A JURISDICTIONAL APPROACH TO THIRD PARTY CERTIFICATION
Outline of presentation

Summary of WA’s MSC assessment programme

Short summary of MSC process

Results of pre-assessments to date (62 of 125 Units of Certification completed)
WA PROCESS FOR THIRD PARTY CERTIFICATION

- WA government will fund pre-assessments, full assessments and first audit costs

- Pre-assessments are recommended by MSC but are obligatory in the WA project
  - Allows DoF/licence holders to see what issues may exist
  - Highlights information gaps

- Based on advice, pre-assessment findings and completion of Fishery improvement Projects (FIPs) the fishery client may voluntarily decide to proceed to full assessment

- 2012: Fisheries Minister approves MSC as 3rd Party Certifier
- 2012: WA Govt Approves 3rd Party Certification ($14.5 M)
- 2013-2014: Pre-Assessment - obligatory
- FIP? FIP project
- 2013: Decision to proceed - voluntary
- 2013-2016: Full Assessment
### TIMETABLE

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Consolidate Assets to Regional Suites

- Consolidated the 80 stock level risks down to just 9 Regional level Assets (Suite) and risks
- Status of 2-3 indicator species (most vulnerable) determines entire suite level risk
- Similar concept applied to the other trees - ecosystems, habitats, protected species, social and economic, governance.
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<th>P1 Species</th>
<th>Gear</th>
<th>Fishery</th>
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<td>Right redfish (Centroberyx sp.)</td>
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<td>South West Blue Swimmer Crabs</td>
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<td>Warnbro Sound Crab MF</td>
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<td>Trap</td>
<td>SWC (Mandurah to Bunbury) Crab Fishery (Area 1 [Comet Bay] and Area 2 [Coastal Man-Bun])</td>
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<td>West Coast Blue Swimmer Crabs</td>
<td>Blue swimmer crabs</td>
<td>Net</td>
<td>WC Estuarine IMF (Area 1: Swan-Canning)</td>
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<td>Blue swimmer crabs</td>
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<td>Cockburn Sound Crab MF</td>
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<td>Temperate Gillnet and Longline Fisheries</td>
<td>Dusky Shark</td>
<td>Gillnet</td>
<td>WCDDLF + JASDDLF</td>
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<td>WC Salmon Fishery</td>
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<td>SC Estuarine MF (only gillnet)</td>
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<td>Garfish net</td>
<td>Cockburn Sound (Fish Net) MF (1 UoC: garfish net)</td>
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<td>Abrolhos Islands Mid Trawl Managed Fishery</td>
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<td>Windy Harbour-Armed Rock Lobster MF</td>
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<td>South Coast Purse Seine MF (+N/S Developmental Zones)</td>
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<td>Sardine (Scaly mackerel)</td>
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<td>West Coast Purse Seine MF (+N/S Developmental Zones)</td>
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<td>Developing Octopus Fishery (Exemption)</td>
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<td>South Coast Crustaceans (each species going through as 1 UoC - 5 in total)</td>
<td>Western Rock Lobster</td>
<td>Pot</td>
<td>Windy Harbour-Augusta Rock Lobster MF</td>
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**Units of Certification**

West and South Coast
Process for appointing Assessment CABs
MSC Pre and Full Assessment process steps

1. Client decides to proceed with MSC certification and selects independent certification body
2. Pre-assessment undertaken by certification body
3. Confidential pre-assessment report produced
4. Certification body assembles expert team
5. Performance indicators and scoring guideposts developed and fishery assessed against standard
6. Decision to proceed to full assessment
7. Expert team assesses fishery
8. Draft assessment report produced
9. Stakeholder input
10. Peer review and stakeholder comment
11. Final report and determination
12. Stakeholder input
13. Objections procedure
14. Decision on certification
15. Chain of custody assessment
16. Pass
17. Process stops
18. Decision on certification
19. Product from certified fishery carries logo
20. No further action
21. Yes
22. Stakeholder input
23. No further action
The three MSC principles

**PRINCIPLE 1**
A fishery does not lead to over-fishing or depletion of the exploited populations and, for depleted populations the fishery must be conducted in a manner that demonstrably leads to their recovery

**PRINCIPLE 2**
Fishing operations allow for the maintenance of the structure, productivity, function, and diversity of the ecosystem on which the fishery depends.

Includes retained non-target species, bycatch species, endangered, threatened and protected species, habitat and ecosystem

**PRINCIPLE 3**
The fishery is subject to an effective management system (local, national, and international laws and standards) and

Institutional and operational frameworks use the resource responsibly and sustainably
## MSC’s 31 performance indicators

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<th>Management</th>
<th>Performance Indicator</th>
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| Legal and/or customary framework | The management system exists within an appropriate and effective legal and/or customary framework which ensures that it:
- Is capable of delivering sustainable fisheries in accordance with MSC Principles 1 and 2;
- Observes the legal rights created explicitly or established by custom of people dependent on fishing for food or livelihood; and
- Incorporates an appropriate dispute resolution framework. |
| Scoring | SG60 | SG80 | SG100 |
| a. Consistency with laws or standards | The management system is generally consistent with local, national or international laws or standards that are aimed at achieving sustainable fisheries in accordance with MSC Principles 1 and 2. | The management system incorporates or is subject by law to a mechanism for the resolution of legal disputes arising within the system. | The management system incorporates or is subject by law to a transparent mechanism for the resolution of legal disputes which is considered to be effective in dealing with most issues and that is appropriate to the context of the fishery. |
| b. Resolution of disputes | The management system incorporates or is subject by law to a mechanism for the resolution of legal disputes arising within the system. | The management system incorporates or is subject by law to a transparent mechanism for the resolution of legal disputes which is considered to be effective in dealing with most issues and that is appropriate to the context of the fishery. | The management system incorporates or is subject by law to a transparent mechanism for the resolution of legal disputes that is appropriate to the context of the fishery and has been tested and proven to be effective. |
| c. Approach to disputes | Although the management authority or fishery may be subject to continuing court challenges, it is not indicating a disrespect or defiance of the law by repeatedly violating the same law or regulation necessary for the sustainability for the fishery. | The management system or fishery is attempting to comply in a timely fashion with binding judicial decisions arising from any legal challenges. | The management system or fishery acts proactively to avoid legal disputes or rapidly implements binding judicial decisions arising from legal challenges. |
| d. Respect for rights | The management system has a mechanism to generally respect the legal rights created explicitly or established by custom of people dependent on fishing for food or livelihood in a manner consistent with the objectives of MSC Principles 1 and 2. | The management system has a mechanism to observe the legal rights created explicitly or established by custom of people dependent on fishing for food or livelihood in a manner consistent with the objectives of MSC Principles 1 and 2. | The management system has a mechanism to formally commit to the legal rights created explicitly or established by custom on people dependent on fishing for food and livelihood in a manner consistent with the objectives of MSC Principles 1 and 2. |
| e. Monitoring | Sufficient data continue to be collected to detect any increase in risk level (e.g. due to changes in the outcome indicator scores or the operation of the fishery or the effectiveness of the measures). | Information is sufficient to support the development of strategies to manage ecosystem impacts. | |
Scoring PIs and Principles

PIs:
• Each PI must score ≥60, or the fishery fails.
• Any PI that scores ≥60 but <80 is given a condition.
• Any PI that scores ≥80 earns an unconditional pass.
• PIs are normally scored to the nearest five units (60, 65, 70, etc.).

Principles:
• Each Principle must score ≥80 as the weighted average across the PIs within that Principle, or the fishery fails.
• Principle scores are given to the nearest 0.1 units (e.g., 83.2).
MSC’s Two Stage scoring process

MSC sustainability benchmarks and scoring

- High Certainty / Very Low Risk
- Reasonable Certainty / Acceptable Risk
- Min Required Certainty / Max Allowed Risk

Risk / Certainty

- Unconditional Pass
  - Near Perfect
  - Global Best Practice
  - Min Acceptable Limit

- Conditional Pass
  - 80

- Fishery Fails
  - 60

Source: MRAG
Well managed fishery score by MSC Principle
Principle 1
(performance indicator by UoC)

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<tr>
<th>'FIP/FIT' FISHERY</th>
<th>WELL MANAGED FISHERY</th>
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<tr>
<td>Assessment of stock status</td>
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<td>Information and monitoring</td>
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<td>Harvest control rules and tools</td>
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<td>Stock rebuilding</td>
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<td>Stock status</td>
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Principle 2
(performance indicator by UoC)

'FIP/FIT' FISHERY

WELL MANAGED FISHERY

ETP sps. -Information
ETP sps. -Management
ETP sps. -Outcome
Bycatch sps. -Information
Bycatch sps. -Management
Bycatch sps. -Outcome
Retained sps. -Information
Retained sps. -Management
Retained sps. -Outcome
Principle 2
(performance indicator by UoC)

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<td>Ecosystem - Information</td>
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<tr>
<td>Ecosystem - Management</td>
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<td>Ecosystem - Outcome</td>
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<td>Habitat. -Information</td>
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<td>Habitat. -Management</td>
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<td>Habitat. -Outcome</td>
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Principle 3
(performance indicator by UoC)

'FIP/FIT' Fishery

WELL MANAGED FISHERY

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<td>Legal and customary framework</td>
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Current position

• 47 commercial (wild stocks)
• Currently two of four bioregions pre-assessed.
• Last two bioregions pre assessments completed in 2014.
• Full certification started on four fisheries
  two prawn trawl fisheries,
  one crab (pot) fishery and
  one scalefish (net) fishery
Unique aspects of the programme

– Bio-regional approach to assessment groupings

– One recreational fishery full assessment started

– Aquarium fish and shell collection pre assessment to be completed by first quarter 2015.
Western Australian fisheries summary
FISHERIES SUMMARY (1)

- WA coast line length 20 800 kms

- Commercial fisheries generate A$500 million annually (plus A$450 million in related economic activity) creating over 4,300 people directly and some 5,000 people indirectly with jobs

- 600,000 recreational fishers creating over A$570 million and 7000 jobs
FISHERIES SUMMARY (2)

The Western Australian fishing industry comprises:

- a rock lobster industry with an average annual commercial value of about A$300 million.

- a pearl production industry valued at A$95 million per annum.

- a prawn (shrimp) industry valued at A$11 million per annum.

- a scallop industry that varies in value from A$5 million to A$40 million per annum.
## Fisheries production - quantity 2009 - 10
(Au Bureau of statistics)

<table>
<thead>
<tr>
<th>Category</th>
<th>WA tonnes</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Finfish</strong></td>
<td></td>
</tr>
<tr>
<td>All Scalefish</td>
<td>10 445</td>
</tr>
<tr>
<td><strong>Crustaceans</strong></td>
<td></td>
</tr>
<tr>
<td>Prawns</td>
<td>2 790</td>
</tr>
<tr>
<td>Rock lobster</td>
<td>5 947</td>
</tr>
<tr>
<td>Crab</td>
<td>1 238</td>
</tr>
<tr>
<td>Other</td>
<td>103</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td>1 078</td>
</tr>
<tr>
<td><strong>Molluscs</strong></td>
<td></td>
</tr>
<tr>
<td>Abalone</td>
<td>271</td>
</tr>
<tr>
<td>Scallops</td>
<td>2 525</td>
</tr>
<tr>
<td>Other</td>
<td>769</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td>3 565</td>
</tr>
<tr>
<td><strong>Other fisheries production</strong></td>
<td>171</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td>24 259</td>
</tr>
</tbody>
</table>
## Major WA fisheries markets

### 2005-6 to 2011 - 12

<table>
<thead>
<tr>
<th></th>
<th>A$ million</th>
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<tbody>
<tr>
<td>Taiwan</td>
<td>10</td>
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<tr>
<td>Switzerland</td>
<td>10</td>
</tr>
<tr>
<td>China</td>
<td>10.5</td>
</tr>
<tr>
<td>Singapore</td>
<td>14</td>
</tr>
<tr>
<td>Vietnam</td>
<td>20</td>
</tr>
<tr>
<td>USA</td>
<td>24</td>
</tr>
<tr>
<td>Japan</td>
<td>27</td>
</tr>
<tr>
<td>Hong Kong</td>
<td>220</td>
</tr>
</tbody>
</table>
Full assessment priority

• Readiness to undertake full assessment
  • P1
  • P2
  • P3

• Community Impact - Iconic, high value/volume

• Market requirements - TPC Market preference

• Secondary issues

• Capacity to delivery

• Industry commitment
Marine Stewardship Council

Assessment Process

October 2013
The Standard & Process

- Based on 3 principles of stock health, environmental impacts & quality of the management regime
- Aligned with FAO Code of Conduct for Responsible Fisheries
- 3rd Party, Science-Based assessments
- Full Transparency
- Active Stakeholder Engagement
- Independent Peer Review
- Independent Objections
- All reports published
MSC’s Standard for Sustainable Fisheries

3 Core Principles

1. Target stock of fishery is healthy and fishing is at sustainable levels
2. Fishing operation doesn’t adversely affect supporting ecosystem
3. Management systems in place to ensure continuing sustainability
Fishery is assessed and weighted against 3 Principles, 9 Components and 31 Performance Indicators, each of which is scored logically. Out of a potential score of 100, a score of 60 defines the minimum conditional pass mark for each PI, and 80 for each principle.

- **Principle 1: Target species**
  Outcomes – Harvest Strategy

- **Principle 2: Ecosystem**
  Retained Species – By-Catch – ETP Species – Habitat – Ecosystem

- **Principle 3: Management system**
  Governance & Policy – Fishery-Specific Management System
PIs:
• Each PI must score ≥60, or the fishery fails.
• Any PI that scores ≥60 but <80 is given a condition.
• Any PI that scores ≥80 earns an unconditional pass.
• PIs are normally scored to the nearest five units (60, 65, 70, etc.).

Principles:
• Each Principle must score ≥80 as the weighted average across the PIs within that Principle, or the fishery fails.
• Principle scores are given to the nearest 0.1 units (e.g., 83.2).
Assessment Tree Scoring Example

**Principle 1 – Stock**
- Harvest Strategy
- Stock Status
- Reference Points
- Stock Rebuilding
- Assessment of Stock Status
- Harvest Control Rules and Tools
- Information/Monitoring
- Outcome

**Principle 2 – Environment**
- Retained Species
- ETP Species
- Ecosystem
- Outcome
- Mgmt.
- Info.

**Principle 3 – Fishery Management**
- Governance and Policy
- Fishery Mgmt. System
- Legal/Custodial Framework
- Fishery-Specific Objectives
- Consultation, Roles, and Responsibilities
- Decision-Making Processes
- Long-Term Objectives
- Compliance and Enforcement
- Incentives for Sustainable Fishing
- Research Plan
- Monitoring/Management Performance

**Scores**
- ≥80
- 60-79
- <60
Assessment Tree Scoring Example

Principle 1 – Stock
- Stock Status
- Reference Points
- Stock Rebuilding
- Harvest Strategy
  - Harvest Control Rules and Tools
  - Information/ Monitoring
  - Assessment of Stock Status
- Harvest Strategy
- Retained Species
- ETP Species
- Ecosystem

Outcome

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What is a fishery?

• “A unit determined by an authority or other entity that is engaged in raising and/or harvesting fish. Typically, the unit is defined in terms of some or all of the following: people involved, species or type of fish, area of water or seabed, method of fishing, class of boats, and purpose of the activities.” MSC CR & FAO Glossary.

• The unit that is entered into assessment by a fishery client.
What is a unit of certification?

The species... Mackerel

The Method... Longline

The Location...North Sea

The Vessels...English Channel inshore
What is assessed?

Principle 1 - Stock

Principle 2 - Impact

Principle 3 - Management
Fisheries Assessment Process

Pre-assessment - confidential

Team selection & Scoring

Draft Report

Peer Review

Determination

Objections

Decision

Stakeholder input

Full assessment
Fisheries Improvement Projects

MSC Pre-Assessment

NGOs, Donors, Governments & Fisheries

MSC Full Assessment

Fisheries Improvement Projects
MSC Pre-Assessment: Results — in short

- Scope of full assessment & potential certification unit
- Principal stakeholders
- Potential barriers
- Probable consistency with MSC principles & criteria
- Overall probabilities of & barriers to achieving an MSC certification

By-product:
- Disclosing the potential resources (time, labour & funding) required for full assessment
MSC Pre-Assessment: The Benefits

- Exploratory way of identifying conformity with stringent international standards
- Precautionary approach to the costs of assessment and certification
- A (private) statement of intent to move towards environmentally sustainable fisheries and to serve the most environmentally conscious customers/consumers
Thank You

For more information please contact:

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