit and target reference points may be different, and Assessment Teams should be aware of this when conducting assessments.</p> <ul style="list-style-type: none"> • Framework or Process: There are agreed process/system/rules that will be taken should analysis indicate that reference points have been exceeded. Detail the agreed process as found in the HCR and FMP to decrease mortality on the target stock, implement other measures (i.e. input, output controls) that may be necessary and allow restoration of the stock biomass to target levels. • Implementation and Effectiveness: The stock biomass should not be well below its target reference point. The HCR should be effective at keeping the stock biomass at acceptable target levels or bringing the stock biomass back to these levels within reasonable timeframes, relevant to the life history characteristics of the species under consideration. Provide evidence for stock status and if it is well below target levels, the harvest control measures shall be on track to rebuild the stock biomass to target levels. • Evidence Basis: Evaluate quality and adequacy of the available evidence. Examples of evidence may include, but are not limited to, stock assessment reports or FMPs, etc. 			

(vi) The structure and composition of the stock(s) under consideration which contribute to its resilience shall be taken into account.

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformity)
The structure and composition of the stock(s) under consideration, which contribute to its resilience is not taken into account.	The structure and composition of the stock under consideration, which contribute to its resilience is insufficiently taken into account.	The structure and composition of the stock(s) under consideration, which contribute to its resilience is moderately taken into account.	The structure and composition of the stock(s) under consideration which contribute to its resilience are effectively taken into account.
Lacking in all EPs.	Lacking in two EPs.	Lacking in one EP.	All EPs are met.
<p>Evaluation Parameters (EPs):</p> <p>General Note: In some jurisdictions the terminology used to define limit and target reference points may be different, and Assessment Teams should be aware of this when conducting assessments.</p> <ul style="list-style-type: none"> • Framework or Process: The structure and composition of the stock(s) under consideration should be considered in the management of the fishery. • Implementation and Effectiveness: Biological unity and biological characteristics shall be interpreted as relating to the stability or resilience of the stock (i.e. its ability to recover from or resist a shock or disturbance, such as the impact of a fishery). The management system must consider the relative ability of the stock to recover from or resist potential negative impacts. Characteristics considered shall include growth, fecundity, reproduction, lifespan, spawning cycle, population dynamics, impact of gear type, and essential habitat needs and availability. • Evidence Basis: Evaluate quality and adequacy of the available evidence. Examples of evidence may include, but are not limited to, the presence of genetic studies, age structure data, or other relevant information relating to structure and composition, etc. 			

C. Management objectives for the stock(s)

C4 – Fundamental Clause 4

The management system shall specify management objectives to achieve optimal utilization² of the resource and ensure that the stock is not overfished³ and that overfishing⁴ is not occurring.

(FAO CCRF (1995) 6, 7.2, 7.3; FAO Eco (2009) 28, 29)

4.1. – Supporting Clause 1

For the stock(s) under consideration, documented management approaches and objectives shall be available, with the intent that management will be successful at delivering objectives for the long-term conservation of the stock(s).

(FAO CCRF (1995) 7.2.1, 7.3.3; FAO Eco (2009) 28.1)

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformity)
For the stock(s) under consideration, documented management approaches and objectives are not available, with the intent that management will be successful at delivering objectives for the long-term conservation of the stock(s).	For the stock(s) under consideration, documented management approaches and objectives are insufficiently available, with the intent that management will be successful at delivering objectives for the long-term conservation of the stock(s).	For the stock(s) under consideration, documented management approaches and objectives are moderately available, with the intent that management will be successful at delivering objectives for the long-term conservation of the stock(s).	For the stock(s) under consideration, documented management approaches and objectives are available, with the intent that management will be successful at delivering objectives for the long-term conservation of the stock(s).
Lacking in <i>all</i> EPs.	Lacking in <i>two</i> EPs.	Lacking in <i>one</i> EP.	All EPs are met.
<p>Evaluation Parameters (EPs):</p> <ul style="list-style-type: none"> • Framework or Process: There is a framework or process that allows the design of conservation and management measures to ensure the long-term sustainability of fishery resources. There shall be a defined process capable of producing an integrated management plan containing the design of conservation and management measures to ensure the long-term sustainability of fishery stocks. • Implementation and Effectiveness: Key management measures designed to ensure the long-term sustainability of fishery resource are documented and available and there is a well-based expectation that management will be successful at delivering objectives for the long-term conservation of the stock. Consideration should be given to environmental drivers when assessing the efficacy of management measures. The FMP and other formal rules and regulations shall support and direct all management measures for responsible management and conservation of the resources in question. • Evidence Basis: Evaluate quality and adequacy of the available evidence. Examples of evidence may include, but are not limited to, reports, FMPs, regulations or other management measures, etc. 			

² See [Glossary of Terms](#) section.

³ See [Glossary of Terms](#) section.

⁴ See [Glossary of Terms](#) section.

4.2. – Supporting Clause 2

In the event of overfishing, there shall be objectives for the management system and actions undertaken to reduce fishing mortality to levels that have been identified as appropriate for high productivity and long-term conservation and implemented in a timely manner.

(FAO CCRF (1995) 7.5.3; FAO Eco (2009) 29.2b, 30.2)

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformity)
<p>In the event of overfishing, there are no objectives for or actions undertaken by the management system to reduce fishing mortality to levels that have been identified as appropriate for high productivity and long-term conservation.</p>	<p>In the event of overfishing, there are insufficiently clear objectives for or insufficiently effective actions undertaken by the management system to reduce fishing mortality to levels that have been identified as appropriate for high productivity and long-term conservation and/or they are not implemented in a timely manner.</p>	<p>In the event of overfishing, there are moderately clear objectives for or moderately effective actions undertaken by the management system to reduce fishing mortality to levels that have been identified as appropriate for high productivity and long-term conservation and/or they are not implemented in a timely manner.</p>	<p>In the event of overfishing, there are objectives for or effective actions undertaken by the management system to reduce fishing mortality to levels that have been identified as appropriate for high productivity and long-term conservation and they are implemented in a timely manner.</p>
<p>Lacking in all EPs.</p>	<p>Lacking in two EPs.</p>	<p>Lacking in one EP.</p>	<p>All EPs are met.</p>
<p>Evaluation Parameters (EPs):</p> <ul style="list-style-type: none"> <p>Framework or Process: Management measures to be undertaken in the event of overfishing occurring have been identified. The Assessment Team shall verify that the objectives and harvest control rule have a well-based expectation of success and are implemented in a timely manner.</p> <p>Implementation and Effectiveness: Management measures or processes to be undertaken in the event of overfishing should clear, identified and documented and there should be a well-based expectation that they will be effective in reducing fishing mortality to levels that have been identified as appropriate for high productivity and long-term conservation. Overfishing/overfished status can be due to anthropogenic or environmental pressure (causing reduced productivity), but once below limit biomass or above fishing mortality limits, the stock can be considered to be overfished and/or overfishing occurring. In the event of overfishing, evidence shall be available of a clear and identifiable objective to reduce fishing mortality to a level appropriate for high productivity and long-term conservation and shall be implemented in a timely manner. This parameter can be considered satisfied if this evidence is available.</p> <p>Evidence Basis: Evaluate quality and adequacy of the available evidence. Examples of evidence may include, but are not limited to, reports, FMPs, regulations or other management measures, etc.</p> 			

4.3. – Supporting Clause 3

In the event that evidence shows biomass falling to levels where recruitment is impaired, there shall be objectives for the management system to allow for restoration of the stocks within reasonable timeframes, relevant to the life history characteristics of the species under consideration to levels that allow for high productivity.

(FAO Eco (2009) 29.2b)

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformity)
There are no objectives for the management system to allow for restoration of the stocks within reasonable timeframes, relevant to the life history characteristics of the species under consideration to levels that allow for high productivity.	There are insufficiently clear objectives for the management system to allow for restoration of the stocks within reasonable timeframes, relevant to the life history characteristics of the species under consideration to levels that allow for high productivity.	There are moderately clear objectives for the management system to allow for restoration of the stocks within reasonable timeframes, relevant to the life history characteristics of the species under consideration to levels that allow for high productivity.	There are clear objectives for the management system to allow for the effective restoration of the stocks within reasonable timeframes, relevant to the life history characteristics of the species under consideration to levels that allow for high productivity.
Lacking in all EPs.	Lacking in two EPs.	Lacking in one EP.	All EPs are met.
<p>Evaluation Parameters (EPs):</p> <ul style="list-style-type: none"> • Framework or Process Management measures, actions and/or processes to be undertaken in the event of biomass falling to levels where recruitment is likely to be impaired are clear, identifiable and documented. There should be evidence from a FMP, or other management framework, or harvest control rule detailing the measures and/or processes to allow for restoration of the stocks within reasonable timeframes, in the case of impaired recruitment. • Implementation and Effectiveness: In the event that recruitment is impaired, there are management processes and measures to allow for the expected restoration of the stock(s) within reasonable timeframes, relevant to the life history characteristics of the species under consideration to levels that allow for high productivity. If the stock is found to be in a state where recruitment is impaired at the time of assessment, there shall be evidence to support a well-based expectation that objectives and measures in place to allow for effective restoration of the stocks within reasonable timeframes, as stipulated in FMPs (or other management framework), regulations, or other management approaches. • Evidence Basis: Evaluate quality and adequacy of the available evidence. Examples of evidence may include, but are not limited to, stock assessment reports, FMPs, other management frameworks, harvest control rules, etc. 			

4.4. – Supporting Clause 4

Short-term considerations shall not compromise the long-term management objectives for conservation and sustainable use of the fisheries resources.

(FAO CCRF (1995) 7.1.1; FAO Eco (2009) 29.4)

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformity)
Short-term considerations do compromise the long-term management objectives, for conservation and sustainable use of the fisheries resources.	Short-term considerations likely compromise the long-term management objectives, for conservation and sustainable use of the fisheries resources.	Short-term considerations are unlikely to compromise the long-term management objectives, for conservation and sustainable use of the fisheries resources.	Short-term considerations do not compromise the long-term management objectives, for conservation and sustainable use of the fisheries resources.
Lacking in all EPs.	Lacking in two EPs.	Lacking in one EP.	All EPs are met.
<p>Evaluation Parameters (EPs):</p> <ul style="list-style-type: none"> • Framework or Process There is a framework or process to establish long-term management objectives, for conservation and sustainable use of the fisheries resources. There is a process or output of a process that shows that short-term consideration does not compromise long-term management objectives. • Implementation and Effectiveness: Long-term management objectives are implemented to allow sustainable use of the fisheries resources so that short-term considerations do not take precedence over them. There shall be effective implementation of long-term management measures for the most important aspects of fishery management. These include routine stock assessment activities, sustainable levels of stock biomass and appropriate exploitation levels. • Evidence Basis: Evaluate quality and adequacy of the available evidence. Examples of evidence may include, but are not limited to, stock assessment reports or FMPs, etc. 			

4.5. – Supporting Clause 5

Accordingly, for the stock(s) under consideration, there shall be defined objectives or goals for the fishery and its long-term sustainable use.

(FAO CCRF (1995) 7.1.1, 7.2.1, 7.2.2, 7.3.3; FAO Eco (2009) 28.2, 29.2b)

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformity)
There are no objectives or goals defined for the fishery and its long-term sustainable use.	There are insufficiently defined objectives or goals for the fishery and its long-term sustainable use.	There are moderately defined objectives or goals for the fishery and its long-term sustainable use.	There are defined objectives or goals for the fishery and its long-term sustainable use.
Lacking in all EPs.	Lacking in two EPs.	Lacking in one EP.	All EPs are met.
<p>Evaluation Parameters (EPs):</p> <ul style="list-style-type: none"> • Framework or Process There is a framework or process to establish long-term management objectives, for conservation and sustainable use of the fisheries resources. • Implementation and Effectiveness: Management objectives and goals are in place with defined objectives or goals for the fishery and its long-term sustainable use. Evidence shall be sought for the presence of effective implementation of long-term management measures for the most important aspects of fishery management. These include routine stock assessment activities, sustainable levels of stock biomass and appropriate exploitation levels. • Evidence Basis: Evaluate quality and adequacy of the available evidence. Examples of evidence may include, but are not limited to, stock assessment reports or FMPs, etc. 			

Stock management objectives may vary and include additional economic and social aspects but must include the following:

- (i) Maintenance of the stock(s) at or above the levels necessary to ensure their continued biological productivity and;

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformity)
Stock management objectives do not include the maintenance of the stock at or above the levels necessary to ensure their continued biological productivity.	Stock management objectives do not sufficiently include the maintenance of the stock at or above the levels necessary to ensure their continued biological productivity.	Stock management objectives include the maintenance of the stock at or above the levels necessary to ensure their continued biological productivity but this inclusion is less than explicit .	Stock management objectives explicitly include the maintenance of the stock at or above the levels necessary to ensure their continued biological productivity.
Lacking in all EPs.	Lacking in two EPs.	Lacking in one EP.	All EPs are met.
<p>Evaluation Parameters (EPs):</p> <ul style="list-style-type: none"> • Framework or Process There is a framework or process to establish long-term management objectives, for conservation and sustainable use of the fisheries resources. • Implementation and Effectiveness: There are clearly laid out objectives to maintain the stock at or above the levels necessary to ensure their continued biological. • Evidence Basis: Evaluate quality and adequacy of the available evidence. Examples of evidence may include, but are not limited to, stock assessment reports, FMPs, etc. 			

(ii) Minimize the impacts of fishing on the physical environment and on non-target species (bycatch⁵) and associated dependent species⁶.

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformity)
Stock management objectives do not include the minimization of the impacts of fishing on the physical environment and on non-target species (bycatch) and associated dependent species.	Stock management objectives do not sufficiently include the minimization of the impacts of fishing on the physical environment and on non-target species (bycatch) and associated dependent species.	Stock management objectives include the minimization of the impacts of fishing on the physical environment and on non-target species (bycatch) and associated dependent species but this inclusion is less than explicit .	Stock management objectives explicitly include the minimization of the impacts of fishing on the physical environment and on non-target species (bycatch) and associated dependent species.
Lacking in all EPs.	Lacking in two EPs.	Lacking in one EP.	All EPs are met.
<p>Evaluation Parameters (EPs):</p> <p>General Note: Refer to Appendix 1 for guidance on relevant non-target species.</p> <ul style="list-style-type: none"> • Framework or Process There is a framework or process to establish long-term management objectives, for conservation and sustainable use of the fisheries resources. • Implementation and Effectiveness: There are clearly laid out objectives to minimize the impacts of fishing on the physical environment and on non-target species (bycatch) and associated dependent species. • Evidence Basis: Evaluate quality and adequacy of the available evidence. Examples of evidence may include, but are not limited to, stock assessment reports or FMPs, etc. 			

⁵ See [Glossary of Terms](#) section.

⁶ See [Glossary of Terms](#) section.

4.6. – Supporting Clause 6

The determination of suitable conservation and management measures shall take account of:

- 1) Total fishing mortality from all sources, including discards, unobserved mortality, incidental mortality, unreported catches and catches in other fisheries either within or outside of the jurisdiction of the management system of the stock under consideration.
- 2) The size and health (structure and resilience to fishing pressure) of the stock under consideration.
- 3) Relevant environmental, biological, technological, economic, cultural, social, and commercial aspects.

(FAO CCRF (1995) 6.3, 6.4, 7.1.1, 7.3.1, 7.6.7; FAO Eco (2009) 29.2b)

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformity)
<p>The determination of suitable conservation and management measures does not take into account:</p> <ol style="list-style-type: none"> 1) total fishing mortality from all sources 2) the size and health (structure & resilience to fishing pressure) of the stock under consideration 3) relevant environmental, biological, technological, economic, cultural, social, and commercial aspects, either within or outside of the jurisdiction of the management system of the stock under consideration. 	<p>The determination of suitable conservation and management measures insufficiently takes into account:</p> <ol style="list-style-type: none"> 1) total fishing mortality from all sources 2) the size and health (structure & resilience to fishing pressure) of the stock under consideration 3) relevant environmental, biological, technological, economic, cultural, social, and commercial aspects, either within or outside of the jurisdiction of the management system of the stock under consideration. 	<p>The determination of suitable conservation and management measures moderately takes into account:</p> <ol style="list-style-type: none"> 1) total fishing mortality from all sources 2) the size and health (structure & resilience to fishing pressure) of the stock under consideration 3) relevant environmental, biological, technological, economic, cultural, social, and commercial aspects, either within or outside of the jurisdiction of the management system of the stock under consideration. 	<p>The determination of suitable conservation and management measures effectively takes into account:</p> <ol style="list-style-type: none"> 1) total fishing mortality from all sources 2) the size and health (structure & resilience to fishing pressure) of the stock under consideration 3) relevant environmental, biological, technological, economic, cultural, social, and commercial aspects, either within or outside of the jurisdiction of the management system of the stock under consideration.
Lacking in all EPs.	Lacking in two EPs.	Lacking in one EP.	All EPs are met.
<p>Evaluation Parameters (EPs):</p> <ul style="list-style-type: none"> • Framework or Process: There is a framework or process to establish long-term management objectives, for conservation and sustainable use of the fisheries resources. A FMP or other management framework shall include all long-term management objectives for the fishery. The totality of management objectives shall be clear and intended at the long-term conservation and management of the stock under consideration taking into account 1), 2) and 3). 			

- **Implementation and Effectiveness:** There are clearly laid out objectives to account for:
 - 1) Total fishing mortality from all sources, including discards, unobserved mortality, incidental mortality, unreported catches and catches in other fisheries, either within or outside of the jurisdiction of the management system of the stock under consideration. The Assessment Team is to ascertain that the key objective for sustainable utilization of marine resources are clearly laid out and lead to a full accounting of all significant sources of mortality. If one or more of the listed sources of mortality is not formally accounted for, evidence shall be provided for the reason. If all major sources of mortality are accounted the parameter can be considered satisfied.
 - 2) There are clearly laid out objectives to account for the size and health (structure and resilience to fishing pressure) of the stock under consideration, either within or outside of the jurisdiction of the management system of the stock under consideration. There shall be evidence, as appropriate that the size and health (structure and resilience to fishing pressure) of the stock under consideration has been taken into account. This can be verified from information available in the FMP and from stock assessment.
 - 3) There are clearly laid out objectives to account for relevant environmental, biological, technological, economic, cultural, social, and commercial aspects, either within or outside of the jurisdiction of the management system of the stock under consideration.
- **Evidence Basis:** Evaluate quality and adequacy of the available evidence. Examples of evidence may include, but are not limited to, stock assessment reports, FMPs, etc.

4.7. – Supporting Clause 7

Management measures shall generally be consistent with achieving Maximum Sustainable Yield (MSY) or a suitable proxy on average, or a yield based on a lesser fishing mortality if that is optimal in the circumstances of the fishery.

(FAO CCRF (1995) 7.2.1, 7.2.2, 7.6.9; FAO Eco (2009) 29.2b, 30.3, 32)

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformity)
<p>Management measures are generally not consistent with achieving MSY or a suitable proxy on average, or a yield based on a lesser fishing mortality if that is optimal in the circumstances of the fishery</p> <p>Lacking in all EPs.</p>	<p>Management targets established but considered insufficiently consistent with achieving MSY or a suitable proxy on average, or a lesser fishing mortality if that is optimal in the circumstances of the fishery.</p> <p>Lacking in two EPs.</p>	<p>Management targets established but considered moderately consistent with achieving MSY or a suitable proxy on average, or a lesser fishing mortality if that is optimal in the circumstances of the fishery.</p> <p>Lacking in one EP.</p>	<p>Management targets are established and are considered consistent with effectively achieving MSY or a suitable proxy on average, or a lesser fishing mortality if that is optimal in the circumstances of the fishery</p> <p>All EPs are met.</p>
<p>Evaluation Parameters (EPs):</p> <ul style="list-style-type: none"> • Framework or Process: There are management measures generally consistent with achieving MSY or a suitable proxy on average, to maintain healthy stocks while not exceeding a safe upper limit of harvest. There shall be clear evidence of a process designed to define levels of exploitation consistent with MSY or a suitable proxy. • Implementation and Effectiveness: The management measures should be considered effective in their function and the stock close to or at MSY level or a suitable proxy (including Optimum Yield where appropriate). If fishing mortality or the related biomass is estimated beyond the management elected reference points, then this parameter is not met. • Evidence Basis: Evaluate quality and adequacy of the available evidence. Examples of evidence may include, but are not limited to, stock assessment reports, FMPs or other framework, other research work, etc. 			

This should take account of (where relevant to the fishery):

- (i) Insufficient data and greater uncertainty of the state of the stock under consideration such that a higher level of precaution is required when defining harvest rates.

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformity)
Management measures are generally not consistent with consideration of insufficient data and greater uncertainty of the state of the stock under consideration such that a higher level of precaution is required when defining harvest rates.	Management measures are insufficiently consistent with consideration of insufficient data and greater uncertainty of the state of the stock under consideration such that a higher level of precaution is required when defining harvest rates.	Management measures are moderately consistent with consideration of insufficient data and greater uncertainty of the state of the stock under consideration such that a higher level of precaution is required when defining harvest rates.	Management measures effectively consider insufficient data and increased uncertainty of the state of the stock(s) under consideration when defining harvest rates, and a higher level of precaution is used when higher uncertainty exists.
Lacking in all EPs.	Lacking in two EPs.	Lacking in one EP.	All EPs are met.
<p>Evaluation Parameters (EPs):</p> <p>General Note: This clause only qualifies if the fishery for the stock under consideration has insufficient data or there is a high degree of uncertainty in regular stock assessment. If not, this clause should be scored as NOT APPLICABLE.</p> <ul style="list-style-type: none"> • Framework or Process: There are management measures that consider data limitations and increased uncertainty when defining harvest rates and prescribe greater levels of precaution in cases of increased uncertainty. The stock assessment process is sufficiently robust to consider potentially insufficient data and/or uncertainty in the state of the stock. • Implementation and Effectiveness: Management measures are deemed effective in their purpose and there is evidence to support this. If there is lack of data and significant uncertainty, the stock assessment shall actively account for it and evidence shall be provided in this regard. • Evidence Basis: Evaluate quality and adequacy of the available evidence. Examples of evidence may include, but are not limited to, stock assessment reports, FMPs, other research work, etc. 			

- (ii) Should take into account the structure and composition of the stock under consideration, which contribute to its resilience.

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformity)
Management measures do not take into account available information on the structure and composition of the stock under consideration, which contribute to its resilience.	Management measures do not sufficiently take into account available information on the structure and composition of the stock under consideration, which contribute to its resilience.	Management measures are moderately effective at taking into account available information on the structure and composition of the stock under consideration, which contribute to its resilience.	Management measures effectively take into account available information on the structure and composition of the stock under consideration, which contribute to its resilience.
Lacking in all EPs.	Lacking in two EPs.	Lacking in one EP.	All EPs are met.
<p>Evaluation Parameters (EPs):</p> <ul style="list-style-type: none"> • Framework or Process: There are management measures that take into account the structure and composition of the stock under consideration, which contribute to its resilience. • Implementation and Effectiveness: Management measures are deemed effective in their purpose and there is evidence to support this. • Evidence Basis: Evaluate quality and adequacy of the available evidence. Examples of evidence may include, but are not limited to, stock assessment reports, FMPs, other research work, etc. 			

C5 – Fundamental Clause 5

A suitable mechanism shall exist to allow the harvest rate to be increased or decreased in accordance with the objectives for achieving maximum sustainable yield or a suitable proxy such as optimal yield, depending on the nature and state of the resource(s) and taking into consideration environmental, social and economic factors.

(FAO CCRF (1995) 7.5, 7.6)

5.1. – Supporting Clause 1

The mechanism for controlling harvest rate shall be identifiable, formally established and implemented in accordance with the best available scientific information.

(FAO CCRF (1995) 7.6.1, 7.6.2, 7.6.3)

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformity)
The mechanism for controlling harvest rate is not identifiable, formally established and implemented in accordance with the best available scientific information.	The mechanism for controlling harvest rate is insufficiently identifiable, formally established and implemented in accordance with the best available scientific information.	The mechanism for controlling harvest rate is moderately identifiable, formally established and implemented in accordance with the best available scientific information.	The mechanism for controlling harvest rate is identifiable, formally established and implemented in accordance with the best available scientific information.
Lacking in all EPs.	Lacking in two EPs.	Lacking in one EP.	All EPs are met.
<p>Evaluation Parameters (EPs):</p> <ul style="list-style-type: none"> • Framework or Process: There are mechanisms for controlling the harvest rate. There is a harvest control rule or process that is clearly identifiable in a FMP or other management framework. • Implementation and Effectiveness: Mechanisms to control the harvest rate are clear and effective. The harvest control rule is implemented and responsible. • Evidence Basis: Evaluate quality and adequacy of the available evidence. Examples of evidence may include, but are not limited to, stock assessment reports, FMPs, other research work, etc. 			

5.2. – Supporting Clause 2

Measures, harvest control mechanisms and associated actions shall be designed for when overfished⁷ conditions are approached and these shall be sufficiently formalized so that management can effectively respond and take action to situations of impaired recruitment, overfishing⁸ or increasing risk of exceeding these or other negative outcomes in a timely manner.
(FAO CCRF (1995) 7.5.3; FAO Eco (2009) 30, 30.1, 30.2)

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformity)
Measures, harvest control mechanisms and associated actions are not designed for when overfished conditions are approached and these are not sufficiently formalized so that management can effectively respond and take action to situations of impaired recruitment, overfishing or increasing risk of exceeding these or other negative outcomes.	Measures, harvest control mechanisms and associated actions are insufficiently designed for when overfished conditions are approached and these are insufficiently formalized so that management can effectively respond and take action to situations of impaired recruitment, overfishing or increasing risk of exceeding these or other negative outcomes in a timely manner.	Measures, harvest control mechanisms and associated actions are moderately well designed for when overfished conditions are approached and these are moderately formalized so that management can effectively respond and take action to situations of impaired recruitment, overfishing or increasing risk of exceeding these or other negative outcomes in a timely manner.	Measures, harvest control mechanisms and associated actions are designed for when overfished conditions are approached and are formalized so that management can effectively respond and take action to situations of impaired recruitment, overfishing or increasing risk of exceeding these or other negative outcomes in a timely manner.
Lacking in all EPs.	Lacking in two EPs.	Lacking in one EP.	All EPs are met.
<p>Evaluation Parameters (EPs):</p> <p>General Note: A fishery in an overfished condition requires a non-conformance to be issued. Prior to the fishery then being certifiable, a corrective action(s) is(are) required to be both proposed by the appropriate authorities and accepted by the Assessment Team as justifying a well-based expectation of successful stock recovery within a specified time period. In addition, a fishery that is not overfished may still receive a non-conformance if there are no objectives in place to manage the fishery in the event of the stock levels falling to a point where the stock is in an overfished state.</p> <ul style="list-style-type: none"> • Framework or Process: Management measures, harvest control mechanisms and associated actions are formalized so that management can effectively respond and take action to situations of impaired recruitment, overfishing or increasing risk of exceeding these or other negative outcomes in a timely manner. Provide the evidence for the existence of clear and formal harvest control rule. • Implementation and Effectiveness: Measures are sufficiently formalized to allow for effective response if overfished or overfishing conditions occur. The stock is currently estimated to be on the sustainable side of the limit reference point (e.g. SSB is above limit reference point, F is below F_{lim}, etc.). The limit reference point or proxy is consistent with avoiding recruitment overfishing and other severe negative impacts on the stock. There are mechanisms/processes in place (e.g. harvest control rule, mechanism 			

⁷See [Glossary of Terms](#) sections

⁸See [Glossary of Terms](#) sections

or process) to ensure that the level of fishing pressure is reduced if the limit reference point is approached or reached, and these mechanisms are consistent with ensuring to a high degree of certainty that the limit reference point will not be exceeded and that actions are taken to decrease the fishing mortality, or its proxy, below that limit reference point. The level of B_{lim} may be set on the basis of historical information, applying an appropriate level of precaution according to the reliability of that information. Historical information may include the combined experience of the fishery. The stock under assessment should not be overfished (as defined by the competent authorities). If it is, corrective action(s) should be in place to restore the stock.

- **Evidence Basis:** Evaluate quality and adequacy of the available evidence. Examples of evidence may include, but are not limited to, stock assessment reports, FMPs or other framework documents, other research work, etc.

D. Precautionary Approach

D6 – Fundamental Clause 6

The precautionary approach shall be implemented for the conservation of the stock under consideration and for avoiding long-term, irreversible or slowly reversible effects on the aquatic environment.

(FAO CCRF (1995) 6.5, 7.5; FAO Eco 2009 29.6, 30.4, 31.4, 32)

6.1. – Supporting Clause 1

Where there is greater uncertainty about the state of the stock(s) under consideration, including new or exploratory stock(s), management shall demonstrate a more precautionary approach to managing the resource appropriate to the available data, including a more conservative fishing mortality.

(FAO CCRF (1995) 7.5.1, 7.5.2, 7.5.4; FAO Eco (2009) 30.4, 31.4, 32)

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformity)
Where there is greater uncertainty about the state of the stock(s) under consideration, including new or exploratory stock(s), management does not demonstrate more precautionary approaches to managing the resource appropriate to the available; including a more conservative fishing mortality.	Where there is greater uncertainty about the state of the stock(s) under consideration, including new or exploratory stock(s), management insufficiently demonstrates more precautionary approaches to managing the resource appropriate to the available; including a more conservative fishing mortality.	Where there is greater uncertainty about the state of the stock(s) under consideration, including new or exploratory stock(s), management moderately demonstrates more precautionary approaches to managing the resource appropriate to the available; including a more conservative fishing mortality.	Where there is greater uncertainty about the state of the stock(s) under consideration, including new or exploratory stock(s), management effectively demonstrates more precautionary approaches to managing the resource appropriate to the available; including a more conservative fishing mortality.
Lacking in all EPs.	Lacking in two EPs.	Lacking in one EP.	All EPs are met.
<p>Evaluation Parameters (EPs):</p> <p>General Note: This clause only qualifies if there is significant level of uncertainty in estimating stock status, total mortality and exploitation levels. If not, this clause should be scored as NOT APPLICABLE.</p> <ul style="list-style-type: none"> • Framework or Process: There is a process in place to recognize uncertainty about the state of the stock under consideration, including new or exploratory stock, and apply more conservative fishing mortality rates, as needed. • Implementation and Effectiveness: Where there is a great degree of uncertainty about the state of the stock under consideration, including new or exploratory stock, management measures (e.g. harvest rates, size limits, etc.) are more conservative. There shall be clear evidence of a conservative harvest rate, ideally below the management-elected reference points if a great degree of uncertainty in the state of the stock (or its exploitation) is thought to occur. • Evidence Basis: Evaluate quality and adequacy of the available evidence. Examples of evidence may include, but are not limited to, stock assessment reports, FMPs, other research work, etc. 			

6.2. – Supporting Clause 2

Uncertainty shall be taken into account through suitable statistical analysis and/or other objective risk-based methods.

(FAO Eco (2009) 29.6)

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformity)
Relevant uncertainties are not taken into account through a suitable method of risk assessment.	Relevant uncertainties are insufficiently taken into account through a suitable method of risk assessment	Relevant uncertainties are moderately taken into account through a suitable Method of risk assessment.	Relevant uncertainties are effectively taken into account through a suitable method of risk assessment.
Lacking in all EPs.	Lacking in two EPs.	Lacking in one EP.	All EPs are met.
<p>Evaluation Parameters (EPs):</p> <ul style="list-style-type: none"> • Framework or Process: There is a process to account for relevant uncertainties through a suitable method of risk assessment. • Implementation and Effectiveness: There is evidence that relevant uncertainties are taken into account through a suitable method of risk assessment. The stock assessment report shall provide evidence of sources and magnitude of relevant uncertainties accounted for through a suitable method of risk assessment. Uncertainty can be related to the estimation of total removals, stock biomass, fishing mortality, reference points, fishing effort or other similar parameters. • Evidence Basis: Evaluate quality and adequacy of the available evidence. Examples of evidence may include, but are not limited to, stock assessment reports, FMPs, other research work, etc. 			

6.3. – Supporting Clause 3

Where substitutes or proxies are implemented, they shall be verifiable through objective methods.

(FAO CCRF (1995) 6.4, 7.1.1, 12.3)

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformity)
Where substitutes or proxies are implemented, they are not verifiable through objective methods.	Where substitutes or proxies are implemented, they are insufficiently verifiable through objective methods.	Where substitutes or proxies are implemented, they are moderately verifiable through objective methods.	Where substitutes or proxies are implemented, they are verifiable through objective methods.
Lacking in all EPs.	Lacking in two EPs.	Lacking in one EP.	All EPs are met.
<p>Evaluation Parameters (EPs):</p> <p>General Note: This clause only qualifies if where substitutes or proxies are used in the management of the fishery. If not, this clause should be scored as NOT APPLICABLE.</p> <ul style="list-style-type: none"> • Framework or Process: Where substitutes or proxies are implemented, they are based on best available scientific evidence, and there is a framework or process to objectively verify them. • Implementation and Effectiveness: There is evidence that substitutes or proxies implemented are objectively defensible. • Evidence Basis: Evaluate quality and adequacy of the available evidence. Examples of evidence may include, but are not limited to, stock assessment reports, past record of fishery performance, FMPs, other research work, etc. 			

6.4. – Supporting Clause 4

Where proxies and substitutes are chosen, they shall be actively implemented within the provisions and management measures, monitored for their effectiveness, and reviewed regularly.

(FAO CCRF (1995) 6.4, 7.1.1, 12.3)

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformity)
Where substitutes or proxies are chosen, they are not actively implemented within the provisions and management measures, monitored for their effectiveness and reviewed regularly.	Where substitutes or proxies are chosen, they are insufficiently implemented within the provisions and management measures, monitored for their effectiveness and reviewed regularly.	Where substitutes or proxies are chosen, they are moderately implemented within the provisions and management measures, monitored for their effectiveness and reviewed regularly.	Where substitutes or proxies are chosen, they are effectively implemented within the provisions and management measures, monitored for their effectiveness and reviewed regularly.
Lacking in all EPs.	Lacking in two EPs.	Lacking in one EP.	All EPs are met.
<p>Evaluation Parameters (EPs):</p> <p>General Note: This clause only qualifies if substitutes or proxies are used within the management of the fishery. If not, this clause should be scored as NOT APPLICABLE. In the context of this clause regularly refers to once every 5 years, as a minimum.</p> <ul style="list-style-type: none"> • Framework or Process: Where appropriate, there is a framework or process to implement chosen substitutes or proxies within the provisions and management measures, to monitor for their effectiveness through regular review. Provide evidence for the monitoring of proxies and substitutes effectiveness in the light of stock performance and conservative fishing mortality against the objectives set out in the FMP (or other management framework). • Implementation and Effectiveness: There is evidence of both suitable proxies being integrated into management actions and frameworks, and their regular review. Provide evidence for the effectiveness of substitutes or proxies in achieving management objectives set out in the FMP (or other management framework). If there is evidence that proxies do not allow for responsive management of the stock(s) under consideration, there should also be evidence of a subsequent review to establish new or improved proxies for responsible management. • Evidence Basis: Evaluate quality and adequacy of the available evidence. Examples of evidence may include, but are not limited to, stock assessment reports, trends analysis, indices of abundance, FMPs, meeting minutes, other research work, etc. 			

6.5. – Supporting Clause 5

The absence of adequate scientific information shall not be used to postpone or fail to take conservation and management actions for the stock(s) under consideration and the environment where there is objective evidence of impaired stock recruitment ability and/or long-term ecosystem impacts.

(FAO CCRF (1995) 7.5.1; FAO Eco (2009) 29.6)

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformity)
<p>The absence of adequate scientific information is typically used as a reason for postponing or failing to take conservation and management actions for the stock(s) under consideration and the environment where there is objective evidence of impaired stock recruitment ability and/or long-term ecosystem impacts.</p>	<p>The absence of adequate scientific information is often used as a reason for postponing or failing to take conservation and management actions for the stock(s) under consideration and the environment where there is objective evidence of impaired stock recruitment ability and/or long-term ecosystem impacts.</p>	<p>The absence of adequate scientific information is sometimes used as a reason for postponing or failing to take conservation and management actions for the stock(s) under consideration and the environment where there is objective evidence of impaired stock recruitment ability and/or long-term ecosystem impacts.</p>	<p>The absence of adequate scientific information is not used as a reason for postponing or failing to take conservation and management actions for the stock(s) under consideration and the environment where there is objective evidence of impaired stock recruitment ability and/or long-term ecosystem impacts.</p>
<p>Lacking in <i>all</i> EPs.</p>	<p>Lacking in <i>two</i> EPs.</p>	<p>Lacking in <i>one</i> EP.</p>	<p>All EPs are met.</p>
<p>Evaluation Parameters (EPs):</p> <ul style="list-style-type: none"> • Framework or Process: There is a framework or process that allows, as far as possible, conservation action to be enacted when absence of adequate information is recognized. Provide evidence of the process that allows for action to be readily taken if information points to impaired stock recruitment and/or long-term ecosystem impacts. • Implementation and Effectiveness: If there is evidence of impaired stock recruitment ability and/or long-term ecosystem impacts, there is evidence of a corresponding management response by the appropriate agency. These conservation and management measures may take the form of an immediate management response or further analysis of the identified risk. The absence of an appropriate and swift management response will fail the positive scoring of this parameter. • Evidence Basis: Evaluate quality and adequacy of the available evidence. Examples of evidence may include, but are not limited to, various data, scientific reports, etc. 			

E. Serious Impacts of the Fishery on the Ecosystem

E7 – Fundamental Clause 7

Adverse impacts of the fishery on the ecosystem shall be appropriately assessed and effectively addressed. Assessment shall be based on best available science, local knowledge where it can be objectively verified and using a suitable risk based management approach appropriate to the data available for determining most probable adverse impacts and taking into account the relevant environmental, economic, technological, social, and cultural aspects.

(FAO CCRF (1995) 6, 7.2, 7.6, 8.4, 8.5, 12; FAO Eco (2009) 31)

7.1. – Supporting Clause 1

The most probable adverse impacts of the fishery on the ecosystem shall be considered, evaluated, and effectively addressed. Evaluation shall be based on best available scientific evidence, advice and/or objectively verified information, including traditional, fisher, and community knowledge.

(FAO CCRF (1995) 6.2, 6.4, 7.2.2(d), 7.2.3; FAO Eco (2009) 31)

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformity)
No accounting of most probable adverse impacts of the fishery on the ecosystem/ environment.	The most probable adverse impacts of the fishery on the ecosystem/ environment are insufficiently considered, evaluated, and addressed based on best available scientific evidence, advice, and/or objectively verified information, including, traditional, fisher, and community knowledge.	The most probable adverse impacts of the fishery on the ecosystem/ environment are moderately considered, evaluated, and addressed based on best available scientific evidence, advice, and/or objectively verified information, including, traditional, fisher, and community knowledge.	The most probable adverse impacts of the fishery on the ecosystem/ environment are effectively considered, evaluated, and addressed based on best available scientific evidence, advice, and/or objectively verified information, including, traditional, fisher, and community knowledge.
Lacking in <i>all</i> EPs.	Lacking in <i>two</i> EPs.	Lacking in <i>one</i> EP.	All EPs are met.
<p>Evaluation Parameters (EPs):</p> <p>General Note: Adverse impacts of the fishery on the ecosystem/environment may include non-target (bycatch) and associated dependent species; ETP species (endangered, threatened, or protected species)⁹ interactions; gear-habitat interactions; food chain interactions; etc.</p> <ul style="list-style-type: none"> • Framework or Process: There are frameworks or processes in place to consider, evaluate and address the most probable adverse impacts of the fishery on the ecosystem/environment. This parameter requires a description of the data collection and analysis processes as carried out by state and federal fishery managers. Data collection shall be established and may include targeted surveys, as well as other reliable methods of collection (e.g. commercial/recreational catch statistics or catches in other fisheries) or where appropriate, generic data from related fisheries. 			

⁹ See [Glossary of Terms](#) section.

- **Implementation and Effectiveness:** There is evidence of appropriate assessments and accounting of adverse impacts of the fishery on the ecosystem/environment. Describe the outputs of the most recent assessments/evaluations of the ecosystem impacts of the fishery in relation to established management objectives/strategies for the ecosystem. Those impacts that are likely to have serious consequences shall be addressed. This may take the form of an immediate management response or further analysis of the identified risk (FAO Eco (2009) 31).
- **Evidence Basis:** Evaluate quality and adequacy of the available evidence. Examples of evidence may include, but are not limited to, stock or ecosystem assessment reports, bycatch analysis, spatial analysis of fishing activity, etc.

7.2. – Supporting Clause 2

In the absence of specific information on the ecosystem impacts of fishing, generic evidence based on similar fishery situations can be used for fisheries with low risk of severe adverse impact using a suitable risk management approach.

(FAO CCRF (1995) 7.5.2; FAO Eco (2009) 31.4)

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformity)
In the absence of specific information, there has been no use of available generic evidence on the ecosystem impact of fishing for the fishery under consideration.	In the absence of specific information, there has been insufficient use of available generic evidence on the ecosystem impact of fishing for the fishery under consideration.	In the absence of specific information, there has been moderate use of available generic evidence on the ecosystem impact of fishing for the fishery under consideration.	In the absence of specific information on the ecosystem impacts of fishing for the fishery under consideration, there is effective use of available generic evidence for fisheries with low risk of severe adverse impact.
Lacking in all EPs.	Lacking in two EPs.	Lacking in one EP.	All EPs are met.
<p>Evaluation Parameters (EPs):</p> <p>General Note: This clause only applies in the absence of specific information. If specific information is available, this clause should be scored as NOT APPLICABLE.</p> <ul style="list-style-type: none"> • Framework or Process: Where specific information on the ecosystem impacts of fishing for the fishery under consideration is not available, generic evidence based on similar fishery situations is used instead. If generic information is to be used, there are systems/processes in place to assess the risk of ecosystem impacts associated with the fishery. • Implementation and Effectiveness: Where appropriate, and in the absence of more specific information, generic evidence based on similar fishery situations has been used to inform management decisions (Note such information). Where generic evidence has been used, it should be assessed based on the spatial location/species/gear type and other key aspects of the fishery for which the data is available and its relatedness to the fishery under consideration. • Evidence Basis: Evaluate quality and adequacy of the available evidence. Examples of generic evidence may include, but are not limited to, ecosystem assessment reports, bycatch analysis, survivability analyses, etc. 			

7.3. – Supporting Clause 3

Where risk is considered greater, more specific evidence of the impacts of the fishery on the ecosystem and its components is required.

(FAO CCRF (1995) 7.5.1, 7.5.2; FAO Eco (2009) 31.4)

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformity)
There is no use of more specific evidence of the impacts of the fishery on the ecosystem and its components, appropriate to the level of risk.	There is insufficient use of more specific evidence of the impacts of the fishery on the ecosystem and its components, appropriate to the level of risk.	There is moderately effective use of more specific evidence of the impacts of the fishery on the ecosystem and its components, appropriate to the level of risk.	The system is effective in using specific evidence of the impacts of the fishery on the ecosystem and its components, appropriate to the level of risk.
Lacking in all EPs.	Lacking in two EPs.	Lacking in one EP.	All EPs are met.
<p>Evaluation Parameters (EPs):</p> <ul style="list-style-type: none"> • Framework or Process: There is a framework or process to evaluate the risk of ecosystem impacts associated with the fishery. There are systems/processes that qualify cases in which more specific evidence of the impacts of the fishery on the ecosystem and its components is required. • Implementation and Effectiveness: More detailed information is required based on the risk of severe adverse impacts. Information shall be more precise with increasing risk. For example, keystone species or species with relative low growth rates, high catchability, or fisheries with significant ETP species/bycatch issues or with important concerns for gear/habitat interactions can be considered high risk. Where generic evidence is used, the relatedness of the data source fishery and the fishery under consideration should be greater for incidences of higher risk. • Evidence Basis: Evaluate quality and adequacy of the available evidence. Examples of evidence may be either specific to the fishery under consideration or generic evidence based on similar fishery situations and may include, but are not limited to, ecosystem assessment reports, bycatch analysis, survivability analyses, etc. 			

7.4. – Supporting Clause 4

With regard to non-target catches; including discards of fish stocks other than the stock(s) under consideration:

(FAO CCRF (1995) 6.2, 8.5.1, 12.4, 12.10; FAO Eco (2009) 31.1)

(i) Non-target stocks shall be monitored to determine the impact exerted by the fishery.

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformity)
Relevant non-target stocks ¹⁰ are not monitored to determine the impacts exerted by the fishery on recruitment overfishing or other impacts that are likely to be irreversible or very slowly reversible.	Relevant non-target stocks, including discards of fish stocks other than the stock(s) under consideration, are insufficiently monitored to determine the impacts exerted by the fishery on recruitment overfishing or other impacts that are likely to be irreversible or very slowly reversible.	Relevant non-target stocks, including discards of fish stocks other than the stock(s) under consideration, are moderately monitored to determine the impacts exerted by the fishery on recruitment overfishing or other impacts that are likely to be irreversible or very slowly reversible.	Relevant non-target stocks, including discards of fish stocks other than the stock(s) under consideration, are effectively monitored to determine the impacts exerted by the fishery on recruitment overfishing or other impacts that are likely to be irreversible or very slowly reversible.
Lacking in all EPs.	Lacking in two EPs.	Lacking in one EP.	All EPs are met.
<p>Evaluation Parameters (EPs):</p> <p>General Note: In the context of the G.U.L.F. RFM certification, relevant non-target catches refers to retained and/or discarded catches of:</p> <ul style="list-style-type: none"> • Managed non-target species (species regulated for commercial, bait, or recreational use) greater than 1% of total catch • Non-managed non-target species greater than 10% of total catch • Other species (e.g. starfish, gastropods etc.) will generally be assessed in conjunction with benthic assemblages provided they are not endangered, threatened or protected species (ETP species). <p>For further guidance on relevant non-target species, refer to Appendix 1.</p> <ul style="list-style-type: none"> • Process: There is a system to monitor relevant non-target stocks (e.g. length composition, abundance, and discard mortality); including discards of fish stocks other than the stock(s) under consideration. Describe the data collection processes carried out by state and federal fishery managers, as appropriate. Data collection shall be established and may include targeted surveys, or other reliable methods of collection (e.g. commercial/recreational catch statistics or catches in other fisheries). • Implementation and Effectiveness: Information and data collected is sufficiently reliable so as to allow appropriate evaluation of the state of the relevant non-target stock. Describe the outputs of the most recent assessments or evaluations of relevant non-target species in relation to the established objectives for their management, as appropriate. Determine if the monitoring system in place is robust enough to ensure that potential impacts of the fishery on non-target stocks are detectable and allows for objective and scientific verification of the risks and outcomes. • Evidence Basis: Evaluate quality and adequacy of the available evidence. Examples of evidence may include, but are not limited to, stock or ecosystem assessment reports, targeted surveys, catch statistics, relevant traditional, fishery, or community knowledge, expert professional knowledge, etc. 			

¹⁰ See Appendix 1.

- (ii) The fishery under consideration shall not threaten these non-target stocks with recruitment overfishing or other impacts that are likely to be irreversible or very slowly reversible and if such impacts arise, effective remedial action shall be taken.

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformity)
Relevant non-target stocks are threatened with recruitment overfishing or other impacts that are likely to be irreversible or very slowly reversible and no remedial actions are taken	Where relevant non-target stocks are likely to be threatened with recruitment overfishing or other impacts that are likely to be irreversible or very slowly reversible there are insufficiently effective remedial actions taken	Where relevant non-target stocks are likely to be threatened with recruitment overfishing or other impacts that are likely to be irreversible or very slowly reversible there are moderately effective remedial actions taken	Relevant non-target stocks are not threatened with recruitment overfishing or other impacts that are likely to be irreversible or very slowly reversible or where they are effective remedial actions are taken.
Lacking in all EPs.	Lacking in two EPs.	Lacking in one EP.	All EPs are met.
<p>Evaluation Parameters (EPs):</p> <p>General Note: For guidance on ‘relevant non-target stocks’ refer to Appendix 1.</p> <ul style="list-style-type: none"> • Framework or Process: There are frameworks or processes to identify threats to relevant non-target stocks such as recruitment overfishing or other impacts that are likely to be irreversible or very slowly reversible. Where the fishery exerts impacts on relevant non-target stocks, remedial actions are taken. • Implementation and Effectiveness: Relevant non-target stocks are not threatened by the fishery under consideration. Where they are, effective and appropriate remedial action is taken by the management organization to reverse these trends. Examples of remedial measures include, but are not limited to, incidental take allowances, bycatch quotas, prohibitions on retention, safe release practices, use of bycatch reduction devices, such as square mesh panels, escape rings/gaps, etc. or practices, such as temporal (e.g. no night fishing/night fishing only) or spatial (e.g. closed areas) restrictions on fishing activity targeting the stock under consideration. • Evidence Basis: Evaluate quality and adequacy of the available evidence. Examples of evidence may include, but are not limited to, stock or ecosystem assessment reports, etc. 			

(iii) The monitoring procedures and activities shall allow for objective and scientific verification of the risks and outcomes.

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformity)
Monitoring procedures and activities are not robust enough to allow for objective and scientific verification of the risks and outcomes.	Monitoring procedures and activities are insufficiently robust to allow for objective and scientific verification of the risks and outcomes.	Monitoring procedures and activities are moderately robust to allow for objective and scientific verification of the risks and outcomes.	Monitoring procedures and activities effectively allow for objective and scientific verification of the risks and outcomes.
Lacking in all EPs.	Lacking in two EPs.	Lacking in one EP.	All EPs are met.
<p>Evaluation Parameters (EPs):</p> <ul style="list-style-type: none"> • Framework or Process: There are frameworks or processes to allow for objective and scientific verification of the risks and outcomes for non-target stocks. • Implementation and Effectiveness: Evaluation of the risks to non-target stocks as a result of the fishery under consideration allow for objective and scientific verification of the risks and outcomes. • Evidence Basis: Evaluate quality and adequacy of the available evidence. Examples of evidence may include, but are not limited to, stock assessments of non-target stocks, ecosystems assessment reports, update reports on rebuilding strategies, risk analyses of impacts of fishery on non-target stocks, etc. 			

7.5. – Supporting Clause 5

With regard to the habitat interaction of the fishery either through direct contact or other indirect effects:

(FAO CCRF (1995) 6.8, 7.2.2(d), 7.6.10, 8.4.7; FAO Eco (2009) 31.3)

- (i) Habitats that are vulnerable to damage by the fishing gear(s) under consideration shall be monitored to determine the risk that the fishery exerts upon their long-term viability.

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformity)
Habitats that are highly vulnerable to damage by the fishing gear(s) under consideration are not monitored to determine the risk that the fishery exerts upon their long-term viability.	Habitats that are highly vulnerable to damage by the fishing gear(s) under consideration are insufficiently monitored to determine the risk that the fishery exerts upon their long-term viability.	Habitats that are highly vulnerable to damage by the fishing gear(s) under consideration are moderately monitored to determine the risk that the fishery exerts upon their long-term viability.	Habitats that are highly vulnerable to damage by the fishing gear(s) under consideration are effectively monitored to determine the risk that the fishery exerts upon their long-term viability.
Lacking in all EPs.	Lacking in two EPs.	Lacking in one EP.	All EPs are met.
<p>Evaluation Parameters (EPs):</p> <ul style="list-style-type: none"> • Framework or Process: There are frameworks or processes in place to monitor habitats that are vulnerable to damage by the fishing. This parameter requires a description of the data collection process as carried out by state and federal fishery managers, as appropriate. • Implementation and Effectiveness: Where appropriate, information on the damage caused to highly vulnerable habitats by the fishing gear(s) used by the fishery under consideration is available. Data may include information specific to the fishery under consideration, as well as other reliable sources such as scientifically published papers on the impacts of the particular gear type in other areas/fisheries. The outputs of the most recent evaluations of habitat impacts are evaluated in relation to established objectives for their management. • Evidence Basis: Evaluate quality and adequacy of the available evidence. Examples of evidence may include, but are not limited to, habitat impact studies, spatial analysis of fishing activity, ecosystems assessment reports, scientific analysis of the impacts of fishing gears, classification and mapping of vulnerable habitats, etc. 			

(ii) Impacts on habitats vulnerable to damage by the fishing gear or protected by legislation must be avoided or minimized through mitigation measures.

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformity)
Impacts on habitats vulnerable to damage by the fishing gear or protected by legislation are not avoided or minimized through mitigation measures.	Impacts on habitats vulnerable to damage by the fishing gear or protected by legislation are insufficiently avoided or minimized through mitigation measures.	Impacts on habitats vulnerable to damage by the fishing gear or protected by legislation are moderately avoided or minimized through mitigation measures.	Impacts on habitats vulnerable to damage by the fishing gear or protected by legislation are effectively avoided or minimized through mitigation measures.
Lacking in all EPs.	Lacking in two EPs.	Lacking in one EP.	All EPs are met.
<p>Evaluation Parameters (EPs):</p> <ul style="list-style-type: none"> • Framework or Process: There are frameworks or processes in place to avoid/minimize impacts on habitats vulnerable to damage by the fishing gear or protected by legislation. Where the fishery exerts impacts on vulnerable habitats, remedial actions are taken. This parameter requires a description of remedial actions taken in the event of vulnerable habitats being threatened by the fishery under consideration. • Implementation and Effectiveness: The fishery under consideration does not threaten vulnerable habitats. Where there is a threat to vulnerable habitats as a result of the fishery, there is information relating to the status of those vulnerable habitats. If vulnerable habitats are threatened by the fishery under consideration, there should be effective and appropriate remedial actions taken by the management organization to mitigate these impacts. Examples of remedial measures include, but are not limited to, spatial restrictions on fishing gears, closed areas, mandatory reporting of interactions with vulnerable habitats, etc. • Evidence Basis: Evaluate quality and adequacy of the available evidence. Examples of evidence may include, but are not limited to, habitat impact studies, spatial analysis of fishing activity, ecosystems assessment reports, scientific analysis of the impacts of fishing gears, classification and mapping of vulnerable habitat, etc. 			

(iii) The monitoring procedures and activities shall allow for objective and scientific verification of the risks and outcomes, including prior to introduction of new fishing gear, and in assessing fishery impacts, the full spatial range of the relevant habitat shall be considered, not just the part of the spatial range that is potentially affected by fishing.

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformity)
<p>The monitoring procedures and activities are not robust enough to allow for objective and scientific verification of the risks and outcomes, including prior to introduction of new fishing gear. In assessing fishery impacts, the full spatial range of the relevant habitat is not considered.</p>	<p>The monitoring procedures and activities are insufficiently robust to allow for objective and scientific verification of the risks and outcomes, including prior to introduction of new fishing gear. In assessing fishery impacts, the full spatial range of the relevant habitat is insufficiently considered.</p>	<p>The monitoring procedures and activities are moderately robust to allow for objective and scientific verification of the risks and outcomes, including prior to introduction of new fishing gear. In assessing fishery impacts, the full spatial range of the relevant habitat is moderately considered.</p>	<p>The monitoring procedures and activities effectively allow for objective and scientific verification of the risks and outcomes, including prior to introduction of new fishing gear. In assessing fishery impacts, the full spatial range of the relevant habitat is effectively considered.</p>
<p>Lacking in all EPs.</p>	<p>Lacking in two EPs.</p>	<p>Lacking in one EP.</p>	<p>All EPs are met.</p>
<p>Evaluation Parameters (EPs):</p> <ul style="list-style-type: none"> <p>Framework or Process: With regard to the direct or indirect habitat impacts of the fishery, there are monitoring procedures to allow for objective and scientific verification of the risks and outcomes, including prior to introduction of new fishing gear. This parameter requires a description of 1) the risk analysis process carried out to determine if the fishery under assessment poses significant risks to the status of vulnerable habitats and 2) where relevant, processes aimed at evaluating the outcome of remedial actions or the introduction of new or modified gears to the fishery.</p> <p>Implementation and Effectiveness: The process for monitoring habitat effects of the fishery considers the full spatial range of relevant habitat not just that area potentially affected by the fishery. Based on the monitoring system in place there should be evidence of evaluation of potential impacts of the fishery on vulnerable habitats and analysis of likely outcomes of any mitigation measures/introduction of new or modified fishing gears.</p> <p>Evidence Basis: Evaluate quality and adequacy of the available evidence. Examples of evidence may include, but are not limited to, habitat impact studies, spatial analysis of fishing activity, ecosystems assessment reports, scientific analysis of the impacts of fishing gears, classification and mapping of vulnerable habitats, etc.</p> 			

7.6. – Supporting Clause 6

With regard to species that have been recognized as endangered, threatened or protected:
(FAO CCRF (1995) 7.2.2(d), 7.6.9; FAO Eco (2009) 31.1)

- (i) Consistent with A1, fishery management systems shall give formal recognition of populations of species identified as endangered, threatened and/or protected (ETP species) in the geographic location of the fishery by international, national or state authorities within the context of the likely risk posed by the fishery under consideration.

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformity)
<p>No formal recognition of populations of species identified as ETP species in the geographic location of the fishery by international, national or state authorities within the context of the likely risk posed by the fishery under consideration.</p>	<p>Insufficient formal recognition of populations of species identified as ETP species in the geographic location of the fishery by international, national or state authorities within the context of the likely risk posed by the fishery under consideration.</p>	<p>Moderate formal recognition of populations of species identified ETP species in the geographic location of the fishery by international, national or state authorities within the context of the likely risk posed by the fishery under consideration.</p>	<p>There is formal recognition of populations of species identified as ETP species in the geographic location of the fishery by international, national or state authorities within the context of the likely risk posed by the fishery under consideration.</p>
<p>Lacking in all EPs.</p>	<p>Lacking in two EPs.</p>	<p>Lacking in one EP.</p>	<p>All EPs are met.</p>
<p>Evaluation Parameters (EPs):</p> <ul style="list-style-type: none"> • Framework or Process: There is a framework or process to formally recognize populations of species identified as ETP species in the geographic area of interest. This parameter requires a description of the processes by which 1) the management system gives formal recognition to ETP species and 2) the likely risk posed by the fishery under consideration are evaluated. • Implementation and Effectiveness: ETP species are appropriately recognized and protected. Levels of protection should be sufficient so as to ensure ETP species are protected from significant adverse impacts as a result of the fishery under consideration. • Evidence Basis: Evaluate quality and adequacy of the available evidence. Examples of evidence may include, but are not limited to, laws and policies regarding ETP species, evidence of their implementation, formal species management plans, evidence of designation of ETP species, etc. 			

(ii) The fishery management system shall act to avoid impact on the populations of ETP species.

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformity)
The fishery management system does not act to avoid impact on the populations of ETP species.	The fishery management system does act, albeit insufficiently , to avoid impact on the populations of ETP species.	The fishery management system does act, albeit moderately , to avoid impact on the populations of ETP species.	The fishery management system acts effectively to avoid impact on the populations of ETP species.
Lacking in all EPs.	Lacking in two EPs.	Lacking in one EP.	All EPs are met.
<p>Evaluation Parameters (EPs):</p> <ul style="list-style-type: none"> • Framework or Process: There is a framework or process that allows for the avoidance of negative impact on the populations of ETP species, therefore allowing their recovery. If there are impacts likely to have serious consequences for populations of ETP species there should be evidence to indicate an appropriate management response would be forthcoming. • Implementation and Effectiveness: Populations of ETP species are not depleted. Where ETP species are depleted, they are recovering as a result of management actions. If populations of ETP species are not recovering the fishery under consideration should not be a significant contributing factor in this (i.e. the fishery should not hinder the recovery of ETP species). • Evidence Basis: Evaluate quality and adequacy of the available evidence. Examples of evidence may include, but are not limited to, laws and policies regarding ETP species, evidence of their implementation, formal rebuilding plans for ETP species, ETP species management plans, etc. 			

(iii) Evaluation and monitoring procedures and activities shall be implemented to determine both the current status of the impact on ETP species caused by the fishery and to monitor the effectiveness of avoidance and mitigation measures that are implemented to minimize further impact on the mortality of those populations of ETP species.

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformity)
Evaluation and monitoring procedures and activities are not implemented to determine both the current status of the impact on ETP species caused by the fishery and to monitor the effectiveness of avoidance and mitigation measures that are implemented to minimize further impact on the mortality of those populations of ETP species.	Evaluation and monitoring procedures and activities are insufficiently implemented to determine both the current status of the impact on ETP species caused by the fishery and to monitor the effectiveness of avoidance and mitigation measures that are implemented to minimize further impact on the mortality of those populations of ETP species.	Evaluation and monitoring procedures and activities are moderately implemented to determine both the current status of the impact on ETP species caused by the fishery and to monitor the effectiveness of avoidance and mitigation measures that are implemented to minimize further impact on the mortality of those populations of ETP species.	Evaluation and monitoring procedures and activities are effectively implemented to determine both the current status of the impact on ETP species caused by the fishery and to monitor the effectiveness of avoidance and mitigation measures that are implemented to minimize further impact on the mortality of those populations of ETP species.
Lacking in all EPs.	Lacking in two EPs.	Lacking in one EP.	All EPs are met.

Evaluation Parameters (EPs):

- Framework or Process:** There are evaluation and monitoring procedures/processes to determine both the current status of the impact on ETP species caused by the fishery and to monitor the effectiveness of avoidance and mitigation measures to minimize further impact on the mortality of those populations of ETP species. If the fishery exerts impacts on ETP species, there should be a process for determining and carrying out remedial actions. This parameter requires a description of 1) monitoring procedures aimed at determining the current status of the fishery’s impact on ETP species and 2) where relevant, there is a process for determining remedial actions to be taken in the event of ETP species being threatened by the fishery under consideration.
- Implementation and Effectiveness:** Evaluation and monitoring procedures are implemented to determine that ETP species are not threatened by the fishery under consideration. If they are, the current status of the of the fishery’s impacts on ETP species is known. If ETP species are threatened by the fishery under consideration, effective and appropriate remedial actions are taken by the management organization to mitigate these impacts and populations are recovering or showing signs of improvements. Examples of remedial measures include, but are not limited to, prohibitions on retaining ETP species, release procedures for ETP species, spatial restrictions on fishing gears, closed areas, mandatory reporting of interactions with ETP species, etc. If ETP species are not recovering in spite of remedial measures there should be evidence that the impacts of the fishery are not a significant cause of this.
- Evidence Basis:** Evaluate quality and adequacy of the available evidence. Examples of evidence may include, but are not limited to, formal recovery plans for ETP species, ETP species management plans, ETP species assessments, etc.

(iv) Monitoring procedures and activities shall be robust enough to allow for objective and scientific verification of the risks and outcomes.

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformity)
Monitoring procedures and activities are not robust enough to allow for objective and scientific verification of the risks and outcomes.	Monitoring procedures and activities are insufficiently robust to allow for objective and scientific verification of the risks and outcomes.	Monitoring procedures and activities are moderately robust to allow for objective and scientific verification of the risks and outcomes.	Monitoring procedures and activities are robust enough to allow for objective and scientific verification of the risks and outcomes.
Lacking in <i>all</i> EPs.	Lacking in <i>two</i> EPs.	Lacking in <i>one</i> EP.	All EPs are met.
<p>Evaluation Parameters (EPs):</p> <ul style="list-style-type: none"> • Framework or Process: There are monitoring procedures/activities in place to allow for objective and scientific verification of the risks and outcomes. This parameter requires a description of 1) the risk analysis process carried out to determine if the fishery under assessment poses significant risks to the status ETP species and 2) where relevant, processes aimed at evaluating the outcome of remedial actions, including rebuilding strategies. • Implementation and Effectiveness: Monitoring procedures and activities allow for objective and scientific verification of risks and outcomes related to protection and recovery of ETP species. Based on the monitoring system in place there should be evidence of evaluation of potential impacts of the fishery on ETP species and analysis of the likely outcomes of any mitigation measures/rebuilding strategies. • Evidence Basis: Evaluate quality and adequacy of the available evidence. Examples of evidence may include, but are not limited to, formal rebuilding plans for ETP species, ETP species management plans, ETP species assessments, etc. 			

7.7. – Supporting Clause 7

The role of the stock under consideration in the food web shall be considered, and if it is a key prey species in the ecosystem, management measures shall be in place to avoid severe adverse impacts on dependent predators.

(FAO CCRF (1995) 6.2, 6.4, 7.2.2(d), 7.2.3; FAO Eco (2009) 30, 31)

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformity)
There is no consideration of the role of the stock under consideration in the food web, and no management measures in place to avoid severe adverse impacts on dependent predators.	There is insufficient consideration of the role of the stock under consideration in the food web, and/or management measures to avoid severe adverse impacts on dependent predators are insufficiently effective.	There is moderately effective consideration of the role of the stock under consideration in the food web, and/or management measures to avoid severe adverse impacts on dependent predators are only moderately effective.	The role of the stock under consideration in the food web is effectively considered, and for a key prey species in the ecosystem, management measures are in place to avoid severe adverse impacts on dependent predators.
Lacking in all EPs.	Lacking in two EPs.	Lacking in one EP.	All EPs are met.
<p>Evaluation Parameters (EPs):</p> <ul style="list-style-type: none"> • Framework or Process: The role of the stock under consideration in the food web is considered, especially if the species is an important prey species in the ecosystem. This parameter requires a description of the processes by which 1) the role of the stock under consideration in the ecosystem is considered and 2) if it is a key prey species, management measures that are in place to avoid severe adverse impacts on dependent predators. • Implementation and Effectiveness: The stock under consideration does not represent a key prey species in the ecosystem and if it does, management measures are in place to avoid severe adverse impacts on dependent predators. The species is effectively considered in regards to food web importance using, for example, more conservative harvest measures (for key prey species) to avoid severe adverse impacts (i.e. prey scarcity) on dependent predators. Data may include information specific to the fishery under consideration, or generic information on ecosystem role of similar species in other areas/fisheries. Describe the outputs of the most recent assessments of ecosystem impacts in relation to established objectives for their management. • Evidence Basis: Evaluate quality and adequacy of the available evidence. Examples of evidence may include, but are not limited to, stock assessments of the stock under consideration and their dependent prey species, ecosystems assessment reports, formal species management plans, etc. 			

7.8. – Supporting Clause 8

Where Gulf States undertake habitat enhancement opportunities through the use of artificially introduced structures, procedures shall be developed, appropriate for the control on the geographic location and navigation safety, material selection and compliance with international conventions.

(FAO CCRF (1995) 8.11)

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformity)
<p>On undertaking habitat enhancement opportunities through the use of artificially introduced structures, procedures are not developed, appropriate for the control on the geographic location, navigational safety, material selection and compliance with international conventions.</p> <p>Lacking in all EPs.</p>	<p>On undertaking habitat enhancement opportunities through the use of artificially introduced structures, insufficiently effective procedures are developed, appropriate for the control on the geographic location, navigational safety, material selection and compliance with international conventions.</p> <p>Lacking in two EPs.</p>	<p>On undertaking habitat enhancement opportunities through the use of artificially introduced structures, moderately effective procedures are developed, appropriate for the control on the geographic location, navigational safety, material selection and compliance with international conventions.</p> <p>Lacking in one EP.</p>	<p>On undertaking habitat enhancement opportunities through the use of artificially introduced structures, effective procedures are developed, appropriate for the control on the geographic location, navigational safety, material selection and compliance with international conventions.</p> <p>All EPs are met.</p>
<p>Evaluation Parameters (EPs):</p> <p>General Note: This clause only qualifies if habitat enhancement is undertaken. If not, this clause should be scored as NOT APPLICABLE.</p> <ul style="list-style-type: none"> • Framework or Process: Procedures are developed to determine the appropriateness of enhancement activities. This parameter requires a description of the processes by which geographic location, navigational safety, material selection and compliance with international conventions are considered when determining the location and scale of enhancement activities. • Implementation and Effectiveness: Where enhancement activities occur, there are procedures in place to control the geographic location, navigational safety, material selection and compliance with international conventions of enhancement activities. Enhancement activities should be appropriate for the location, should not impact navigation, use appropriate materials and comply with international guidelines. • Evidence Basis: Evaluate quality and adequacy of the available evidence. Examples of evidence may include, but are not limited to, impact assessments of enhancement activities, international guidelines on enhancement activities, assessments of outcomes of enhancement activities, etc. 			

7.9. – Supporting Clause 9

In so far as introduction of artificial structures promotes fisheries enhancement, the management system must consider the environmental consequences such as habitat modification and serious or irreversible harm to the natural ecosystem’s structure and function.
(FAO CCRF (1995) 8.11.1)

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformity)
<p>In so far as introduction of artificial structures promotes fisheries enhancement, the management system has not considered the environmental consequences such as habitat modification and serious or irreversible harm to the natural ecosystem’s structure and function.</p> <p>Lacking in all EPs.</p>	<p>In so far as introduction of artificial structures promotes fisheries enhancement, the management system has insufficiently considered the environmental consequences such as habitat modification and serious or irreversible harm to the natural ecosystem’s structure and function.</p> <p>Lacking in two EPs.</p>	<p>In so far as introduction of artificial structures promotes fisheries enhancement, the management system has moderately considered the environmental consequences such as habitat modification and serious or irreversible harm to the natural ecosystem’s structure and function.</p> <p>Lacking in one EP.</p>	<p>In so far as introduction of artificial structures promotes fisheries enhancement, the management system has effectively considered the environmental consequences such as habitat modification and serious or irreversible harm to the natural ecosystem’s structure and function.</p> <p>All EPs are met.</p>
<p>Evaluation Parameters (EPs):</p> <p>General Note: This clause only qualifies if habitat enhancement is undertaken for the benefit of the stock under consideration. If not, this clause should be scored as NOT APPLICABLE.</p> <ul style="list-style-type: none"> • Framework or Process: There is a framework or process in place to determine environmental consequences related to artificial introductions of enhancement material. This parameter requires a description of the processes by which potential environmental effects are considered when determining the location and scale of enhancement activities. • Implementation and Effectiveness: There are currently no environmental consequences such as habitat modification and serious or irreversible harm to the natural ecosystem’s structure and function as a result of fisheries enhancement activities. When considering consequences of enhancement activities the spatial and temporal scales at which the impacts will be felt should be considered. Does the management system ensure environmental consequences of enhancement activities are not beyond acceptable limits? • Evidence Basis: Evaluate quality and adequacy of the available evidence. Examples of evidence may include, but are not limited to, impact assessments of enhancement activities, legislative limits/rules governing enhancement activities, assessments of outcomes of enhancement activities, etc. 			

E8 – Fundamental Clause 8

Where fisheries enhancement is utilized, assessment and monitoring shall consider natural reproductive components of the stock under consideration and ecosystem impacts.

(FAO CCRF (1995) 9.1. 9.3)

8.1. – Supporting Clause 1

Stock introductions and transfers of juveniles from enhancement activities shall be from species that are native to the fishery’s geographic area.

(FAO CCRF (1995) 9.3.1, 9.3.4)

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformity)
The entirety of stock introductions and transfers of juveniles for enhancement activities are from species that <u>ARE NOT</u> native to the fishery’s geographic area.	The majority of stock introductions and transfers of juveniles for enhancement activities are from species that <u>ARE NOT</u> native to the fishery’s geographic area.	Some stock introductions and transfers of juveniles for enhancement activities are from species native to the fishery’s geographic area.	All stock introductions and transfers of juveniles from enhancement activities are from species native to the fishery’s geographic area.
Lacking in all EPs.	Lacking in two EPs.	Lacking in one EP.	All EPs are met.
<p>Evaluation Parameters (EPs):</p> <p>General Note: This clause only qualifies if fishery enhancement is undertaken. If not, this clause should be scored as NOT APPLICABLE.</p> <ul style="list-style-type: none"> • Framework or Process: There is a framework that limits the introduction of non-native species. This parameter requires a description of the processes by which the species and origin of stock introductions and transfers are evaluated. • Implementation and Effectiveness: Introduced species are not used for enhancement. Individuals from outside the geographic range of the stock should not be introduced to the fishery without consideration of the likely impacts on the native stock. • Evidence Basis: Evaluate quality and adequacy of the available evidence. Examples of evidence may include, but are not limited to, impact assessments of introductions/transfers, legislation governing introductions/transfers, etc. 			

8.2. – Supporting Clause 2

Stock assessment shall consider the separate contributions from both natural and enhanced components. Furthermore, the natural reproductive components of the stock under consideration shall be maintained.

(FAO CCRF (1995) 9.3.1, 9.3.4)

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformity)
<p>Stock assessments do not consider the separate contributions from both natural and enhanced components AND the natural reproductive components of the stock under consideration are not maintained. Lacking in all EPs.</p>	<p>Stock assessments insufficiently consider the separate contributions from both natural and enhanced components and/or the natural reproductive components of the stock under consideration are insufficiently maintained. Lacking in two EPs.</p>	<p>Stock assessments moderately consider the separate contributions from both natural and enhanced components and/or the natural reproductive components of the stock under consideration are moderately maintained. Lacking in one EP.</p>	<p>Stock assessments effectively consider the separate contributions from both natural and enhanced components AND the natural reproductive components of the stock under consideration are effectively maintained. All EPs are met.</p>
<p>Evaluation Parameters (EPs):</p> <p>General Note: This clause only qualifies if fishery enhancement is undertaken. If not, this clause should be scored as NOT APPLICABLE.</p> <ul style="list-style-type: none"> • Framework or Process: There is a framework for the evaluation of stocks that effectively considers the separate contributions from both natural and enhanced components and allows for the maintenance of the natural reproductive components of the stock under consideration. This parameter requires a description of the processes by which, 1) the stock assessment considers both components of the stock and 2) evidence of how the natural reproductive components of the stock under consideration are maintained. • Implementation and Effectiveness: There is an assessment of the stock(s) under consideration which takes into account both the natural and enhanced components of the stock separately. There is information that allows for the evaluation of the natural reproductive components of the stock under consideration. • Evidence Basis: Evaluate quality and adequacy of the available evidence. Examples of evidence may include, but are not limited to, impact assessments of introductions/transfers, legislation governing introductions/transfers, etc. 			

8.3. – Supporting Clause 3

As appropriate, the most probable adverse impacts, from enhancement activities, such as disease transfer, genetic diversity of local populations and effects on other ecosystem components in the receiving waters shall be considered.

(FAO CCRF (1995) 9.1.2, 9.1.5, 9.3.3, 9.3.5)

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformity)
As appropriate, the most probable adverse impacts, from enhancement activities, such as disease transfer, genetic diversity of local populations and effects on other ecosystem components in the receiving waters are not considered.	As appropriate, the most probable adverse impacts, from enhancement activities, such as disease transfer, genetic diversity of local populations and effects on other ecosystem components in the receiving waters are insufficiently considered.	As appropriate, the most probable adverse impacts, from enhancement activities, such as disease transfer, genetic diversity of local populations and effects on other ecosystem components in the receiving waters are moderately considered.	As appropriate, the most probable adverse impacts, from enhancement activities, such as disease transfer, genetic diversity of local populations and effects on other ecosystem components in the receiving waters are effectively considered.
Lacking in all EPs.	Lacking in two EPs.	Lacking in one EP.	All EPs are met.
<p>Evaluation Parameters (EPs): General Note: This clause only qualifies if fishery enhancement is undertaken. If not, this clause should be scored as NOT APPLICABLE.</p> <ul style="list-style-type: none"> • Framework or Process: There is a framework or process in place to identify the most probable adverse impacts from enhancement activities, such as disease transfer, genetic diversity of local populations and effects on other ecosystem components in the receiving waters. • Implementation and Effectiveness: The most probable adverse impacts from enhancement activities, such as disease transfer, genetic diversity of local populations and effects on other ecosystem components in the receiving waters as a result of the fishery under consideration are known. As needed, these negative effects are addressed. When considering adverse impacts the spatial and temporal scales at which the impacts will be felt should be considered as well as the status of impacted ecosystem components. If enhancement activities are seen to have adverse impacts there should be effective remedial actions taken at the appropriate scale to mitigate these impacts. • Evidence Basis: Evaluate quality and adequacy of the available evidence. Examples of evidence may include, but are not limited to, impact assessments of enhancement activities, legislative limits/rules governing enhancement activities, assessments of outcomes of enhancement activities, etc. 			

References

1. FAO. Code of Conduct for Responsible Fisheries Rome, FAO. 1995. ISBN 92-5-103834-1
2. FAO. Guidelines for the Ecolabelling of Fish and Fishery Products from Marine Capture Fisheries. Rome/Roma, FAO. 2005 (original release 2005, and Revisions 2009).
3. FAO. Guidelines for the Ecolabelling of Fish and Fishery Products from Inland Capture Fisheries. Rome/Roma, FAO. 2011.
4. FAO. Caddy, J.F. A checklist for fisheries resource management issues seen from the perspective of the FAO Code of Conduct for Responsible Fisheries. *FAO Fisheries Circular*. No. 917. Rome, FAO. 1996. 22p.
5. FAO. Implementation of the International Plan of Action to Prevent, Deter and Eliminate Illegal, Unreported and Unregulated Fishing. FAO Technical Guidelines for Responsible Fisheries No. 9.
6. ISO 14024:1999 Environmental labels and declarations - Type 1 environmental labelling - Principles and Procedures.
7. ISO/IEC Guide 59:1994 Code of Good Practice for Standardization.
8. ISO/IEC 17065:2012 Conformity Assessment – Requirements for certifying products, processes and services
9. ISO/IEC 17067 Conformity Assessment- Fundamentals of product certification and guidelines for product certification schemes
10. Louisiana Wildlife and Fisheries Title 56 of the Louisiana Revised Statutes (As amended through 2010 Regular Session).
11. WTO Technical Barriers to Trade (TBT) Agreement Annex 3 Code of Good Practice for the Preparation, Adoption and Application of Standards, for the Technical Barriers to Trade (TBT) Second Triennial Review Annex 4, Principles for the Development of International Standards, Guides.
12. 1982 United Nations Convention on the Law of the Sea (UNCLOS) (referring to consistency of U.S. Gulf State fisheries with the provisions of UNCLOS).

Glossary of Terms

Where available, definitions were taken directly from the [FAO Term Portal - Fisheries](#).

Assessment Team

Team of impartial, qualified fishery experts (typically three members) responsible for conducting a conformity assessment against a standard. For required qualifications of assessors for the Audubon G.U.L.F. RFM Certification, refer to the Audubon G.U.L.F. RFM Certification Requirements, v. 1. (2016).

Associated Species

Those species that (i) prey upon the target species, (ii) are preyed on by it, (iii) compete with it for food, living space, etc.; or (iv) co-occur in the same fishing area and are exploited (or accidentally taken) in the same fishery or fisheries. These interactions can occur at any stage of the life cycle of one or other species.

Biomass

Or standing stock. The total weight of a group (or stock) of living organisms (e.g. fish, plankton) or of some defined fraction of it (e.g. spawners), in an area, at a particular time.

Bycatch

Part of a catch of a fishing unit taken incidentally in addition to the target species towards which fishing effort is directed. It may be retained for human use or some or all of it may be returned to the sea as discards.

Catchability

In general, the extent to which a stock is susceptible to fishing.

Certification

Procedure by which a third party gives written or equivalent assurance that a product, process or service conforms to specified requirements. Certification may be, as appropriate, based on a range of inspection activities which may include continuous inspection in the production chain.

Corrective Action Plan

Where a non-conformance is assigned by the Assessment Team, and corrective action plan, prepared by the applicant fishery, identifies the actions and activities that will be implemented resulting in achieving full conformance of the fishery to the clause. See page 12 for further details.

CPUE (catch per unit effort)

The quantity of fish caught (in number or in weight) with one standard unit of fishing effort; e.g. number of fish taken per 1000 hooks per day or weight of fish, in tons, taken per hour of trawling.

CPUE is often considered an index of fish biomass (or abundance). Sometimes referred to as catch rate. CPUE may be used as a measure of economic efficiency of fishing as well as an index of fish abundance.

Dependent Species

Species within the food chain (e.g. a predator) which depends heavily on another (e.g. a prey species) for its maintenance. Dependency may also be generated by other factors than predation (e.g. commensalism; habitat).

Destructive Fishing Practices

The use of fishing practices in ways or in places such that one or more key components of an ecosystem are obliterated devastated or ceases to be able to provide essential ecosystem functions.

Discard

To release or return fish to the sea, dead or alive, whether or not such fish are brought fully on board a fishing vessel.

Ecolabelling

In fisheries, ecolabelling schemes entitle a fishery product to bear a distinctive logo or statement which certifies that the fish has been harvested in compliance with conservation and sustainability standards. The logo or statement is intended to make provision for informed decisions of purchasers whose choice can be relied upon to promote and stimulate the sustainable use of fishery resources.

Endangered, Threatened and Protected (ETP) species

Species recognized by U.S. federal and/or state legislation and/or binding international agreements to which the U.S. is party. Binding international agreements as applicable in the jurisdiction of the fishery under consideration.

Enhanced Fisheries

Fisheries that are supported by activities aimed at supplementing or sustaining the recruitment of one or more aquatic species and raising the total production or the production of selected elements of a fishery beyond a level, which is sustainable through existing natural processes.

Evaluation parameter

Criteria used by Assessment Teams for scoring a clause when conducting a conformance assessment for an applicant fishery.

Fishery management plan

An explicit arrangement (contract) between the interested parties and the fisheries management authority which makes explicit the objectives and means of management, the nature of the management authority, its powers and responsibilities, its working and consultation procedures, as well as the rights and responsibilities of the interested parties in the fishery

Fishing capacity

The quantity of fish that can be taken by a fishing unit, for example an individual, community, vessel or fleet, assuming that there is no limitation on the yield from the stock. (FAO, 1997). Usually

expressed in terms of some measure of vessel size, such as gross tonnage, hold capacity, horsepower. Reflects potential rather than nominal fishing effort.

Fishing effort

The amount of fishing gear of a specific type used on the fishing grounds over a given unit of time for example hours trawled per day, number of hooks set per day or number of hauls of a beach seine per day. When two or more kinds of gear are used, the respective efforts must be adjusted to some standard type before being added (FAO, 1997).

Fishing mortality (*F*)

The part of the total mortality rate that is due to fishing. Fishing mortality is usually expressed as an instantaneous rate and can range from 0 per year (for no fishing) to high values such as 1.0 or more per year.

Harvest control rule (HCR)

HCR. A rule that describes how harvest is intended to be controlled by management in relation to the state of some indicator of stock status. For example, a harvest control rule can describe the various values of fishing mortality which will be aimed at for various values of the stock abundance. It formalizes and summarizes a management strategy. Constant catch and constant fishing mortality are two types of simple harvest control rules. (Restrepo 1999). Also referred to sometimes as a harvest strategy or harvest control law.

Incidental catch

A reference to non-target species captured during their attempts to take bait or other species already taken by fishing gear, or taken simply through being in proximity to the gear.

Limit Reference Point

Indicates that the state of a fishery and / or a resource is approaching a target reference point (TRP) or a limit reference point (LRP), and that a certain type of action (usually agreed beforehand) needs to be taken. Fairly similar to a LRP in their utility, the TRP specific purpose is to provide an early warning, reducing further the risk the LRP or TRP are inadvertently passed due to uncertainty in the available information or inherent inertia of the management and industry systems. Adding precaution to the management set-up, they might be necessary only for resources or situations involving particularly high risk.

Managed species

Any species utilized for food or fish products, bait, or recreation, which requires management by a resource agency.

Maximum sustainable yield (MSY)

The highest theoretical equilibrium yield that can be continuously taken (on average) from a stock under existing (average) environmental conditions without affecting significantly the reproduction process.

Non-conformance

A non-conformance is assigned when an applicant fishery does not meet the full requirements of a specific clause of the Standard. See pages 10-11 for details of non-conformance levels.

Optimum Yield

A deliberate melding of biological, economic, social, and political values designed to produce the maximum benefit to society from a stock of fish.

Overfished

A stock is considered overfished when exploited beyond an explicit limit beyond which its abundance is considered "too low" to ensure safe reproduction. In many fisheries for the term is used when biomass has been estimated to be below a limit biological reference point that is used as the signpost defining an "overfished condition". This sign post is often taken as being F_{MSY} but the usage of the term may not always be consistent.

Overfishing

A generic term used to refer to the state of a stock subject to a level of fishing effort or fishing mortality such that a reduction of effort would, in the medium term, lead to an increase in the total catch. Often referred to as overexploitation and equated to biological overfishing, it results from a combination of growth overfishing and recruitment overfishing and occurs often together with ecosystem overfishing and economic overfishing.

(Related terms: **growth overfishing:**

Occurs when too many small fish are being harvested too early, through excessive fishing effort and poor selectivity (e.g. too small mesh sizes) and the fish are not given enough time to grow to the size at which the maximum yield-per-recruit from the stock would be obtained. A reduction of fishing mortality on juveniles, or their outright protection, would lead to an increase in yield from the fishery.)

Precautionary approach

Set of measures taken to implement the Precautionary principle. A set of agreed cost-effective measures and actions, including future courses of action, which ensures prudent foresight, reduces or avoids risk to the resource, the environment, and the people, to the extent possible, taking explicitly into account existing uncertainties and the potential consequences of being wrong.

Proxy/Substitute

A proxy/substitute is a surrogate or substitute approach that results in acceptable outcomes consistent with the primary approach.

Recruitment overfishing

A situation in which the rate of fishing is (or has been) such that annual recruitment to the exploitable stock has become significantly reduced. The situation is characterized by a greatly reduced spawning stock, a decreasing proportion of older fish in the catch, and generally very low recruitment year after year. If prolonged, recruitment overfishing can lead to stock collapse, particularly under unfavorable environmental conditions.

Reference Points

An estimated value derived from an agreed scientific procedure and/or model, which corresponds to a specific state of the resource and of the fishery, and that, can be used as a guide for fisheries management. Reference points may be general (applicable to many stocks) or stock-specific.

Resilience

Capacity of a natural system (fisheries community or ecosystem) to recover from heavy disturbance such as intensive fishing.

Spawning Stock Biomass (SSB)

The total biomass of fish of reproductive age during the breeding season of a stock.

Stock

The part of a fish population which is under consideration from the point of view of actual or potential utilization.

Target Reference Point

Corresponds to a state of a fishery and / or a resource which is considered desirable. Management action, whether during a fishery development or a stock rebuilding process should aim at bringing and maintaining the fishery system at this level. In most cases a TRP will be expressed in a desired level of output for the fishery (e.g. in terms of catch) or of fishing effort or capacity and will be reflected as an explicit management objective for the fishery.

Appendices

Appendix 1: Relevant Non-target Stocks

In the context of the G.U.L.F. RFM program, 'relevant non-target catches' refers to retained and/or discarded catches of:

- Managed non-target species (species regulated for commercial, bait, or recreational use) greater than 1% of total catch
- Non-managed non-target species greater than 10% of total catch
- Other species (e.g. starfish, gastropods, etc.) will generally be assessed in conjunction with benthic assemblages provided they are not endangered, threatened or protected species (ETP).

For relevant non-target stocks, the assessment team is required to consider the effects of the fishery under assessment on managed non-target species comprising greater than 1% of total catch, and those non-managed bycatch species comprising greater than 10% of total catch.

- Consideration of managed non-target species aims primarily at establishing whether the overall effects of fishing on the stock under consideration and all significant removals are accounted for; and that the management strategy and relative measures are effective in maintaining other managed species from experiencing overfishing and other impacts that are likely to be irreversible or very slowly reversible.
- Consideration of non-managed non-target species comprising over 10% of total catch aims primarily at establishing that information is available. An evaluation similar to that performed for relevant managed non-target species is not required, but there shall be some overall evaluation such that a trend can be measured through time. However, if it is suspected or data is available showing that one or more of the relevant non-managed stocks is likely suffering from overfishing or impaired recruitment/productivity, then the effects of the fishery on this stock and its significance shall be evaluated and scored appropriately. Accordingly, related management strategies and measures are effective in maintaining the non-managed species from experiencing overfishing and other impacts that are likely to be irreversible or very slowly reversible.

N.B.: In the case of the Louisiana oyster fishery, catch categorized as non-target species include mainly benthic and other low trophic level, highly abundant species for which there is not a market. Such non-target species shall be subject to different evaluation requirements and may include species such as mussels, gastropods, mud crabs, cryptic fish species, other invertebrates, and fouling organisms. These species do not require the same evaluation (ensuring that neither overfishing nor other impacts that are likely to be irreversible or very slowly reversible are occurring) as do relevant managed and non-managed non-target species, but there should be some overall evaluation so that a trend can be measured through time.

Appendix 2: Background to FAO Documents

Background to the development of the FAO Code of Conduct for Responsible Fisheries (CCRF)

The International Conference on Responsible Fishing, held in 1992 in Cancún (Mexico) requested the Food and Agriculture Organization of the United Nations (FAO) to prepare an international Code of Conduct which would lead to responsible, sustained fisheries worldwide. The outcome of this Conference, particularly the Declaration of Cancún, was an important contribution to the 1992 United Nations Conference on Environment and Development (UNCED), in particular its Agenda 21. Subsequently, the United Nations Conference on Straddling Fish Stocks and Highly Migratory Fish Stocks was convened, to which FAO provided important technical back-up. In November 1993, the Agreement to Promote Compliance with International Conservation and Management Measures by Fishing Vessels on the High Seas was adopted at the Twenty-seventh Session of the FAO Conference. Noting these and other important developments in world fisheries, the FAO Governing Bodies recommended the formulation of a global Code of Conduct for Responsible Fisheries which would be consistent with these instruments and, in a non-mandatory manner, establish principles and standards applicable to conservation, management and development of all fisheries.

The Code, which was unanimously adopted on 31 October 1995 by the FAO Conference, provides a necessary framework for national and international efforts to ensure sustainable exploitation of aquatic living resources in harmony with the environment. The FAO CCRF is voluntary. However, certain parts of it are based on relevant rules of international law, including those reflected in the United Nations Convention on the Law of the Sea of 10 December 1982. The FAO CCRF is global in scope, and is directed toward members and non-members of FAO, fishing entities, sub regional, regional and global organizations, whether governmental or non-governmental, and all persons concerned with the conservation of fishery resources and management and development of fisheries, such as fishers, those engaged in processing and marketing of fish and fishery products and other users of the aquatic environment in relation to fisheries. The FAO CCRF provides principles and standards applicable to the conservation, management and development of all fisheries. It also covers the capture, processing and trade of fish and fishery products, fishing operations, aquaculture, fisheries research and the integration of fisheries into coastal area management. Finally, the reference to U.S. Gulf States includes the European Community in matters within its competence, and the term “fisheries” applies equally to capture fisheries and aquaculture.

Background to the FAO Ecolabelling Guidelines for Fish and Fishery Products from Marine Capture Fisheries

In October 1998, FAO convened a Technical Consultation on the Feasibility of Developing Non-discriminatory Technical Guidelines for Ecolabelling of Products from Marine Capture Fisheries. This consultation identified a number of principles to be observed by ecolabelling schemes:

- be consistent with the FAO Code of Conduct for Responsible Fisheries;
- be voluntary and market-driven;
- be transparent;
- be non-discriminatory, by not creating obstacles to trade and allowing for fair competition;
- establish clear accountability for the promoters of schemes and for the certifying bodies, in conformity with international standards;
- include a reliable auditing and verification process;
- recognize the sovereign rights of U.S. Gulf States and comply with all relevant laws and regulations;
- ensure equivalence of standards among countries;
- be based on the best scientific evidence;
- be practical, viable and verifiable;
- ensure that labels communicate truthful information and provide for clarity

The guidelines draw upon various sources including relevant guides of the International Organization for Standardization (ISO), the WTO Agreement on Technical Barriers to Trade (TBT), in particular, Annex 3 Code of Good Practice for the Preparation, Adoption and Application of Standards, and the work of the International Social and Environmental Accreditation and Labelling (ISEAL) Alliance.

At the recommendation of the Sub-Committee FAO organized a Technical Consultation in October 2004 to finalize the draft guidelines for their consideration by the 26th Session of COFI in March 2005. The COFI Sub-Committee noted the benefits to fisheries managers, producers, consumers and other stakeholders of internationally agreed and widely accepted and applied guidelines that ensure the credibility and trustworthiness of voluntary ecolabelling schemes for fish and fishery products.

The FAO Guidelines for the Ecolabelling of Fish and Fishery Products from Marine Capture Fisheries, as updated in revision 1 of 2009, are applicable to ecolabelling schemes that are designed to certify and promote labels for products from well-managed marine capture fisheries and focus on issues related to the sustainable use of fisheries resources. This in turn was up-dated in the 2011 revision to expand the previous guidelines by including enhanced fishery specific minimum substantive criteria and adopted at the 29th session of the Committee on Fisheries (COFI), Rome 31 Jan-4th Feb 2011.

The Ecolabelling Guidelines sets forth the minimum substantive requirements and criteria for assessing whether a fishery can be certified and an ecolabel awarded to a fishery. Ecolabelling schemes may apply additional or more stringent requirements and criteria related to sustainable use of the resources. The requirements and criteria presented in Ecolabelling Guidelines are to be based on and interpreted in accordance with the current suite of agreed international instruments addressing fisheries, in particular the 1982 UN Convention on the Law of the Sea, the 1995 UN Fish Stocks Agreement and the 1995 Code of Conduct for Responsible Fisheries, as well as related documentation including the 2001 Reykjavik Declaration on Responsible Fisheries in the Marine Ecosystem.