



WWF

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## Smart Fishing Initiative

# COMPARISON OF WILD-CAPTURE FISHERIES CERTIFICATION SCHEMES



## OUR SMART FISHING VISION AND GOALS

**Vision:** The world's oceans are healthy, well-managed and full of life, providing valuable resources for the welfare of humanity.

**2020 Goals:** The responsible management and trade of four key fishery populations results in recovering and resilient marine ecosystems, improved livelihoods for coastal communities and strengthened food security for the Planet.

WWF is one of the world's largest and most experienced independent conservation organizations, with over 5 million supporters and a global network active in more than 100 countries.

WWF's mission is to stop the degradation of the planet's natural environment and to build a future in which humans live in harmony with nature, by conserving the world's biological diversity, ensuring that the use of renewable natural resources is sustainable, and promoting the reduction of pollution and wasteful consumption.

Written and edited by James Sullivan Consulting  
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# EXECUTIVE SUMMARY

In 2009, WWF commissioned Accenture Development Partnerships (ADP) to carry out and report on an assessment of on-pack wild-capture seafood sustainability certification programs and seafood ecolabels. The purpose of the 2009 study was to benchmark a wide range of seafood sustainability certification and ecolabel programs. A total of 17 such programs were reviewed. This report presents the results of an updated and enhanced analysis of four certification schemes, including the Alaskan Seafood Marketing Institute, the Friend of the Sea, Iceland Responsible Fisheries<sup>1</sup> and the Marine Stewardship Council, all of which have undergone significant changes in their programs and requirements since the publication of the 2009 report.

As the certification and ecolabel programs evaluated in the 2009 report were themselves fairly new, the oldest of which was founded in 1997, it is reasonable to expect that these programs would continue to develop and respond to changes in the growing understanding of how wild fisheries stocks should be best managed, and to the transparency, credibility and accountability expectations held by stakeholders and users of schemes. There is also an increasing expectation that certification schemes—particularly those which have been in existence for a decade or more—are resulting in changes on the water.

This report uses the original criteria included in the 2009 report as well as two new sets of criteria not included in the original Accenture report. These new sets focus on the validation of the programs of the schemes themselves as well as recently developed international consensus-based guidelines for the management of wild fisheries. These new sets of criteria allow us to consider whether or not and to what degree the schemes are responding to changing expectations about how their programs should be managed, how wild fish stocks should be maintained, and the standards to which credible certification schemes should aspire.

The assessment criteria used in this study reflect the priorities of WWF. The priorities of other stakeholders, users or consumers may produce a different set of criteria. This report is not a final or absolute evaluation of the performance or credibility of these schemes. The purpose of this study is to contribute a detailed analysis against one specific set of criteria.

The owners and managers of certification schemes that focus on wild fisheries are under considerable pressure to develop their schemes, improve their documentation, clarify and interpret their requirements, and add new elements that reflect the rapidly changing consensus for both the management of certification schemes and the sustainability of wild fisheries.

This study identified a number of strengths and a number of weaknesses in the four schemes evaluated. The authors of this study note that all of the schemes evaluated have undergone significant changes in their practices, procedures and structures since 2009. The changes include both improvements to systems that existed in 2009 as well as the addition of new requirements and procedures that were in place at the time of the initial ADP analysis.

None of the standards analyzed in this report are in complete compliance with the criteria identified and defined by WWF as crucial to an ecolabel or certification program. The Marine Stewardship Council is the only scheme that was found in this report to be considered compliant with the topic areas in which related criteria are grouped. It should be noted that MSC is not fully compliant with the new ecological criteria in this report.

# DEFINITIONS

TERM	DEFINITION
<b>Accreditation</b>	Procedure by which a competent authority gives formal recognition that a qualified body or person is competent to carry out specific tasks ( <i>FAO Guidelines: 8, based on ISO/IEC Guide 2: 1996, 12.11</i> )
<b>Accreditation body</b>	Body that conducts and administers an accreditation system and grants accreditation ( <i>FAO Guidelines: 9, based on ISO/IEC Guide 2: 1996, 17.2</i> )
<b>Accreditation system</b>	System that has its own rules of procedure and management for carrying out accreditation ( <i>FAO Guidelines: 10, based on ISO/IEC Guide 2: 1996, 17.1</i> )
<b>Assessment criteria</b>	WWF defined sustainable fishing certification criteria
<b>Certification</b>	Procedure by which a third party gives written or equivalent assurance that a product, process or service conforms to specified requirements ( <i>FAO Guidelines: 14, based on ISO Guide 2: 15.1.2</i> )
<b>Certification body</b>	Competent and recognised body that conducts certification. A certification body may oversee certification activities carried out on its behalf by other bodies ( <i>FAO Guidelines: 15, based on ISO Guide 2: 15.2</i> )
<b>Chain of custody</b>	The set of measures designed to guarantee that the product put on the market and bearing the ecolabel logo is actually a product coming from the certified fishery concerned ( <i>FAO Guidelines: 16</i> )
<b>Criterion (criteria)</b>	Variable used in this project to specify performance requirements against which compliance can be assessed
<b>Ecolabel</b>	Mark of approval or certification, usually a product label or scheme logo, that denotes the product meets a specified standard
<b>FAO Guidelines</b>	Guidelines on Ecolabelling of Fish and Fishery Products from Marine Capture Fisheries ( <i>FAO, 2005</i> )
<b>Standard</b>	Document approved by a recognised organisation or arrangement that provides for the common and repeated use, rules, guidelines or characteristics for products or related processes and production methods with which compliance is not mandatory under international trade rules. It may also include or deal exclusively with terminology, symbols, packaging, marking or labelling requirements as they apply to a product, process or production method. ( <i>FAO Guidelines: 22; based on TBT Agreement, Annex 1</i> ) Standard, in these criteria, refers to a standard for certification, including requirements, criteria and performance elements in a hierarchical arrangement. For each requirement, one or more substantive criteria should be defined. For each criterion, one or more performance elements should be provided for use in assessment. ( <i>Based on FAO Guidelines: 22</i> )
<b>Standard setter</b>	Organisation or arrangement that has recognised activities in standard setting ( <i>ISO/IEC Guide 2:1996</i> )
<b>Traceability</b>	Ability to track the movement of a food product through specific stages of production, processing and distribution along the product's supply chain
<b>Third party</b>	Person or body recognised as being independent of the parties involved as concerns the issues in question ( <i>ISO/IEC Guide 2:1996</i> )

# ACRONYMS

ACRONYM	DEFINITION
<b>ADP</b>	Accenture Development Partnerships
<b>ASMI</b>	Alaskan Seafood Marketing Institute
<b>CB</b>	Certification body
<b>COFI</b>	Committee on Fisheries, FAO
<b>EBM</b>	Ecosystem-Based Management
<b>FAO</b>	Food and Agriculture Organization of the United Nations
<b>IMO</b>	International Maritime Organization
<b>ISEAL</b>	International Social and Environmental Accreditation and Labelling Alliance
<b>ISO</b>	International Organisation for Standardisation
<b>MARPOL</b>	International Convention for the Prevention of Pollution From Ships, 1973, as modified by the Protocol of 1978
<b>PET</b>	Protected, endangered or threatened species
<b>RFMO</b>	Regional Fisheries Management Organization
<b>TBT</b>	Technical Barriers to Trade (a WTO agreement)
<b>UN</b>	United Nations
<b>UNCLOS</b>	United Nations Convention on the Law of the Sea
<b>UNFSA</b>	United Nations Fish Stocks Agreement
<b>UNGA</b>	United Nations General Assembly
<b>WTO</b>	World Trade Organization
<b>WWF</b>	World Wide Fund for Nature

# 1. INTRODUCTION

In 2009, WWF commissioned Accenture Development Partnerships (ADP) to carry out and report on an *Assessment of On-Pack, Wild-Capture Seafood Sustainability Certification Programmes and Seafood Ecolabels*<sup>2</sup>. Market-based approach to improving wild-capture fisheries practices, with the goal of restoring stocks and minimizing fisheries related ecosystem impacts, have gained increasing acceptance in the conservation community as well as recognition by consumers. As fisheries are certified or market-based programs initiated, there is an expectation that fishing practices will change and—depending on a biologically appropriate time scale for the stock or ecosystem in question—improvements will be observed.

Since the 2009 report, a number of changes in both policy and practice have occurred. Of greatest interest to WWF are changes to the MSC and Friend of the Sea, as well as the establishment of Global Trust’s Alaskan and Icelandic schemes: the Alaskan Seafood Marketing Institute scheme and Responsible Fisheries Iceland. WWF also has a growing interest in the external validation of assessment results conducted under all the schemes. Validation refers to what is happening “on the water”: the measurable impacts of changes in fisheries management and operations as a result of changes required to achieve and maintain certification.

The analysis reported here builds on the 2009 ADP report and has been conducted with the following objectives:

- provide a clear and independent review of changes to the MSC, Friend of the Sea, Alaskan Seafood Marketing Institute Certification Program and the Iceland Responsible Fisheries Program based on the original criteria used in the ADP report; and,
- evaluate the four schemes against additional criteria for external validation of results and sustainability of certified fisheries based on currently accepted best practices.

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## a. Updating the 2009 ADP Report

Wild fisheries certification schemes are relatively new on the global scene. This is marked by the founding of the Marine Stewardship Council in 1997, and the development of numerous seafood ranking programs and additional certification schemes in the last thirteen years. These schemes have been growing in sophistication for a number of reasons, including in response to market pressures and the evolving understanding of how wild fisheries should be managed, as well as to the need for greater transparency, accountability and verification of certification systems.

Increasing awareness of consumer-facing schemes as well as continued decline of wild fish stocks and marine ecosystem health has lead to numerous academic articles on the efficacy of certification schemes, particularly regarding the success of such schemes in improving fisheries practices and ecosystem outcomes on the water<sup>3</sup>.

This report updates the analysis of the 2009 ADP report by rescoring the original criteria and by adding new criteria in two categories.



### **i. Changes in certification schemes**

Since the 2009 report, *ISO Guide 65*<sup>4</sup>, which lists the requirements for organizations that certify products, processes and services, has been revised. Following the phase-in period it will be replaced by *ISO Guide 17065*<sup>5</sup>. This new document includes an annex titled “Principles for product certification bodies and their certification activities”. This annex clearly lays out a core set of principles that may be used to guide the work of certification bodies (CBs). The addition of this annex is a milestone in better articulating the fundamentals of responsible certification.

The ISEAL Alliance has followed this trend by focusing on the scheme owner, in a process that can complement Annex A in *ISO Guide 17065*. Two key documents are being developed and express codes of practice for accountability and verification. While at the time of this report neither of these has been finalized, they are a clear indication of the direction in which evolving expectations for scheme owners is progressing.

### **ii. Changes in fisheries management**

In the last decade, several initiatives at the international level have influenced fisheries management practices within national waters and through Regional Fisheries Management Organizations (RFMOs). The *United Nations Fish Stocks Agreement* (UNFSA), which came into force in 2001, has been followed by several sustainable fisheries resolutions passed by the United Nations General Assembly (UNGA). Particularly since 2004, the sustainable fisheries resolutions have increasingly influenced fisheries management processes as countries increase their commitment to sustainable fisheries within their territorial seas and in areas beyond national jurisdiction.

These have focused on a series of issues related to the ecosystem impacts of fishing and overfishing. The FAO has held technical consultations to develop practical guidelines for implementation in fisheries management systems. The resulting guidelines, particularly on deep sea fisheries and bycatch, give a clear indication of the deepening understanding of how wild fish stocks should be managed. These include both those stocks that migrate across jurisdictional lines and those in international waters.

These new guidelines present a challenge to certification schemes that must update their standards to be consistent with international best practices. The incorporation of these new guidelines into standards and certification requirements is part of an ongoing updating process. An examination of how well, and to what degree, certification schemes are responding to these new guidelines can provide an opportunity to evaluate the priority each places on remaining current with the best and widely accepted approaches to wild fisheries management.

## 2. SELECTION OF SCHEMES FOR REVIEW

All four of the ecolabelling schemes evaluated in this report have undergone significant changes since the 2009 ADP study. The four schemes selected are:

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### a. Alaska Seafood Marketing Institute

The Alaska Seafood Marketing Institute introduced their third-party, FAO-Based Responsible Fisheries Management Certification Program in September 2011. The Alaska requirements include the *FAO-Based Responsible Fisheries Management Certification Program: Conformance Criteria, Version 1.2 (2011)*<sup>6</sup> and *Responsible Fisheries Management Chain of Custody Standard for Alaska Seafood (2011)*.<sup>7</sup> This third-party certification scheme is the successor to the second-party scheme that was reviewed in the 2009 ADP study.

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### b. Friend of the Sea

Since the 2009 study was completed, Friend of the Sea has updated their scheme requirements including the *Certification and Accreditation Procedure (2009)*<sup>8</sup>, *Friend of the Sea Certification Criteria Checklist for Wild Catch Fisheries (2010)*<sup>9</sup>, and *Friend of the Sea Certification Criteria Checklist for Tuna Purse Seine and Longline Fleets (2010)*.<sup>10</sup>

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### c. Iceland Responsible Fisheries

The Fisheries Association of Iceland announced the Iceland Responsible Fisheries Program in October 2008. It was introduced in September 2011. Core documentation for this program includes *FAO-Based Responsible Fisheries Management Certification Program: Conformance Criteria, Version 1.2 (2011)*<sup>11</sup> and *Responsible Fisheries Management Chain of Custody Specification (2011)*.<sup>12</sup> The program reviewed in this report is the third-party scheme that was being developed at the time of the 2009 study.

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### d. Marine Stewardship Council (MSC)

Since the 2009 study was completed, MSC has revised all of its scheme requirements documentation, and it has standardized the process for ongoing updates. Policy changes have included a consolidation of accreditation and certification requirements (*MSC Certification Requirements, 2012*)<sup>13</sup>, review and revision of the *MSC Chain of Custody Standard (2011)*<sup>14</sup>, the new *MSC Standard Setting Procedure (2011)*<sup>15</sup>, and the introduction of new policies covering forage fisheries and low-trophic level fisheries. MSC is currently consulting on a wide range of policies as part of a process to attempt to ensure that its criteria for assessment represent actual fisheries management measures.

## 3. STUDY APPROACH

This study is based on two major considerations:

- That a credible ecolabelling scheme is fully documented
- That its requirements conform to the documented guidelines of recognized and credible authorities

This project had two main phases:

- I. Criteria review and development
- II. Data gathering and evaluation

The first phase included:

- A review of the ADP criteria
- The development of new criteria for the evaluation of external verification by the schemes
- The development of an additional set of criteria for the evaluation of the sustainability of certified fisheries

These new criteria were developed in cooperation with WWF.

The second phase included:

- Application of the original criteria and the new criteria on external validation to the three schemes identified by WWF
- Invitation to each of the four schemes to participate in this study through a self-assessment tool. This self-assessment tool is included as Annex 1.
- Scoring by the consultant team of the four schemes, taking into consideration information submitted as part of the self assessment
- Comparison of scoring outcomes for the four schemes
- Documentation of observations related to scoring of individual criteria

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### a. Scope and scoring methodology

#### i. Scope

The scope of this study is limited to the geographic areas and wild fisheries included in the scope of each scheme. This means that a criterion that is not relevant to the scope of an individual scheme is not evaluated. For example, the elements of the criteria that address the specific issues in the developing world were not evaluated for the Alaska and Iceland schemes.

#### ii. Scoring

This study applies the scoring methodology developed and applied by ADP in their original study. The same methodology is applied to the additional criteria developed for this study.

The scoring was explained in the ADP report as follows:

### 3.4 SCORING PROCEDURES FOR INDIVIDUAL ECOLABEL SCHEMES

*The following section sets out the scoring procedures for individual ecolabel schemes, explaining the scoring values and how they are applied to each criterion. It also specifies how the criteria which are not scored (because they are outside the scope of the individual scheme which is being assessed) are dealt with. The scoring templates are provided in the annex.*

#### 3.4.1 Scoring scale

*A simple scoring scale has been adopted to enable assessors to distinguish between different levels of compliance with the criteria. The table below sets out the values that should be applied to each of the 103 criteria. Scores may be partial, full or exceeding compliance with each criterion. A negative score may also be assigned for the absence of a particular issue or subject related to a criterion – this may be an obvious and deliberate omission of an important issue from a standard or the governing or operational structure of a scheme. To allow for the possibility that an absence of information prevents the assessment from determining whether an issue is present or absent from a scheme or standard, a scoring value of zero has been allocated.*

*To account for the differing scope and contexts of ecolabelling schemes, auditors may discard one or more criteria from the analysis. If this occurs, auditors must adjust the scoring template for the scheme and provide a clear, written rationale for doing so. Assigning the various scores should be based upon the available information.*

#### CRITERIA SCORING SCALE

0	Not enough information to determine presence or absence of criterion-subject within standard scheme
1	Partially meets criterion
2	Fully meets criterion
3	Exceeds criterion <sup>16</sup>

While the criteria from the 2009 ADP study are scored in this study, the team which undertook this work did not have access to the scores awarded for each criterion by the ADP team. The team working on this report only had access to scoring information contained in the summary scores as published in the 2009 report.

As a result, it was not possible to compare the scores awarded for each criterion in this study with those from the 2009 study. As a result, some variation in scores between the two studies may occur for individual criteria. Therefore, it is not possible to fully compare the quantitative results of this study to those from 2009.

## b. New criteria added to this report

### i. Selection of new criteria

The new criteria were selected based on the following:

- Source material is proposed or adopted by recognized international organizations that seek to build consensus. Where appropriate we considered material from peer-reviewed publications that reflect an emerging expert consensus.
- Elements identified from WWF's own work
- The new material was not already covered by the ADP 2009 criteria

## ii. Validation criteria

The new set of validation criteria includes 16 additional criteria under the following categories:

- Auditor competence (6)
- Oversight (7)
- Risk mitigation plan (3)

The sources for the validation criteria are:

- *ISO 17065 Conformity Assessment – Requirements for bodies certifying products, processes and services*,<sup>17</sup> *Annex A – Principles for product certification bodies and their certification activities*. This list of principles was developed along with this new document and serves as a guide to the core elements for conformity assessment bodies conducting certification activities for schemes covered by this guide.
- *ISEAL Credibility Principles*.<sup>18</sup> These 13 principles identify concepts and actions that should be the foundation of effective certification schemes.
- *Code of Good Practice for Assuring Conformance with Social and Environmental Standards*.<sup>19</sup> This codifies the best practice for the design and implementation of social and environmental standards.

These documents reflect a growing consensus on a more comprehensive understanding of how certification is to be evaluated. It should be noted that all of these documents are either long established drafts (in the case of ISEAL) or recently adopted and so not fully implemented (in the case of ISO). The reference source in *ISO 17065* is Annex A, which is informative and, therefore, not a required section of this new guide. However, it is a comprehensive list of the principles that should guide certification that conforms to *ISO 1065*.

## iii. Ecological criteria

In addition to the ecological criteria presented in the 2009 ADP report, 28 additional criteria under the following categories are included:

- Unit of certification (1)
- Stock status (1)
- Non-target species (10)
- Ecosystem/habitats (7)
- Forage fisheries (3)
- Pollution of water (2)
- Loss of fishing gear (1)
- Subsidies (2)
- Use of energy and CO<sub>2</sub> emissions (1)

The addition of these criteria is warranted by substantial progress in fisheries management guidance since 2009. The additional criteria are based on new technical frameworks, peer-reviewed literature or internationally agreed upon conventions. As certification of marine fisheries progresses and evolves, it must also keep pace with changes in fisheries management regimes. This is particularly important as the ecosystem approach and precautionary approach are expressed in tangible, on-the-water changes in how fisheries can mitigate impacts on the marine ecosystem. Since the 2009 ADP report reviewing fisheries certification and ranking schemes, there has been progress in both international and national fisheries management, including new agreements at the level of the United Nations General Assembly and stronger national policy frameworks.

We have focused on the following guidelines, papers and conventions to support the legitimacy of the additional criteria:

- The *2010 FAO Guidelines on Bycatch Management and Reduction of Discards*<sup>20</sup> represent a progression in guidance and best practices for mitigating the incidental capture of non-target species in a variety of fishing gear types.
- The *2008 FAO Guidelines for the Management Deep Sea Fisheries*<sup>21</sup> are the result of technical consultations relating to the *Sustainable Fisheries Resolutions 59/25 and 61/105* negotiated at the United Nations General Assembly in 2004<sup>22</sup> and 2006<sup>23</sup> where significant wording was adopted pertaining to the management of bottom fishing activities, particularly on the high seas. The identification of vulnerable marine ecosystems and their subsequent protection, as well as the practice of conducting impact assessment of fisheries, have become an integral part of managing bottom fisheries on the high seas. State measures are required by UNFSA to be compatible with measures on the high seas, and many countries are adopting and implementing policies to better regulate the impacts of fishing activities on the sea floor.
- Concern about trophic cascades and the impacts of removing forage species from the marine environment, often for use in fishmeal, resulted in a scientific task force to explore recommendations for fisheries management changes regarding forage species. These recommendations are outlined in the Lenfest Report entitled *Little Fish, Big Impact*.<sup>24</sup> It is expected that these recommendations will begin to influence fisheries management policy decisions regarding forage species.
- *The International Convention for the Prevention of Pollution from Ships (MARPOL) (Annex IV)*<sup>25</sup> is an existing international agreement on ship-source pollution, including practices to prevent waste at sea and loss of fishing gear that should be standard practice for most fishing vessels.
- Public subsidies to ecologically damaging fishing practices are becoming increasingly controversial. We've referred to the *2004 Healthy Fisheries, Sustainable Trade*<sup>26</sup> and *2011 WWF Reforming Fisheries Subsidies briefing*<sup>27</sup> as a baseline for subsidy criteria.


## 4. SCHEMES REVIEWED

### a. Detailed overview of certification schemes


**TABLE 1.** CERTIFICATION SCHEMES: ALASKA SEAFOOD MARKETING INSTITUTE

NAME AND LOGO	SUMMARY OF SCOPE FOR ECOLABELLING SCHEME
<p><b>Alaska Seafood Marketing Institute</b></p> <p><b>Does not use a certification logo</b></p>	<p>In order to provide credible verification of what Alaska has been doing for over 50 years, the Alaska Seafood Marketing Institute (ASMI) is now offering a choice in certification. This new independent, third-party certification of the management of the major Alaska commercial fisheries is directly based on the respected <i>FAO Code of Conduct for Responsible Fisheries (Code)</i> and the <i>FAO Guidelines for the Ecolabelling of Fish and Fishery Products from Marine Capture Fisheries (Guidelines)</i> – both recognized around the globe as the best criteria for responsible fisheries management.</p>
SCHEME OBJECTIVES	
<p><b>What was the driving force for the scheme's creation? Why was the ecolabel created?</b></p>	<ul style="list-style-type: none"> <li>• Alaska has always been deeply committed to ensuring that its wild, natural and delicious seafood can be enjoyed by generations to come.</li> <li>• ASMI is not developing a new consumer-facing ecolabel. The certification will help to enhance the Alaska origin as a leading source of sustainable seafood.</li> <li>• Certification will provide additional assurance to buyers, markets and stakeholders that seafood from Alaska is responsibly managed.</li> </ul>
<p><b>What are the main objectives or aims of the ecolabelling scheme?</b></p> <p><b>What is its mission?</b></p>	<ul style="list-style-type: none"> <li>• Demonstrate conformity to the <i>UN FAO Code of Conduct for Responsible Fisheries</i> and the <i>FAO Guidelines for the Ecolabelling of Fish and Fishery Products</i>.</li> <li>• Avoid the need for multiple certifications of the same fishery.</li> <li>• Enhance Alaska's position as a leading source of sustainable seafood.</li> <li>• Provide a respected and credible alternative to other ecolabel programs.</li> <li>• Provide additional assurance to buyers, markets and stakeholders that seafood from Alaska is responsibly managed.</li> </ul>
<p><b>SOURCE:</b> <a href="http://sustainability.alaskaseafood.org/certification">http://sustainability.alaskaseafood.org/certification</a></p>	

**TABLE 2.** CERTIFICATION SCHEMES: FRIEND OF THE SEA


NAME AND LOGO	SUMMARY OF SCOPE FOR ECOLABELLING SCHEME
<b>Friend of the Sea</b> 	<p>Friend of the Sea is a non-profit, non-governmental organisation (NGO), whose mission is to conserve the marine habitat.</p>
<b>SCHEME OBJECTIVES</b>	
<b>What was the driving force for the scheme's creation? Why was the ecolabel created?</b>	<ul style="list-style-type: none"> <li>• Friend of the Sea was founded by Dr. Paolo Bray, European Director of the Earth Island Institute's Dolphin-Safe Project. The Dolphin-Safe Project saved millions of dolphins from dying in tuna nets and started the sustainable seafood movement.</li> </ul>
<b>What are the main objectives or aims of the ecolabelling scheme?</b>	<ul style="list-style-type: none"> <li>• Follow the FAO "<i>Guidelines for the Ecolabelling of Fish and Fishery Products from Marine Capture Fisheries.</i>" In particular, only products from stocks which are not overexploited can be certified.</li> </ul>
<b>What is its mission?</b>	<ul style="list-style-type: none"> <li>• Deploy an International Monitoring Program to verify on site the chain of custody of approved suppliers of Friend of the Sea products.</li> <li>• Pricing structure is affordable also to artisanal fisheries and small-scale producers, which represent over 50 per cent of the Friend of the Sea certified products.</li> </ul>
<b>SOURCE:</b> <i>www.friendofthesea.org</i>	

**TABLE 3:** CERTIFICATION SCHEMES: ICELAND RESPONSIBLE FISHERIES

NAME AND LOGO	SUMMARY OF SCOPE FOR ECOLABELLING SCHEME
<b>Iceland Responsible Fisheries</b> 	<p>The Iceland Responsible Fisheries programme is the direct result of proactive discussions and interactions with fishermen, packers, processors, markets, regulators, standards and certification experts. Plans for the certification of Icelandic fisheries were officially announced by the Fisheries Association of Iceland in October 2008.</p> <p>The FAO-ISO-Based Iceland Responsible Fisheries Management Programme is based on the articles and minimum substantive criteria described in the FAO "<i>Code of Conduct for Responsible Fisheries</i>" and "<i>FAO Guidelines for the Ecolabelling of Fish and Fishery Products.</i>"</p>
<b>SCHEME OBJECTIVES</b>	
<b>What was the driving force for the scheme's creation? Why was the ecolabel created?</b>	<ul style="list-style-type: none"> <li>• Adoption and implementation of a structured fisheries management system. The objective is to limit the total annual catch from the fish stocks so that catches confirm to levels permitted by the relevant authorities.</li> <li>• Fish stock shall not be overfished and this shall be verified through scientific research and assessment by international experts.</li> <li>• Implementation of an effective legal and administrative framework for the fishery, with compliance ensured through effective mechanisms for monitoring, surveillance, control and enforcement.</li> <li>• Effects of the fishery on the ecosystem are limited by the application of a specified approach.</li> </ul>
<b>What are the main objectives or aims of the ecolabelling scheme?</b>	<ul style="list-style-type: none"> <li>• Responsible fisheries management.</li> </ul>
<b>What is its mission?</b>	<ul style="list-style-type: none"> <li>• Good treatment of marine resources.</li> </ul>
<b>SOURCE:</b> <i>www.responsiblefisheries.is/certification</i>	



**TABLE 4.** CERTIFICATION SCHEMES: MARINE STEWARDSHIP COUNCIL

NAME AND LOGO	SUMMARY OF SCOPE FOR ECOLABELLING SCHEME
<b>Marine Stewardship Council</b> 	<p>The MSC's fishery certification program and seafood ecolabel recognize and reward sustainable fishing. They are a global organisation working with fisheries, seafood companies, scientists, conservation groups and the public to promote the best environmental choice in seafood.</p>
SCHEME OBJECTIVES	
<b>What was the driving force for the scheme's creation? Why was the ecolabel created?</b>	<ul style="list-style-type: none"> <li>The MSC's vision is of the world's oceans teeming with life, and seafood supplies safeguarded for this and future generations.</li> </ul>
<b>What are the main objectives or aims of the ecolabelling scheme? What is its mission?</b>	<ul style="list-style-type: none"> <li>The MSC's mission is to use the ecolabel and fishery certification programme to contribute to the health of the world's oceans by recognizing and rewarding sustainable fishing practices, influencing the choices people make when buying seafood, and working with partners to transform the seafood market to a sustainable one.</li> <li>Collaborate with fishers, retailers, processors, consumers and others to drive change forward.</li> <li>Never compromise on the environmental standard set by the MSC, nor on the independence of the MSC program.</li> <li>Continue to lead the world in wild-capture fishery certification, with the most trusted, recognized and credible seafood ecolabel.</li> </ul>
<b>SOURCE:</b> <i>www.msc.org</i>	

## b. Program typologies

**TABLE 5.** REVIEW OF CERTIFICATION SCHEME PROGRAM TYPES

NAME	ALASKA SEAFOOD MARKETING INSTITUTE	FRIEND OF THE SEA	ICELAND RESPONSIBLE FISHERIES	MARINE STEWARDSHIP COUNCIL
CATEGORY				
First Party				
Second Party				
Third Party	•	•	•	•
Other				
Ecolabel Scheme		•	•	•
SCHEME OWNER AND OPERATOR				
Government				
Private: Industry	•		•	
Private: Environmental		•		•
Private: Other				
PARTICIPATION AND OPENNESS				
Voluntary	•	•	•	•
Mandatory				
Open (non-discriminatory)				
Restricted				
Description	Geographical restriction: only fish from Alaska	Worldwide for wild and farmed fish	Geographical restriction: only fish from Iceland	Worldwide for wild fisheries, including some enhanced fisheries

### c. Scope of schemes

**TABLE 6.** SCOPE OF CERTIFICATION SCHEMES

NAME	ALASKA SEAFOOD MARKETING INSTITUTE	FRIEND OF THE SEA	ICELAND RESPONSIBLE FISHERIES	MARINE STEWARDSHIP COUNCIL
<b>GEOGRAPHIC SCOPE</b>				
Global		• Fisheries and/or suppliers in 31 countries certified		• Fisheries and/or suppliers in 80 countries certified
Regional				
National			• Iceland	
Subnational	• Alaska			
Local				
<b>PRODUCT AND MARKET SCOPE</b>				
Marine species				
Inland species				
Wild-capture only	• 5 certified fisheries		• 4 certified fisheries	
Wild-capture and enhanced		• ~41 certified fisheries		• 172 certified fisheries
Aquaculture		• 50 certified producers		

## 5. RESULTS

### a. Participation

All four of the schemes were contacted by the authors of this study and invited to participate. Copies of the self-assessment tool (see Annex 1) were sent to all of the schemes. Each was invited to provide information on some, or all of the criteria evaluated in this study.

Only one scheme chose to participate by completing the self-assessment tool.

All schemes were evaluated against the study criteria using publically available information.

### b. Results summaries

Results are based entirely on a review of publicly available documentation. Each scheme itself may have policies and procedures not available to the public that address some or all of the criteria in this study. Any information disclosed by the schemes on the project self-assessment tool is considered to be publically available.

#### i. Scoring summaries

The certification schemes generally score higher in criteria related to ecological issues and fishery management systems than in the governance, structure and procedures themes (Tables 7 and 8). In some cases this may reflect a scheme's focus on developing a stringent standard. However, it should be noted that it proved to be possible for a scheme to partially meet many ecological and fisheries management criteria by incorporating language from guidelines like FAO documents, but not providing any means of operationalizing, scoring or measuring compliance with the standard. It is important to consider the combination of scores from across themes. This is discussed in more detail in Section 5 b ii.

Tables 7 and 8 present the aggregated scores of individual topics of selected ecolabels. The highest scores per topic are highlighted in green.

**TABLE 7.** SCORING SUMMARIES USING 2009 CRITERIA ONLY

Ecolabelling Scheme	THEME 1 Governance, Structures and Procedures			THEME 2 Content of Ecolabel Standards		
	Topic 1	Topic 2	Topic 3	Topic 4	Topic 5	Topic 6
	Standard setting structures and procedures	Accreditation and certification structures	Accreditation and certification procedures	Ecological sustainability	Fisheries management system	Traceability
Alaska Seafood Marketing Institute	0.04	0.80	0.62	1.60	1.57	1.83
Friend of the Sea	0.46	1.60	0.81	1.74	1.06	1.17
Iceland Responsible Fisheries	0.125	0.80	0.28	1.625	1.61	1.83
Marine Stewardship Council	<b>2.17</b>	<b>2.00</b>	<b>2.05</b>	<b>2.08</b>	<b>2.07</b>	<b>2.00</b>

**TABLE 8:** SCORING SUMMARIES OF NEWLY DEVELOPED CRITERIA

	THEME 1 Updated Validation Criteria			THEME 2 Updated Ecological Criteria		
	Topic 1	Topic 2	Topic 3	Topic 4	Topic 5	Topic 6
Ecolabelling Scheme	Auditor competence	Oversight	Risk mitigation plan	Non-target species	Ecosystem and habitat impacts	Other updated criteria
Alaska Seafood Marketing Institute	0	0.15	0	0.65	0.86	1.04
Friend of the Sea	0.17	0.43	0	1.10	<b>0.93</b>	0.91
Iceland Responsible Fisheries	0	0.15	0	<b>1.40</b>	1	0.54
Marine Stewardship Council	<b>1.17</b>	<b>1.71</b>	<b>1.33</b>	1.10	0.78	<b>1.09</b>

## ii. Quantitative evaluation

A weighted average score of individual schemes was produced from the original criteria developed by ADP in 2009, and from the set of original and updated criteria. The original report applied quantitative appraisal indicators based on the criteria below (Table 9). These have also been used here in order to allow for back comparison of results as well as comparison of results between schemes. It is important to note that the term “compliant” is used to describe whether a label met the criteria gathered by WWF rather than implying any form of standard setting by WWF or any other organization.

**TABLE 9.** DESCRIPTION OF SCORING CATEGORIES.

APPRAISAL INDICATOR	PERFORMANCE DETAILS
<b>Compliant</b>	Minimum score of 1.500 per topic
<b>Semi-compliant</b>	Average score above 1.000, but a minimum score of at least 1.000 per topic is lower than 1.500
<b>Non-compliant</b>	Minimum average score for all topics lower than 1.000

Using the criteria in Table 9 for quantitative analysis, only one of the assessed certification schemes, the Marine Stewardship Council, is fully compliant with the criteria. The other three assessed schemes are semi-compliant, with average scores only slightly above 1.000. When updated criteria are included in the scoring, performance drops slightly across all certification schemes with the exception of the Alaska Seafood Marketing Institute.

**TABLE 10.** QUANTITATIVE EVALUATION BASED ON 2009 CRITERIA ONLY

RANKING	ECOLABEL NAME	WEIGHTED AVERAGE SCORE	WEIGHTED AVERAGE SCORE IN % TO ASSESSMENT CRITERIA SCORE REQUIREMENTS	APPRAISAL INDICATOR
<b>1</b>	Marine Stewardship Council	2.063	103%	Compliant
<b>2</b>	Friend of the Sea	1.137	57%	Semi-compliant
<b>3</b>	Alaska Seafood Marketing Institute	1.079	54%	Semi-compliant
<b>4</b>	Iceland Responsible Fisheries	1.048	52%	Semi-compliant

**TABLE 11.** QUANTITATIVE EVALUATION-BASED CRITERIA INCLUDING 2009 AND ADDITIONAL CRITERIA

RANKING	ECOLABEL NAME	WEIGHTED AVERAGE SCORE INCLUDING UPDATED CRITERIA	WEIGHTED AVERAGE SCORE IN % TO ASSESSMENT CRITERIA SCORE REQUIREMENTS	APPRAISAL INDICATOR
1	Marine Stewardship Council	1.854	93%	Compliant
2	Alaska Seafood Marketing Institute	1.081	54%	Semi-compliant
3	Friend of the Sea	1.011	51%	Semi-compliant
4	Iceland Responsible Fisheries	0.921	46%	Non-compliant

### iii. Full scoring breakdowns

The following tables show the results of the assessment of individual certification schemes against the criteria compiled by WWF for the 2009 ADP report, as well as the additional validation and ecological criteria. Topics 1 through 6 designed by ADP and the additional validation and ecological criteria are all weighted equally in the determination of the total score. Each criterion is weighted equally under each topic.

Scores are presented in percentages as well as decimal scores. A percentage of contribution of 100% represents an average score of 2.00 across a topic or issue area.

**TABLE 12:** FULL ASSESSMENT OF ALASKA SEAFOOD MARKETING INSTITUTE SCHEME

ECOLABELLING SCHEME: ALASKA SEAFOOD MARKETING INSTITUTE			CONTRIBUTION NEEDED PER TOPIC TO MEET ASSESSMENT CRITERIA	PERFORMED CONTRIBUTION PER TOPIC IN %	PERFORMED CONTRIBUTION TO TOPIC SCORE
THEME	TOPIC	TOPIC WITHIN TOPIC			
<b>Governance, Structure and Procedures</b>					
		Structural and procedural criteria for ecolabelling schemes			
		Standard setting structures and procedures	1.565	3%	0.043
		Stakeholder participation in standard setting	0.435	0%	0.000
		<b>Total per topic</b>	<b>2.000</b>	<b>2%</b>	<b>0.043</b>
		Accreditation and certification structure			
		Accreditation and certification structures	2.000	40%	0.800
		<b>Total per topic</b>	<b>2.000</b>	<b>40%</b>	<b>0.800</b>
		Accreditation and certification procedures			
		Accreditation and certification procedures	1.714	31%	0.524
		Stakeholder participation in conformity assessment	0.286	333%	0.095
		<b>Total per topic</b>	<b>2.000</b>	<b>31%</b>	<b>0.619</b>

<b>Content of Standards</b>			
Ecological criteria			
Unit of certification and stock under consideration	0.500	90%	0.450
Outcome oriented	0.100	50%	0.050
Status of the stock(s) under consideration (target stocks)	0.400	70%	0.280
Impacts of the fishery on the ecosystem	1.000	83%	0.825
<b>Total per topic</b>	<b>2.000</b>	<b>80%</b>	<b>1.605</b>
Fisheries management system criteria			
Fisheries management system criteria	2.000	79%	1.574
<b>Total per topic</b>	<b>2.000</b>	<b>79%</b>	<b>1.574</b>
Traceability criteria			
Traceability criteria	2.000	92%	1.833
<b>Total per topic</b>	<b>2.000</b>	<b>92%</b>	<b>1.833</b>
<b>Total Weighted Average of all Topics</b>	<b>2.000</b>	<b>54%</b>	<b>1.079</b>
<b>Updated Validation Criteria</b>			
Updated validation criteria			
Auditor competence	0.750	0%	0.000
Oversight	0.875	7%	0.063
Risk mitigation plan	0.375	0%	0.063
<b>Total per topic</b>	<b>2.000</b>	<b>3%</b>	<b>0.125</b>
<b>Updated Ecological Criteria</b>			
Updated ecological criteria			
Non-target species	0.714	33%	0.232
Ecosystem and habitat Impacts	0.500	43%	0.214
Other ecological criteria	0.786	52%	0.411
<b>Total per topic</b>	<b>2.000</b>	<b>43%</b>	<b>0.857</b>
<b>Total Weighted Average of all Topics Including Updated</b>	<b>2.000</b>	<b>54%</b>	<b>1.081</b>

**TABLE 13:** FULL ASSESSMENT OF FRIEND OF THE SEA SCHEME

<b>ECOLABELLING SCHEME: FRIEND OF THE SEA</b>					
THEME	TOPIC	TOPIC WITHIN TOPIC	CONTRIBUTION NEEDED PER TOPIC TO MEET ASSESSMENT CRITERIA	PERFORMED CONTRIBUTION PER TOPIC IN %	PERFORMED CONTRIBUTION TO TOPIC SCORE
<b>Governance, Structure and Procedures</b>					
Structural and procedural criteria for ecolabelling schemes					
		Standard setting structures and procedures	1.583	26%	0.417
		Stakeholder participation in standard setting	0.417	10%	0.042
		<b>Total per topic</b>	<b>2.000</b>	<b>23%</b>	<b>0.458</b>

Accreditation and certification structure			
Accreditation and certification structures	2.000	80%	1.600
<b>Total per topic</b>	<b>2.000</b>	<b>80%</b>	<b>1.600</b>
Accreditation and certification procedures			
Accreditation and certification procedures	1.714	36%	0.619
Stakeholder participation in conformity assessment	0.286	67%	0.191
<b>Total per topic</b>	<b>2.000</b>	<b>40%</b>	<b>0.810</b>
<b>Content of Standards</b>			
Ecological criteria			
Unit of certification and stock under consideration	0.588	100%	0.588
Outcome oriented	0.118	100%	0.118
Status of the stock(s) under consideration (target stocks)	0.235	83%	0.196
Impacts of the fishery on the ecosystem	1.059	81%	0.853
<b>Total per topic</b>	<b>2.000</b>	<b>87%</b>	<b>1.755</b>
Fisheries management system criteria			
Fisheries management system criteria	2.000	53%	1.058
<b>Total per topic</b>	<b>2.000</b>	<b>53%</b>	<b>1.058</b>
Traceability criteria			
Traceability criteria	2.000	58%	1.167
<b>Total per topic</b>	<b>2.000</b>	<b>58%</b>	<b>1.167</b>
Total Weighted Average of all Topics	2.000	57%	1.141
<b>Updated Validation Criteria</b>			
Updated validation criteria			
Auditor competence	0.750	8%	0.063
Oversight	0.875	21%	0.188
Risk mitigation plan	0.375	0%	0.000
<b>Total per topic</b>	<b>2.000</b>	<b>13%</b>	<b>0.250</b>
<b>Updated Ecological Criteria</b>			
Updated ecological criteria			
Non-target species	0.714	55%	0.393
Ecosystem and habitat impacts	0.500	46%	0.232
Other ecological criteria	0.786	50%	0.393
<b>Total per topic</b>	<b>2.000</b>	<b>51%</b>	<b>1.018</b>
<b>Total Weighted Average of all Topics Including Updated</b>	<b>2.000</b>	<b>51%</b>	<b>1.014</b>

**TABLE 14:** FULL ASSESSMENT OF ICELAND RESPONSIBLE FISHERIES SCHEME

<b>ECOLABELLING SCHEME: ICELAND RESPONSIBLE FISHERIES</b>					
THEME	TOPIC	TOPIC WITHIN TOPIC	NEEDED PER TOPIC TO MEET ASSESSMENT CRITERIA	PERFORMED CONTRIBUTION PER TOPIC IN %	PERFORMED CONTRIBUTION TO TOPIC SCORE
<b>Governance, Structure and Procedures</b>					
		Structural and procedural criteria for ecolabelling schemes			
		Standard setting structures and procedures	1.583	8%	0.125
		Stakeholder participation in standard setting	0.417	0%	0.000
		<b>Total per topic</b>	<b>2.000</b>	<b>6%</b>	<b>0.125</b>
		Accreditation and certification structure			
		Accreditation and certification structures	2.000	40%	0.800
		<b>Total per topic</b>	<b>2.000</b>	<b>40%</b>	<b>0.800</b>
		Accreditation and certification procedures			
		Accreditation and certification procedures	1.714	17%	0.286
		Stakeholder participation in conformity assessment	0.286	0%	0.000
		<b>Total per topic</b>	<b>2.000</b>	<b>14%</b>	<b>0.286</b>
<b>Content of Standards</b>					
		Ecological criteria			
		Unit of certification and stock under consideration	0.500	100%	0.500
		Outcome oriented	0.100	75%	0.075
		Status of the stock(s) under consideration (target stocks)	0.400	90%	0.360
		Impacts of the fishery on the ecosystem	1.000	70%	0.700
		<b>Total per topic</b>	<b>2.000</b>	<b>82%</b>	<b>1.635</b>
		Fisheries management system criteria			
		Fisheries management system criteria	2.000	81%	1.611
		<b>Total per topic</b>	<b>2.000</b>	<b>81%</b>	<b>1.611</b>
		Traceability criteria			
		Traceability criteria	2.000	92%	1.833
		<b>Total per topic</b>	<b>2.000</b>	<b>92%</b>	<b>1.833</b>
		<b>Total Weighted Average of all Topics</b>	<b>2.000</b>	<b>52%</b>	<b>1.048</b>
<b>Updated Validation Criteria</b>					
		Updated validation criteria			
		Auditor competence	0.750	0%	0.000
		Oversight	0.875	7%	0.063
		Risk mitigation plan	0.375	0%	0.063
		<b>Total per topic</b>	<b>2.000</b>	<b>3%</b>	<b>0.125</b>



<b>Updated Ecological Criteria</b>			
Updated ecological criteria			
Non-target species	0.667	78%	0.519
Ecosystem and habitat impacts	0.519	50%	0.259
Other ecological criteria	0.815	27%	0.222
<b>Total per topic</b>	<b>2.000</b>	<b>50%</b>	<b>1.000</b>
<b>Total Weighted Average of all Topics Including Updated</b>	<b>2.000</b>	<b>46%</b>	<b>0.919</b>

**TABLE 15:** FULL ASSESSMENT OF MARINE STEWARDSHIP COUNCIL SCHEME

<b>ECOLABELLING SCHEME: MARINE STEWARDSHIP COUNCIL</b>					
THEME	TOPIC	TOPIC WITHIN TOPIC	NEEDED PER TOPIC TO MEET ASSESSMENT CRITERIA	PERFORMED CONTRIBUTION PER TOPIC IN %	PERFORMED CONTRIBUTION TO TOPIC SCORE
<b>Governance, Structure and Procedures</b>					
		Structural and procedural criteria for ecolabelling schemes			
		Standard setting structures and procedures	1.583	105%	1.666
		Stakeholder participation in standard setting	0.417	120%	0.500
		<b>Total per topic</b>	<b>2.000</b>	<b>108%</b>	<b>2.167</b>
		Accreditation and certification structure			
		Accreditation and certification structures	2.000	100%	2.000
		<b>Total per topic</b>	<b>2.000</b>	<b>100%</b>	<b>2.000</b>
		Accreditation and certification procedures			
		Accreditation and certification procedures	1.714	103%	1.765
		Stakeholder participation in conformity assessment	0.286	100%	0.286
		<b>Total per topic</b>	<b>2.000</b>	<b>103%</b>	<b>2.051</b>
<b>Content of Standards</b>					
		Ecological criteria			
		Unit of certification and stock under consideration	0.500	100%	0.500
		Outcome oriented	0.100	100%	0.100
		Status of the stock(s) under consideration (target stocks)	0.400	115%	0.460
		Impacts of the fishery on the ecosystem	1.000	103%	1.025
		<b>Total per topic</b>	<b>2.000</b>	<b>104%</b>	<b>2.085</b>
		Fisheries management system criteria			
		Fisheries management system criteria	2.000	104%	2.074
		<b>Total per topic</b>	<b>2.000</b>	<b>104%</b>	<b>2.074</b>

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Traceability criteria			
Traceability criteria	2.000	100%	2.000
<b>Total per topic</b>	<b>2.000</b>	<b>100%</b>	<b>2.000</b>
<b>Total Weighted Average of all Topics</b>	<b>2.000</b>	<b>103%</b>	<b>2.063</b>
<b>Updated Validation Criteria</b>			
Updated validation criteria			
Auditor competence	0.750	58%	0.438
Oversight	0.875	86%	0.750
Risk mitigation plan	0.375	67%	0.250
<b>Total per topic</b>	<b>2.000</b>	<b>72%</b>	<b>1.438</b>
<b>Updated Ecological Criteria</b>			
Updated ecological criteria			
Non-target species	0.714	55%	0.393
Ecosystem and habitat impacts	0.500	39%	0.196
Other ecological criteria	0.786	55%	0.429
<b>Total per topic</b>	<b>2.000</b>	<b>51%</b>	<b>1.018</b>
<b>Total Weighted Average of all Topics Including Updated</b>	<b>2.000</b>	<b>93%</b>	<b>1.854</b>

#### iv. Observations

In addition to the quantitative scoring against the criteria, several qualitative observations were made to assist in better understanding the differences between schemes and the unique characteristics of each scheme that results in different scores.

**TABLE 16:** OBSERVATIONS OF ALASKA SEAFOOD MARKETING INSTITUTE SCHEME

NAME: ALASKA SEAFOOD MARKETING INSTITUTE	
<b>Standard setting structures and procedures</b>	<p>Very little information is publicly available on standard setting structures and procedures.</p> <p>Based on available documentation, it is hard to tell what document is considered the standard. The document titled "<i>FAO-based Responsible Fisheries Management, version 1.2</i>" appears to be the principal reference document used by the certification body in conducting assessments. It is not clear whether or not this document is actually standard. This document does not contain any information about how it was created, who created it, who owns it and how any complaints or concerns about its content can be addressed. This is the same document that is used by Icelandic Responsible Fisheries. It is not clear whether or not this document is the responsibility of one or both of these schemes, or of some other organization.</p> <p>In addition, the FAO guidelines themselves are referenced in some instances as if they are the standard even though they were written by an FAO committee using its own process which does not conform to ISO, WTO, or ISEAL Alliance guidelines for standards development.</p>
<b>Accreditation and certification structures</b>	<p>Very little information is publicly available on accreditation and certification structures.</p> <p>Responsibility for meeting the standard is not clearly defined. The standard uses the language of FAO Guidelines that specifies, for example, that "States shall encourage...". Use of this language is problematic for a fishery certification scheme as it is not clear what actions are expected of the fishery, of the fishery management system and how conformance by broader government institutions and/or regional organizations is the responsibility of the fishery under assessment.</p> <p>Based on available documentation the scheme appears to address the basic elements of accreditation and certification; however, there are no documented procedures or guidelines that clearly require basic elements such as accreditation and certification systems that conform to widely accepted ISO guidelines.</p> <p>No information could be found on dispute complaint or objection mechanisms for areas that are the responsibility of the scheme owner, including appeals and the use of impartial adjudicators.</p>
<b>Accreditation and certification procedures</b>	<p>Very little information is publicly available on accreditation and certification procedures.</p> <p>With the exception of rules for the use of the scheme's certification mark and the traceability procedures described in the RFM Chain of Custody Standard there are no written procedures that address most of the criteria in this section.</p> <p>Stakeholders may submit information concerning a fishery under assessment; however there are no procedures that outline whether or not this information must be considered during the audit.</p> <p>Some elements in the section were scored using information found by implication after reading certification reports that document performance against a few of the criteria.</p>

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<b>Ecological criteria</b>	Very little information is publicly available about how fishery certifiers are expected to operationalize and how scores are assigned for different ecological requirements. Evidence required to show compliance with the standard is generally not defined. The broad and generalized language used in the standard technically fulfills many criteria, but it is difficult to see the requirements being usefully applied in practice.
<b>Fisheries management system criteria</b>	Very little information is publicly available about how fishery certifiers are expected to operationalize and assign scores to different ecological criteria. Evidence required to show compliance with the standard is generally not defined. The broad and generalized language used in the standard technically fulfills many criteria, but it is difficult to see the requirements being usefully applied in practice.  Scores related to stakeholder engagement and participation, accountability, transparency, and assessment and review of the management system are quite low.
<b>Traceability criteria</b>	Traceability requirements are well defined.
<b>New validation criteria</b>	Very little information is publicly available on the validation criteria. The one certification body used by this scheme is accredited against <i>ISO Guide 65</i> by an IAF member. However, there is no documentation that specifies that this is a scheme requirement for all certification bodies applying the scheme.
<b>New ecological criteria</b>	Broad and generic language in the standard results in partial scores being awarded for some updated ecological criteria, but there is no guidance on how these requirements are to be operationalized or scored by certifiers. The standard generally does not reflect the substantial progress in fisheries management guidance since 2009.

**TABLE 17:** OBSERVATIONS OF FRIEND OF THE SEA SCHEME

<b>NAME: FRIEND OF THE SEA</b>	
<b>Standard setting structures and procedures</b>	The scheme does have a documented objections procedure, some elements of the consultation criteria, and separation between the standard setting organization and certification bodies that generally conform to the study criteria.  Limited information is provided on governance, independence and organizational structure. In most cases it is not possible to determine from available sources whether or not, and to what degree, the criteria are addressed.  There is little or no documentation demonstrating that the scheme has procedures and structures to conform with FAO guidelines as they relate to standards development, review and revision.
<b>Accreditation and certification structures</b>	Most of the criteria under this section are found in the scheme's structures.
<b>Accreditation and certification procedures</b>	Very little information is available to allow confirmation that the scheme has documented procedures for accreditation and certification.  While a number of the criteria appear to be fulfilled in practice, it is not possible to demonstrate that they are fully documented, and therefore implemented, for the scheme by all accreditation bodies and certification bodies.  The scheme's use of checklists for audits does ensure that all audits conducted under the scheme at least use the same core set of requirements in both fisheries and traceability audits.

<b>Ecological criteria</b>	<p>The treatment of non-target species in the standard is particularly rigorous, with a reliance on independent IUCN assessments and a requirement that bycatch and discard rates be kept below global averages (8%). The standard also protects habitat with a presumption that gear should not come in contact with seabed at all unless impacts can be proven to be negligible.</p> <p>While most issues are addressed, there are some notably vague requirements that remain undefined. For example, the phrases "impact is negligible" and "does not negatively impact" are used without explanation of what these mean in practice.</p> <p>Burden of evidence is on the fishery seeking certification, i.e. "The Organization must provide the evidence that...". It is not clear what forms of evidence would allow certifiers to reach different conclusions. Scoring guidance is lacking.</p>
<b>Fisheries management system criteria</b>	<p>Management requirements are not well defined. There are no requirements pertaining to stakeholder engagement and participation, accountability, transparency, and assessment and review of the management system.</p> <p>There are very limited data, monitoring and research requirements other than as pertaining to the target stock(s) under assessment.</p>
<b>Traceability criteria</b>	<p>Traceability principles are defined, but specific means to operationalize the requirements are lacking. Guidance to auditors is unclear.</p>
<b>New validation criteria</b>	<p>Very little information is publicly available on whether or not the scheme addresses the criteria in this section.</p> <p>It does have clear requirements that its procedures are compatible with <i>ISO Guide 65</i>. Some documentation was found that addressed auditor training and oversight of certification bodies, but this documentation address only a small number of the elements in the criteria.</p>
<b>New ecological criteria</b>	<p>Some criteria are met, but the lack of scoring guidance makes it difficult to tell to what extent the requirements apply. Requiring the fishery to provide evidence that impacts are negligible should include some guidance as to the requirements for that evidence.</p>

**TABLE 18:** OBSERVATIONS OF ICELAND RESPONSIBLE FISHERIES SCHEME

<b>NAME: ICELAND RESPONSIBLE FISHERIES</b>	
<b>Standard setting structures and procedures</b>	<p>Very little information is publicly available on standard setting structures and procedures.</p> <p>Based on available documentation, it is hard to tell what document is considered the standard. The document titled "<i>FAO-based Responsible Fisheries Management,</i>" <i>version 1.2</i> appears to be the principal reference document used by the certification body in conducting assessments. It is not clear whether or not this document is actually standard. This document does not contain any information about how it was created, who created it, who owns it and how any complaints or concerns about its content can be addressed. This is the same document that is used by the Alaska Seafood Marketing Institute. It is not clear whether or not this document is the responsibility of one or both of these schemes, or of some other organization.</p> <p>In addition, the FAO guidelines themselves are referenced in some instances as if they are the standard, even though they were written by an FAO committee using its own process, which does not conform to ISO, WTO, or ISEAL Alliance guidelines for standards development.</p>

**Results**

<b>Accreditation and certification structures</b>	<p>Very little information is publicly available on accreditation and certification structures.</p> <p>Based on available documentation the scheme appears to address the basic elements of accreditation and certification; however, there are no documented procedures or guidelines that clearly require basic elements such as accreditation and certification systems that conform to widely accepted ISO guidelines.</p>
<b>Accreditation and certification procedures</b>	<p>No information could be found on dispute complaint or objection mechanisms for areas that are the responsibility of the scheme owner, including appeals and the use of impartial adjudicators.</p> <p>Very little information is publicly available on accreditation and certification procedures.</p> <p>With the exception of rules for the use of the scheme’s certification mark, there are no written procedures that address most of the criteria in this section.</p> <p>Some elements in the section were scored using information found by implication after reading certification reports that document performance against a few of the criteria.</p>
<b>Ecological criteria</b>	<p>Very little information is publicly available about how fishery certifiers are expected to operationalize and assign scores to different ecological criteria. Some requirements are not fully defined, and guidance is not available to help define generic language.</p>
<b>Fisheries management system criteria</b>	<p>The standard generally scores well on fisheries management system criteria, with the exception of criteria pertaining to stakeholder engagement and participation, accountability, transparency, and assessment and review of the management system.</p> <p>There are requirements to take action based on scientific data, but no real requirement for the timely collection of scientific data. Weak data collection and monitoring procedures can be expected to undermine application of the precautionary approach.</p>
<b>Traceability criteria</b>	<p>Traceability requirements are well defined.</p>
<b>New validation criteria</b>	<p>Very little information is publicly available on the validation criteria.</p> <p>The one certification body used by this scheme is accredited against <i>ISO Guide 65</i> by an IAF member. However, there is no documentation that specifies that this is a scheme requirement for all certification bodies applying the scheme.</p>
<b>New ecological criteria</b>	<p>The standard does not include requirements pertaining to pollution of water, loss of fishing gear, harmful and perverse subsidies, or energy use. Data collection and monitoring requirements for habitats and non-target species are also lacking.</p>

**TABLE 19:** OBSERVATIONS OF MARINE STEWARDSHIP COUNCIL SCHEME

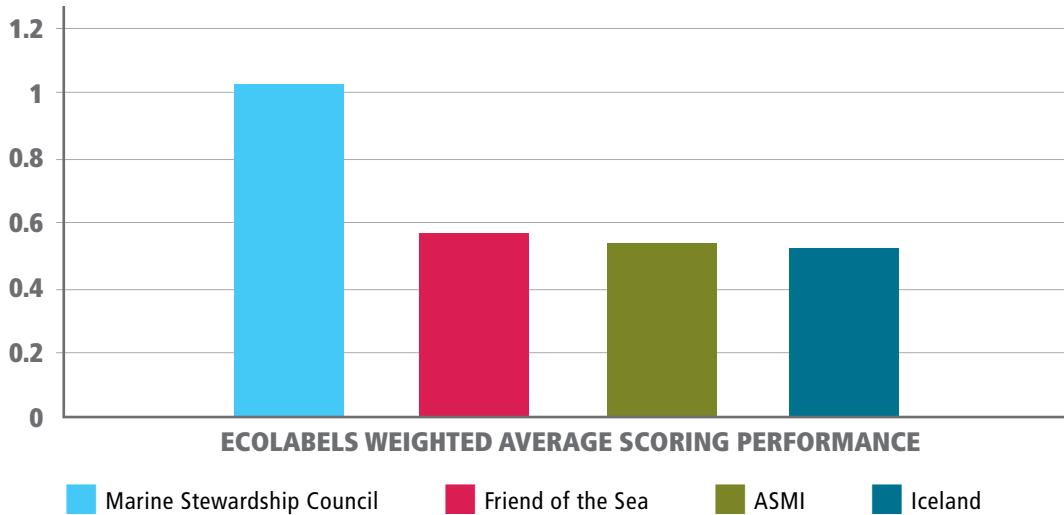
<b>NAME: MARINE STEWARDSHIP COUNCIL</b>	
<b>Standard setting structures and procedures</b>	<p>This scheme’s procedures and structures include elements that demonstrate that it fulfils all of the criteria in this section with one exception. While the scheme’s stated policy is to meet FAO guidelines, a clear procedure to ensure continued confirmation of its standards to FAO guidelines was not found.</p> <p>Several elements of the scheme’s structures and procedures exceed the criteria. These include requirements that stakeholders are proactively recruited to join in the standards development process and the dispute resolution process for issues related to the standards.</p>

<b>Accreditation and certification structures</b>	The scheme's structures demonstrate that they meet the criteria for this section.
<b>Accreditation and certification procedures</b>	The scheme's structures demonstrate that they meet the criteria for this section. The scheme's approach to the audit procedures for data-poor fisheries exceeds the criteria as stated.
<b>Ecological criteria</b>	The standard meets or exceeds the majority of ecological criteria. Two criteria related to a precautionary approach for non-target species and impacts on essential habitat are not fully met.
<b>Fisheries management system criteria</b>	The standard meets or exceeds the majority of fisheries management system criteria. Several requirements were exceeded due to the standard's definition of requirements, definition of acceptable data (confidence ranges and sources), and operationalization of important terms.
<b>Traceability criteria</b>	Traceability requirements are well defined.
<b>New validation criteria</b>	Some of the criteria are addressed through procedures and structures that are now in place. A number of the criteria in this section are being addressed through ongoing processes to develop new procedures and structures. These include auditor competence, oversight and risk mitigation. Some of the criteria are either not addressed or are not included in the ongoing work to develop new procedures and structures.
<b>New ecological criteria</b>	Due to the standard's practice of defining and operationalizing key terms and requirements, and of providing useful scoring guidance, it may be somewhat more difficult to respond to advances in fisheries management guidance in a timely manner than for other schemes. The standard generally does not require sufficient proactive collection of data or impact assessments. The standard sets requirements for habitat and non-target species protection at the level of avoiding "serious or irreversible harm." Continuous improvement is generally not required. This type of requirement—and the corresponding requirements for data collection and management measures to reach the point of preventing serious or irreversible harm and no more—does not reflect a commitment to continuous improvement and generally does not reflect progress in fisheries management guidance since 2009.

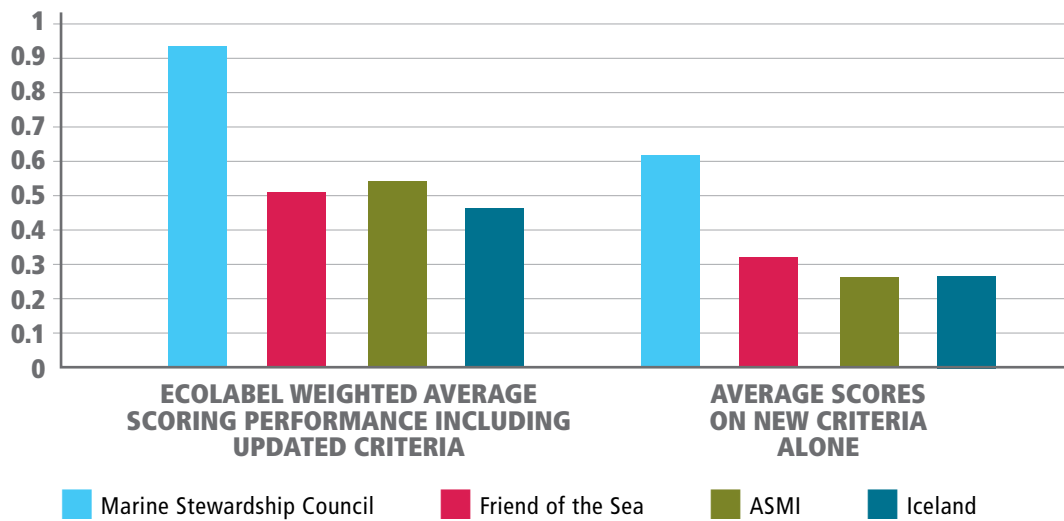
### c. Rankings

Below are two simplified visualisations of the ranking of each certification scheme assessed in this report. The first chart uses solely the criteria applied by ADP in 2009, and the second incorporates updated criteria.

**FIGURE 1:** OVERALL SCORING PERFORMANCE ACROSS ORIGINAL 2009 CRITERIA



**FIGURE 2:** SCORING PERFORMANCE OF SCHEMES WHEN ASSESSED WITH NEW CRITERIA



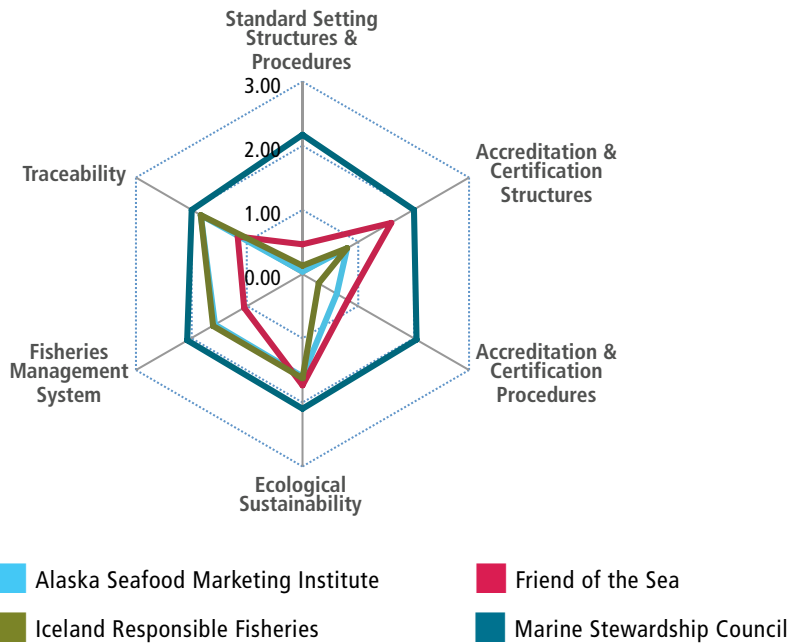
Taking into account the updated criteria does not significantly affect the relative ranking and performance of the schemes.

The radar chart below shows the comparative strengths of the certification schemes across the assessed topics. Individual topics are not weighted against each other given the differences in the number of criteria.

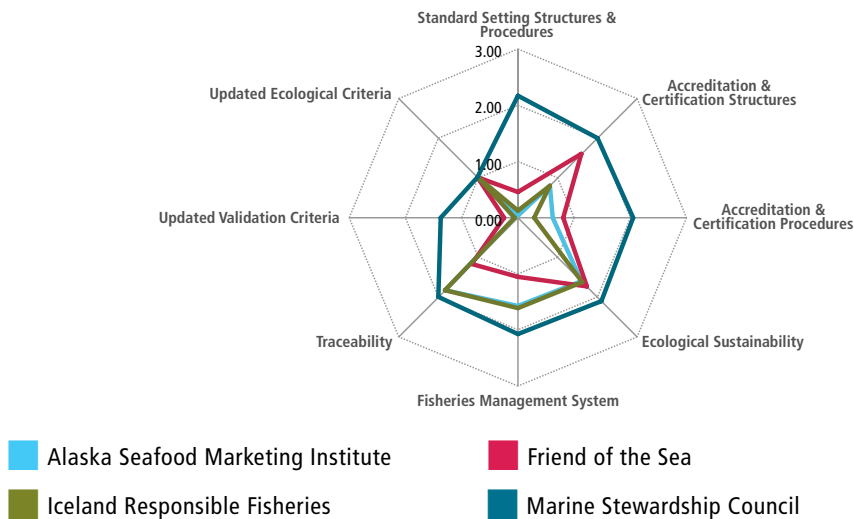


### Comparative Analysis of Schemes

**FIGURE 3:** COMPARATIVE ANALYSIS OF SCHEMES ACROSS ORIGINAL 2009 CRITERIA



**FIGURE 4:** COMPARATIVE ANALYSIS OF SCHEMES ACROSS ALL CRITERIA



#### d. Comparisons with 2009

The four schemes were also evaluated in the 2009 ADP report. The 2009 and 2012 scores for each of the schemes are presented here, with improved scores highlighted in green and declining scores highlighted in red.

**TABLE 2:** COMPARISON OF 2009 AND 2012 ASSESSMENT RESULTS

	THEME 1 Governance, Structures and Procedures			THEME 2 Content of Ecolabel Standards		
	Topic 1	Topic 2	Topic 3	Topic 4	Topic 5	Topic 6
Ecolabelling Scheme	Standard setting structures and procedures	Accreditation and certification structures	Accreditation and certification procedures	Ecological sustainability	Fisheries management system	Traceability
Alaska Seafood Marketing Institute 2009	1.13	Not assessed	0.67	0.95	1.33	1.33
Alaska Seafood Marketing Institute 2012	<b>0.04</b>	0.80	<b>0.62</b>	<b>1.6</b>	<b>1.57</b>	<b>1.83</b>
Friend of the Sea 2009	0.75	2.00	1.43	1.00	0.96	1.83
Friend of the Sea 2012	<b>0.46</b>	<b>1.60</b>	<b>0.81</b>	<b>1.74</b>	<b>1.06</b>	<b>1.17</b>
Iceland Responsible Fisheries 2009	Not assessed	Not assessed	Not assessed	0.80	0.70	0.83
Iceland Responsible Fisheries 2012	0.125	0.80	0.28	<b>1.625</b>	<b>1.61</b>	<b>1.83</b>
Marine Stewardship Council 2009	1.79	2.00	2.00	1.95	1.89	2.00
Marine Stewardship Council 2012	<b>2.17</b>	<b>2.00</b>	<b>2.05</b>	<b>2.08</b>	<b>2.07</b>	<b>2.00</b>

The Alaska Seafood Marketing Institute and Iceland Responsible Fisheries schemes were only partially scored in 2009 and considered “Sustainability programmes with on-pack labels” rather than seafood ecolabels. These two schemes have changed significantly over the past years, as reflected by the updated scores.

This updated assessment shows that the performance of the Friend of Sea ecolabelling scheme has declined in Topics 1, 2 and 3 related to governance, structures and procedures, and declined with respect to traceability issues. In terms of how the content of the ecolabel standard deals with ecological sustainability and fisheries management systems, the Friend of the Sea scheme has improved.

The caveat mentioned in “Scoring summaries” (section 5.f.i) above should be kept in mind. It is possible for a scheme to partially meet many of the criteria in “Content of the ecolabel standard” by using vague or generic language that does not provide a meaningful way to score or measure compliance. Improvement in these criteria topics must be complemented by improvement in the governance, structure and procedures of an ecolabel in order to have confidence in the scheme’s impact on the water.

The Marine Stewardship Council scheme has improved across all criteria except for “Accreditation and certification structures” and “Traceability,” where it was assessed in 2009 as fully compliant. The gradual improvement in scores demonstrates a commitment to improving across all topics in which the scheme was not fully compliant.

Unfortunately, the original scoring of the two schemes on individual criteria was not available from ADP for this report. It is not known whether the changes in scores are a result of the evolution of the schemes; changes in the information that is publically available; the evolution of the evolution of best practices for certification bodies and fisheries management standards that have guided the scoring of these schemes; or some combination of these factors.

## 6. CONCLUSIONS

Based on the quantitative evaluation conducted in the study, the Marine Stewardship Council is found to be compliant with the WWF criteria. Friend of the Sea, Alaska Seafood Marketing Institute and Iceland Responsible Fisheries are found to be semi-compliant. Using the same criteria as the 2009 ADP report, Friend of the Sea scored slightly higher than Alaska Seafood Marketing Institute, and Icelandic Responsible Fisheries scored lowest. With the updated criteria, Alaska Seafood Marketing Institute scored higher than Friend of the Sea and Icelandic Responsible Fisheries remained the lowest scoring scheme, averaged across all themes.

## 7. SUMMARY

In the design of this study, the process for the selection of the standards to be evaluated was driven by the number of changes and by the extent of those changes that have been implemented in each of the schemes. Three of the four schemes evaluated appear to have chosen to focus their resources in the development of the certification requirements that are to be applied in the field when conducting audits of applicant fisheries, and not in developing the core documentation and structures that govern the standards development process itself, certification, and accreditation.

As a result, it is much easier to determine and evaluate the certification requirements as they are applied to the fisheries themselves, than it is to determine and evaluate how well those certification requirements are applied, the consistency with which they are applied, the openness of the systems to the concerns, questions and interests of stakeholders, and ultimately, the credibility of any claim that is based on the certification itself.

Of note in this study is the flexibility and adaptability shown by each of the schemes evaluated to the changes in expectations for the credibility of the certification system itself, and new understandings about how wild fisheries are to be managed. In the case of the four schemes evaluated, it appears that the pace of these changes makes it difficult for the schemes to translate them into clear and auditable certification requirements, at the same pace, they are appearing in the documents of recognized international authorities.

The authors of the study fully recognize that the absence of publicly available documentation does not necessarily mean that the scheme is, or is not fully in conformance with the criteria laid out in Annex 1.

It is crucial to note, however, that credibility for an ecolabelling scheme means that the users including a full range of stakeholders, and that the general public should have access to sufficient information about the scheme, including how it operates and its independence, as well as to performance requirements to determine whether or not the ecolabel is useful to them.

Issues identified in the assessment are presented according to the topics below:

### **a. Standard setting structures and procedures**

- Most of the schemes evaluated had little or no documentation to explain standard setting structures and procedures.
- Openness to stakeholder input, complaints and objections is lacking in most of the schemes.
- The use of intergovernmental agencies' guidelines as standards is of particular concern because these guidelines are written for governments and the requirements that address governmental action cannot be made requirements on fisheries seeking certification.

### **b. Accreditation and certification structures**

- Because there is a lack of documentation, it is difficult to understand the relationships between scheme owners, accreditation bodies and certification bodies.
- In the case of the schemes that use IAF-member accreditation bodies, it is not possible to determine whether or not accreditation is consistent when more than one accreditation body is used.
- In most of the schemes, the relationships between complaints and objection procedures of the scheme itself, accreditation bodies and certification bodies is hard to understand. This includes clarity about who has access to these mechanisms, how to use them and how appeals from one body to another are managed.

**c. Accreditation and certification procedures**

- Most of the certification schemes have either poorly documented certification procedures, or their procedures and methodologies are not publicly available.
- There is an effort by all of the schemes to make use of reputable science and professional judgment in the assessments.

**d. Ecological criteria**

- While all of the certification schemes require an evaluation of the sustainability of the target species, there is less consistency in the evaluation of fishing methods, including the impact of gear being used.
- Impacts on non-target species and ecosystems and habitats are imperfectly limited and monitored by most schemes.

**e. Fisheries management system criteria**

- Most of the assessed certification schemes do not require the fisheries management systems to operate transparently and accountably with opportunities for stakeholder involvement.
- Only one certification scheme adequately defines the goals and objectives of an effective legal and administrative framework.

**f. Traceability criteria**

- All of the schemes employ traceability systems that can reasonably be expected to provide confidence through a chain of custody.
- None of the schemes share a common traceability system.

**g. New validation criteria**

- Even though the criteria in this section are very new and often in draft, there is evidence that some of the schemes are seeking new ways to provide validation of the effectiveness and reliability of their schemes.

**h. New ecological criteria**

- All of the schemes have undertaken some steps to incorporate the issues identified in these criteria. In only a few cases have new procedures and structures been fully implemented.

## 8. OBSERVATIONS FROM THE STUDY

As wild fisheries certification schemes continue to develop, the following steps should be considered:

- Complete documentation that is publicly available and covers the roles of the ecolabelling scheme, the certification body and the accreditation body, is strongly recommended.
- Each scheme should document procedures and demonstrate full compliance with established guidelines from ISO, WTO and ISEAL. This should include public notifications and opportunities for consultation that are easily accessible to all stakeholders.
- The use of a common traceability system across multiple certification schemes should be considered as a way to reduce cost and improve accessibility.
- Fisheries and other users of the certification and ecolabelling schemes are encouraged to consider the level of transparency from the schemes on all of the areas identified by the criteria in this study.
- None of the schemes evaluated include explicit requirements or procedures that address the management of fisheries in the context of climate change.

# ANNEX 1

## Self-Assessment Tool

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### a. Guide to completing the 2012 wild fisheries certification scheme self-assessment tool

Prepared by JJS Consulting  
15 June 2012

#### Contents of this Guide

*Contact information*

*Purpose of this guide*

*Background to this project*

*Background to the new project*

*Selection of new criteria*

*Validation criteria*

*Ecological criteria*

*How to fill in the self-assessment tool*

#### Contact information

If you have any questions about this project or would like more information about the self-assessment tool, please feel free to contact either Jordan Nikoloyuk at [jnikoloyuk@gmail.com](mailto:jnikoloyuk@gmail.com) or James Sullivan at [jjsconsulting@gmail.com](mailto:jjsconsulting@gmail.com)

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#### Purpose of this guide

This guide has been developed to provide information for individuals in filling out the self-assessment tool.

#### Background to this project

In 2009, WWF International retained Accenture to conduct the study “*Assessment of On-Pack, Wild-Capture Seafood Sustainability Certification Programmes and Seafood Ecolabels*”. A full copy of their report can be downloaded from WWF at:

[assets.panda.org/downloads/full\\_report\\_wwf\\_ecolabel\\_study\\_lowres.pdf](http://assets.panda.org/downloads/full_report_wwf_ecolabel_study_lowres.pdf)

WWF International has retained our services to produce a supplementary report to the 2009 study by Accenture. Our supplementary report will focus on four schemes identified by WWF that have either undergone significant changes, or are new since the 2009 report was completed. The schemes that we will focus on are Friend of the Sea, the Marine Stewardship Council, and Global Trust’s two “FAO Based Responsible Fisheries Management Certification Programs” for Alaska and Iceland.

This study will apply the full evaluation criteria that were used in the 2009 study. In addition, two new sets of criteria have been developed. These new criteria are designed to address changes in international expectations about fisheries management and certification schemes.

One set of new criteria will incorporate relevant elements from FAO guidelines that reflect international direction established through UN resolutions on fisheries management. These documents include the “*FAO Guidelines on Deep-Sea Fisheries Management*” and the “*FAO Guidelines on ByCatch Management and Reduction of Discards*”.

The second set of new criteria will incorporate relevant elements from ISEAL and ISO documents that reflect a growing focus on validation of certification results. The sources include *Annex A* of the recently approved *ISO 17065*, and the draft *Assurance Code and Credibility Code* from the ISEAL Alliance.

The goal of this supplementary report is to provide an independent assessment of these four schemes as of 2012 and to identify whether or not, and to what degree, each scheme is, or has taken steps to update their systems and respond to emerging trends reflected in the work of recognized international organizations.

WWF has requested that we prepare a report of this study that can, just as with the 2009 study, be published and made available to the public.

## **Background to the new criteria**

### **Selection of new criteria**

The source material for the new criteria was selected based on the following:

- Source material is proposed or adopted by recognized international organizations that seek to build consensus. Where appropriate we considered material from peer reviewed publications that reflects an emerging expert consensus.
- Elements identified from WWF's own work.
- The new material was not already covered by the Accenture 2009 criteria.

### **Validation criteria**

The new set of validation criteria includes 14 additional criteria under the following categories:

- Auditor competence (6)
- Oversight (6)
- Risk mitigation plan (2)

The sources for the validation criteria are:

- ISO 17065 Annex A – Principles for product certification bodies and their certification activities
- ISEAL Alliance – Draft credibility code
- ISEAL Alliance – Draft verification code

These documents reflect a growing consensus on a more comprehensive understanding of how certification is to be evaluated. It should be noted that all of these documents are either long established drafts (in the case of ISEAL) or in the case of ISO, recently adopted and so not fully implemented. The reference source in *ISO 17065* is *Annex A* is informative and therefore not a required section of this new guide, that being said it is a comprehensive list of the principles that should guide certification that conforms to *ISO 1065*.

### **Ecological criteria**

In addition to the ecological criteria presented in the 2009 Accenture report, 28 additional criteria under the following categories are included:

- Unit of certification (1)
- Stock status (1)
- Non-target species (10)
- Ecosystem/habitats (7)
- Forage fisheries (3)



- Pollution of water (2)
- Loss of fishing gear (1)
- Subsidies (2)
- Use of energy and CO<sub>2</sub> emissions (1)

The addition of these criteria is warranted by substantial progress in fisheries management guidance since 2009. The additional criteria are based on new technical frameworks, peer reviewed literature or internationally agreed conventions. As certification of marine fisheries progresses and evolves, it must also keep pace with changes in fisheries management regimes, particularly as the ecosystem approach and precautionary approach are expressed in tangible, on the water changes in how fisheries can mitigate impacts on the marine ecosystem. Since the 2009 Accenture Report reviewing fisheries certification and ranking schemes, there has been progress in both international and national fisheries management, including new agreements at the level of the United Nations General Assembly and the strengthening of national policy frameworks.

We have focused on the following guidelines, papers and conventions to support the legitimacy of the additional criteria:

- The *2010 FAO Guidelines on Bycatch Management and Reduction of Discards* represent a progression in guidance and best practices for mitigating the incidental capture of non-target species in a variety of fishing gear types.
- The *2008 FAO Guidelines for the Management Deep Sea Fisheries* are the result of technical consultations relating to the sustainable fisheries resolutions negotiated at the United Nations General Assembly in 2004 and 2006, where significant wording was adopted pertaining to the management of bottom fishing activities, particularly on the high seas. The identification of vulnerable marine ecosystems and their subsequent protection, as well as the practice of conducting impact assessment of fisheries, have become an integral part of managing bottom fisheries on the high seas. State measures are required by UNFSA to be compatible with measures on the high seas, and many countries are adopting and implementing policies to better regulate the impacts of fishing activities on the sea floor.
- Concern about trophic cascades and the impacts of removing forage species from the marine environment, often for use in fishmeal, resulted in a scientific task force to explore recommendations for fisheries management changes regarding forage species. These recommendations are outlined in the Lenfest Report entitled *Little Fish, Big Impact*. It is expected that these recommendations will begin to influence fisheries management policy decisions regarding forage species.
- Additional criteria and baselines provided by WWF on subsidies.
- *The International Convention for the Prevention of Pollution from Ships (MARPOL) (Annex IV)* is an existing international agreement on ship source pollution, including practices to prevent waste at sea and loss of fishing gear that should be standard practice for most fishing vessels.
- Public subsidies to ecologically damaging fishing practices are becoming increasingly controversial. Criteria are based on the *2009 WWF subsidies policy*.

#### **How to fill in the self-assessment tool**

The self-assessment tool is an excel spreadsheet containing four separate workbooks.

- **Workbook 1** – “*Accenture criteria - Theme 1*” covers the Accenture criteria pertaining to ‘Governance, structure and procedures’.

- **Workbook 2** – “*Accenture criteria - Theme 2*” covers the Accenture criteria pertaining to ‘Content of standards’.
- **Workbook 3** – “*NEW - Validation criteria*” covers newly developed validation criteria.
- **Workbook 4** – “*NEW - Ecological criteria*” covers newly developed ecological criteria.

In each of these workbooks, criteria and the relevant sources of criteria are listed, sorted by issue areas. The scheme owner is asked to complete green-coloured columns D – I in each of the four worksheets.

Issue	Criterion	Relevant source of criterion	Reference in Scheme Documents	Under Development	In Draft or Undergoing Trial	Requirement in Force	Text of Scheme Document	Notes by Scheme Owner
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- **Reference in scheme documents:** Please indicate which section(s) of relevant scheme document(s) address this criterion by providing the name of the document and paragraph/section numbers. Please write ‘yes’ or ‘no’ in the following columns to indicate whether the document referenced is:
  - Under development;
  - In Draft or Undergoing trial; or
  - Requirement is in force.
- **Text of scheme document:** Please provide the text of the scheme document(s) and section(s) that are relevant to the criterion.
- **Notes by scheme owner:** Please provide any relevant additional information, such as the expected implementation date of criteria under development, guidance for interpretation of the reference, or other factors that should be taken into account when assessing scoring.

While we will be undertaking a desk study of scheme documents to supplement the self-assessment tool, we are aware that not all scheme documents will be available and that the best scheme experts are the scheme owners themselves. We ask that the self-assessment tool be filled in completely. Since it will not be possible to assign scoring points for information that cannot be found, full completion of the self-assessment tool spreadsheet will help us ensure that our final report accurately reflects the steps that a scheme has taken steps to respond to emerging trends reflected in the work of recognized international organizations.

## b. THEME 1: Governance, structure & procedures of ecolabelling scheme

THEME 1 Governance, Structure and Procedures of Ecolabelling Scheme							
ISSUE	CRITERION	RELEVANT SOURCE OF CRITERION	REFERENCE IN SCHEME DOCUMENTS	REQUIREMENT IN FORCE			
				IN DRAFT OR UNDERGOING TRIAL		TEXT OF SCHEME DOCUMENT	NOTES BY SCHEME OWNER
				UNDER DEVELOPMENT			
<b>Topic 1: Standard setting structures and procedures</b>							
Transparency principle	The organisational structure and financial arrangements of an ecolabelling scheme are transparent.	If not published on the internet, then available through annual reports or on request.					
Governance	The governing body (e.g., Board) of an ecolabelling scheme has members that include independent experts, interested parties and other stakeholders.	(WWF principles of participation, transparency and accountability)					
Independence	The standard setting body does not perform accreditation functions nor receive payment from certification bodies for accreditation services.	(FAO Guidelines: 66, 69)					
	The standards setting body does not perform certification of fisheries or supply chains nor receive payment from certification clients for certification services.	(FAO Guidelines: 107)					
Organisational structure/ institutional arrangements	The organisational structure of a standard setting body or arrangement includes a technical committee of independent experts whose mandates are established.	(Based on FAO Guidelines: 45)					
	The organisational structure of a standard setting body or arrangement includes a consultation forum for interested parties whose mandates are established.	(Based on FAO Guidelines: 45)					
Transparent standard setting procedures	Written (documented) rules of procedure for development, review and approval of standards exist, including written procedures to guide decision-making.	(FAO Guidelines: 47, 49, 56, ISEAL)					
Terms of reference for standard setting	Upon commencement of any new standard development activity, terms of reference are prepared for the proposed new standard.	(Iseal Code: 5.2)					
	Terms of reference justify the need for the standard and establish clear objectives for the standard.	(Iseal Code: 5.2)					

THEME 1 Governance, Structure and Procedures of Ecolabelling Scheme						
				REQUIREMENT IN FORCE		
				IN DRAFT OR UNDERGOING TRIAL		
				UNDER DEVELOPMENT		
ISSUE	CRITERION	RELEVANT SOURCE OF CRITERION	REFERENCE IN SCHEME DOCUMENTS			TEXT OF SCHEME DOCUMENT
						NOTES BY SCHEME OWNER
Dispute or complaints resolution for standard setting activity	Procedural rules for standard setting activities contain a mechanism for the impartial resolution of substantive or procedural disputes or complaints about the handling of standard setting matters.	(FAO Guidelines: 47, ISEAL Code: 5.1)				
Notification of standard setting activity	When actively engaged in standard setting activity (development or review), a work programme is published nationally, regionally and internationally and/ or on the internet every six months containing: <ul style="list-style-type: none"> <li>- name of organisation;</li> <li>- address;</li> <li>- list of standards under preparation;</li> <li>- list of standards under review or revision;</li> <li>- list of standards adopted in preceding six months.</li> </ul>	(FAO Guidelines: 48, 50, 51)				
Availability of procedures, standards and notices	Standard setting procedures, draft and final standards, notices about standard setting work programmes are available and accessible to interested parties via the internet and other forms of distribution upon request.	(FAO Guidelines 49, 51, 52)				
	Within the means of the standard setting body, translations of standard setting procedures into English, French or Spanish can be provided upon request.	(FAO Guidelines 53)				
Contact point	A contact point for standard setting matters is identified.	(FAO Guidelines: 59)				
Review & revision of standards	Standards are reviewed at regular published intervals and, if appropriate, revised after such reviews.	(FAO Guidelines: 60)				
	Standard setting bodies enable interested parties to submit proposals for revision of standards which are considered through a transparent process.	(FAO Guidelines: 61)				
Validation of standards	A procedure exists to validate standards with respect to the FAO's minimum requirements for sustainable fisheries to ensure the standard does not contain criteria of no relevance to sustainable fisheries or could cause unnecessary barriers to trade, or mislead the consumer.	(FAO Guidelines: 63)				
Review of procedures	Procedures for setting standards are reviewed periodically in the light of new information and experience in standard setting.	(FAO Guidelines: 62)				
Complying with new standards	Certified fisheries are given at least three years to comply with revised standards.	(FAO Guidelines: 60)				

THEME 1 Governance, Structure and Procedures of Ecolabelling Scheme							
ISSUE	CRITERION	RELEVANT SOURCE OF CRITERION	REFERENCE IN SCHEME DOCUMENTS	REQUIREMENT IN FORCE			
				IN DRAFT OR UNDERGOING TRIAL		TEXT OF SCHEME DOCUMENT	NOTES BY SCHEME OWNER
				UNDER DEVELOPMENT			
Participation in standard setting activities	Standard setting bodies ensure balanced participation in standard setting by independent experts and interested parties.	(FAO Guidelines: 54)					
	Standard setting bodies facilitate access and participation of interested parties especially those of developing countries and countries in transition.	(FAO Guidelines: 46)					
	Interested parties can participate in standard setting activities through an appropriate consultation forum or alternative appropriate mechanisms.	(FAO Guidelines: 55)					
Consultation period on new or revised standards	Before adopting a new or revised standard, standard setting bodies allow at least 60 days for interested parties to submit comments on a draft standard.	(FAO Guidelines: 57)					
Transparent decision-making	Standard setting bodies can demonstrate how comments from interested parties have been considered.	(FAO Guidelines: 58)					
<b>Topic 2: Accreditation and certification structures</b>							
Accreditation	Accreditation is undertaken by an independent, impartial, competent and transparent accreditation body which does not perform standard setting for fisheries sustainability or traceability, nor certification of fisheries against such standards.	(FAO Guidelines: 66, 69)					
	Accreditation bodies can objectively demonstrate conformity to the requirements set out in <i>ISO/IEC Guide 17011</i> , as appropriate.	(ISO/IEC Guide 17011 ISEAL Alliance)					
Certification	Certification is undertaken by independent, impartial, competent and transparent certification body which does not perform standard setting for fisheries sustainability or traceability, nor accreditation of other certification bodies to use such standards.	(FAO Guidelines: 108)					
	Certification bodies are recognised and accredited by an independent, impartial, competent and transparent accreditation body to conduct conformity assessments using the specific standards of the ecolabelling scheme being audited.	(FAO Guidelines: 107)					

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Dispute, complaint or objection mechanisms	Adjudication of disputes, complaints or objections to certification body decisions about fisheries meeting sustainability or traceability requirements that have not been resolved by certification bodies and are forwarded to the accreditation body or ecolabelling scheme, is conducted by an independent and impartial person(s) or committee.	(FAO Guidelines: 83, 147)				
<b>Topic 3: Accreditation and certification procedures</b>						
Accreditation	Accreditation requirements and procedures are documented and provided to applicant and accredited entities who aim to use the ecolabelling scheme's standards to conduct conformity assessments.	(FAO Guidelines: 74)				
Certification	Certification procedures are documented by the ecolabelling scheme or accreditation body and provided to those applicant and accredited certification bodies that are competent to use the ecolabelling scheme's standards for conformity assessment.	(FAO Guidelines: 27, 117)				
	Measurable performance requirements (or indicators) against the standards are documented and provided to applicant and accredited certification bodies by the ecolabelling scheme or accreditation body.	(FAO Guidelines: 22, 27)				
	Methodologies for applying sustainability and traceability requirements are documented and provided to applicant and accredited certification bodies.	(FAO Guidelines: 27, 117)				
	Guidance material is documented and provided to applicant and accredited certification bodies to aid the application and interpretation of the standards.	(FAO Guidelines: 117)				
	Certification bodies are required to use the best scientific evidence available, also taking into account traditional, fisher and community knowledge of the resources provided that its validity can be objectively verified.	(FAO Guidelines: 2, 28, 29, 30, 31)				
	The certification procedures include minimum requirements for technical, scientific and auditing skills or experience for auditors, certifiers or others involved in auditing compliance with the ecolabelling scheme standard.	(WWF common sense principle)				

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<i>Certification continued</i>	The certification procedures require the use of expert judgment to determine whether a fisheries sustainability performance requirement has been met by the fishery seeking certification.	(WWF common sense principle)				
	The certification procedures enable the use of a robust, science-based, objectively verifiable risk assessment approach to assess the performance requirements or indicators of the ecolabel standard in data-poor circumstances.	Expert consultation in March 2008 recommended to COFI Sub-Committee on Trade in June 2008, which agreed that COFI should develop technical guidelines for using risk assessment approaches for data-poor fisheries, under the ecolabelling guidelines (FAO, 2008)				
Transparency	Certification bodies or ecolabelling schemes publish written records of the outcome of the science-based judgments made by certification assessment teams, including the rationale behind such judgments against each performance requirement and how the views of interested parties have been considered.	(FAO Guidelines: 27)				
Dispute, complaint or objection mechanisms	Procedures for handling complaints are published by certification bodies, ecolabelling schemes and accreditation bodies.	(FAO Guidelines: 82, 151)				
	Certification bodies, ecolabelling schemes or accreditation bodies keep written records of disputes, complaints and objections concerning certification and/or accreditation, noting that confidentiality of information shall be safeguarded during the process.	FAO Guidelines: 84, 150)				
Auditing and inspection	Certification procedures require certification bodies to monitor certified fisheries and conduct regular audits, including ad hoc audits if necessary to ensure that the fishery continues to meet the standard and to monitor progress against any non-conformances, conditions or corrective actions that may have been specified by the certification body.	(FAO Guidelines: 128)				

THEME 1 Governance, Structure and Procedures of Ecolabelling Scheme							
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<i>Auditing and inspection continued</i>	Certification procedures require certification bodies to require fisheries certification clients to notify them promptly of any changes to the management of the fishery, or other changes that may affect continued conformity to ecolabelling standards.	(FAO Guidelines: 129)					
	Certification procedures give certification bodies the ability to conduct reassessments of the fishery in the event of changes or analysis of complaints that may affect the fishery's ability to conform to ecolabelling standards.	(FAO Guidelines: 130)					
Use of label, logo or certification claim	The certification body, accreditation body or owner of the ecolabelling scheme (standard setter) has documented procedures describing the requirements, restrictions or limitations on the use of any label, logo or certification claim relating to the ecolabelling scheme's standards.	(FAO Guidelines: 141)					
Period of certification	Standards allow fisheries certification to be valid for up to five years.	(FAO Guidelines: 132)					
Training	Relevant training is provided to applicant and accredited certification bodies by standard setting bodies on the interpretation and implementation of the ecolabelling scheme's standards and certification procedures, methodologies and guidance.	(ISO 19011)					
Certification - transparency	Certification procedures for fisheries sustainability require certification bodies to engage with, and consult interested parties about the fishery in question and its likelihood of meeting the specified performance requirements of the standard.	(FAO Guidelines: 2.4, 3)					
	Certification procedures for fisheries sustainability require certification bodies to consider the views of any interested parties, including States, RFMOs and the FAO.	(FAO Guidelines: 2.4, 3, 27)					
Dispute, complaint or objection mechanism	Certification procedures allow interested parties to dispute, complain or object to the findings of an independent certification body in relation to sustainability or traceability standards.	(FAO Guidelines: 147)					



### c. THEME 2: Contents of standards: ecological, fisheries management system traceability criteria

THEME 2 Contents of Standards: Ecological, Fisheries Management System Traceability Criteria							
ISSUE	CRITERION	RELEVANT SOURCE OF CRITERION	REFERENCE IN SCHEME DOCUMENTS	REQUIREMENT IN FORCE			
				IN DRAFT OR UNDERGOING TRIAL		TEXT OF SCHEME DOCUMENT	NOTES BY SCHEME OWNER
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Unit of certification	The ecolabelling standard defines "unit of certification" in way that is consistent with the FAO definition.	(FAO Guidelines: 25, as modified by FAO, 2008)					
	The ecolabelling standard requires certification clients and certification bodies to declare transparently which species, stocks, methods, fleet(s) and/or geographical boundaries or other relevant distinguishing features are included in the unit of certification.	(FAO Guidelines: 25, as modified by FAO, 2008)					
Stock under consideration	The ecolabelling standard requires that certification clients and certification bodies declare transparently which stock or stocks are under consideration.	(FAO Guidelines: 25, as modified by FAO, 2008)					
	The ecolabelling standard requires that all fishing and other mortality of fish from any nominated stocks under consideration over their entire area of distribution are considered under a sustainability assessment for ecolabelling certification.	(FAO Guidelines: 25, as modified by FAO, 2008)					
	The ecolabelling standard requires that only fish or fishery products that come from nominated stocks under consideration, and that pass the relevant standard, may be entitled to carry the ecolabel, logo or make any public claim to meet the ecolabel standard for a sustainable fishery.	(FAO Guidelines: 25, as modified by FAO, 2008)					
Sustainability outcome (biological or ecological status)	The ecolabelling standard is outcome oriented – i.e., the standard includes criteria and/or performance indicators where the use of which in conformity assessment will objectively demonstrate that the fishery's stock status and the impacts of the fishery on the ecosystem are sustainable according to appropriate measures and/or proxies.	(WWF EBM Component 7)					
Ecological role	The ecolabelling standard requires the ecological role of the stock under consideration to be taken into account in determining stock status and/or limit and target reference points (or proxies), including key prey species and the potential impacts of its removal on dependent predators.	(FAO Guidelines: 31.2)					

THEME 2 Contents of Standards: Ecological, Fisheries Management System Traceability Criteria						
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ISSUE	CRITERION	RELEVANT SOURCE OF CRITERION	REFERENCE IN SCHEME DOCUMENTS			
Stock status	The ecolabelling standard requires the stock under consideration to be above its limit reference point (or appropriate proxy) if a biomass reference point, or below its limit reference point (or appropriate proxy) if a fishing mortality reference point.	(FAO Guidelines: 30.1, 30.3)				
Stock rebuilding	The ecolabelling standard allows rebuilding of stocks that are above fishing mortality (or proxy) reference points or below biomass (or proxy) limit reference points, but requires action to be taken to rectify the situation and evidence of stock rebuilding.	(FAO Guidelines: 30.2)				
Evidence	The ecolabelling standard allows generic evidence based on similar fisheries in the absence of specific stock information. However, the standard also requires more specific evidence the greater risk to stocks particularly in intensive fisheries.	(FAO Guidelines: 30.4)				
Key elements of ecosystems	The ecolabelling standard defines the important elements of ecosystems that must be audited for certification.	(WWF EBM Components)				
Non-target species	The ecolabelling standard requires knowledge of the potential impacts of the fishery on: stocks other than stocks under consideration including discards, retained non-target, other by-catch species and, unobserved mortality of species.	(FAO Guidelines: 31.1)				
	The ecolabelling standard requires that non-target catches should not threaten non-target stocks with serious risk of extinction.	(FAO Guidelines: 31.1)				
	The ecolabelling standard requires knowledge of the potential impacts of the fishery on Protected, Endangered and Threatened (PET) species.	(WWF EBM Components 4, 7 and 8)				
	The ecolabelling standard requires that the fishing impacts on protected species are within safe biological limits as measured by relevant proxy indicators, or if endangered or threatened, that fishing impacts are not compromising the ability of the species' population to rebuild.	(WWF EBM Components 4, 7 and 8)				
Habitats	The ecolabelling standard requires knowledge of essential and highly vulnerable habitats and the potential impacts of the fishery.	(FAO Guidelines: 31.3) (WWF EBM Components 4, 7 & 8)				

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<i>Habitats continued</i>	The ecolabelling standard requires the assessment of fishery impacts on habitat to consider the full spatial range of relevant habitats, not just the part of the spatial range that is potentially affected by fishing.	(FAO Guidelines: 31.3)				
	Impacts on essential habitats or habitats that are highly vulnerable to damage, are to be avoided, minimised or mitigated.	(FAO Guidelines: 31.3) (WWF EBM Components 4,7 &8)				
Key elements of wider ecosystem structure and function	The ecolabelling standard requires knowledge of the potential impacts of the fishery on key elements of ecosystem structure and function.	The ecolabelling standard requires knowledge of the potential impacts of the fishery on key elements of ecosystem structure and function.				
Evidence	The ecolabelling standard allows generic evidence based on similar fisheries in the absence of specific information on impacts of fishing for the unit of certification. However, the standard also requires more specific evidence the greater risk to stocks particularly in intensive fisheries.	(FAO Guidelines: 31.4)				
<b>Topic 5: Fisheries management system criteria</b>						
Good management practice	The ecolabelling standard requires the fishery to be conducted under a management system that operates in compliance with the requirements of relevant local, national and international law and regulations, including the requirements of any RFMO that manages the fisheries on the stock under consideration.	(FAO Guidelines: 28)				
	The ecolabelling standard requires that fishery management focuses on long-term sustainable use and conservation, not short-term considerations.	(FAO Guidelines:29.4)				
Appropriate management	The ecolabelling standard requires fishery management to be appropriate for the scale, type or context of the fishery.	(FAO Guidelines:29)				
Legal framework	The ecolabelling standard requires that an effective legal and administrative framework, at the appropriate level, is established for the fishery.	(FAO Guidelines:29.5)				

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<i>Legal framework continued</i>	The ecolabelling standard requires that compliance with fishery management rules, measures, etc. is ensured through effective mechanisms for monitoring, control, surveillance and enforcement.	(FAO Guidelines: 6,29.5)				
	The ecolabelling standard requires the existence of appropriate and transparent dispute resolution mechanisms.	(WWF Principles of fairness and justice)				
Objectives	The ecolabelling standard requires objectives for managing the stock under consideration and the ecosystem effects of fishing.	(FAO Guidelines: 28.2, 31)				
Adequate data and information collected	The ecolabelling standard requires adequate data and/or information on target stocks (stocks under consideration) to be collected and maintained to enable stock status and trends to be evaluated and the effectiveness of management measured.	(FAO Guidelines: 29.1)				
	The ecolabelling standard requires adequate data and/or information to be used to identify risks and adverse effects of the fishery on key elements of ecosystems and the effectiveness of management measured.	(FAO Guidelines: 29.3)				
Traditional, fisher or community knowledge	The ecolabelling standard allows traditional, fisher or community knowledge to be considered when evaluating fisheries, provided its validity can be objectively verified.	(FAO Guidelines: 29.1, 29.2, 29.3)				
Stock assessment	The ecolabelling standard requires that appropriate stock assessments are conducted to determine stock status and trends for the stock under consideration.	(FAO Guidelines: 29.1, 29.2, 32)				
Timely and best available science	The ecolabelling standard requires that the best science available be used in the fisheries management process.	(FAO Guidelines: 29.2, 29.3, 29.4)				
	The ecolabelling standard requires that timely scientific advice on the likelihood and magnitude of fishery impacts be provided in the fishery management process.	(FAO Guidelines: 29.3)				
Reference points (or proxies)	The ecolabelling standard requires the fishery to have appropriate target reference points (or proxies) that are consistent with BMSY.	(FAO Guidelines: 29.2, 29.2bis 29.6)				
	The ecolabelling standard requires the fishery to have appropriate limit reference points or directions (or proxies) that are consistent with avoiding recruitment overfishing.	(FAO Guidelines: 29.2, 29.2bis 29.6)				

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Management measures	The ecolabelling standard requires designated fisheries management authorities or entities to adopt and implement appropriate measures for sustainable use and conservation of the stock under consideration, and avoid severe adverse impacts on dependent predators if the species is a key prey species.	(FAO Guidelines: 29.4, 31.2)				
	The ecolabelling standard requires designated fisheries management authorities or entities to adopt and implement measures to avoid, minimise or mitigate, as appropriate, adverse impacts on key elements of the fishery's ecosystem.	(FAO Guidelines: 31.3)				
	The ecolabelling standard requires that management approaches are documented, take into account uncertainty and imprecision and have a reasonable expectation that management will succeed.	(FAO Guidelines: 28.1)				
	The ecolabelling standard requires that a precautionary approach be used and that the absence of scientific information not be used as a reason for postponing or failing to take conservation or management measures.	(FAO Guidelines:29.6)				
	The ecolabelling standard allows the management system to use suitable methods of risk assessment to take into account relevant uncertainties.	(FAO Guidelines:29.6)				
	The ecolabelling standard requires the management system to adopt remedial actions if reference points are approached or exceeded.	(FAO Guidelines:29.6)				
	The ecolabelling standard allows recovery, restoration or rebuilding of stocks or key ecosystem elements within reasonable timeframes.	(FAO Guidelines:30)				
Research	The ecolabelling standard requires research to be conducted that is aimed at addressing the ecosystem, stock and fishery's management information needs.	(WWF EBM Component 10)				
Subsidies	The ecolabelling standard requires that there are no harmful or perverse subsidies used in the fishery that could result in unsustainable fish stocks or unhealthy, dysfunctional ecosystems.	(WWF subsidies policy position, 2009)				
Performance assessment and review processes	The ecolabelling standard requires that the performance of the fishery and its management approach are reviewed and assessed against management objectives.	(WWF EBM Components 9 & 11)				

## d. New validation criteria

THEME 2 Contents of Standards: Ecological, Fisheries Management System Traceability Criteria							
REQUIREMENT IN FORCE							
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ISSUE	CRITERION	RELEVANT SOURCE OF CRITERION	REFERENCE IN SCHEME DOCUMENTS			TEXT OF SCHEME DOCUMENT	NOTES BY SCHEME OWNER
Stakeholder engagement and participation	The ecolabelling standard requires fisheries managers or decisionmakers to engage with, or enable the participation of stakeholders with an interest in, or who are affected by fisheries management decisions, in the decision-making process.	(WWF EBM Components 1-12)					
Accountability & transparency	The ecolabelling standard requires fisheries management decision makers to be accountable and transparent to interested parties about the fisheries management decisions they make.	(WWF common sense principle)					
<b>Topic 6: Traceability criteria</b>							
Chain of custody	If an ecolabel, logo or sustainability claim is to be made about fish or fishery products at any time, standards require chain of custody certification at each point of transfer in the supply chain, including the first point of landing, transshipment at sea or other vessel to vessel transfer.	(FAO Guidelines: 135)					
Segregation and separation	Standards require that all certified fish or fishery products are clearly identified and kept separate (either spatially or temporally) from all non-certified fish or fishery products at each point of transfer along the supply chain.	(FAO Guidelines: 135)					
Records	Standards require that records relating to incoming and outgoing shipments, receipts and invoices are kept by the recipients of certified fish or fishery products.	(FAO Guidelines: 136)					
Audits & inspections	Standards require that certification bodies have documented audit and inspection procedures, including the frequency of audits and the use of ad hoc inspection.	(FAO Guidelines: 137)					
	Standards require that certification bodies produce written audit reports which include records of any breaches of standards and relevant corrective actions required.	(FAO Guidelines: 138, 139, 140)					
Certification period	Standards allow chain of custody certification to be valid for up to three years.	(FAO Guidelines: 132)					

New Validation Criteria						
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ISSUE	CRITERION	RELEVANT SOURCE OF CRITERION	REFERENCE IN SCHEME DOCUMENTS		TEXT OF SCHEME DOCUMENT	NOTES BY SCHEME OWNER
Auditor competence	The ecolabelling scheme has documented and defined criteria for the competence of auditors and other personnel.	(ISO 17065 A.3)				
Auditor competence	Auditors and audit team members receive initial and ongoing training according to the requirements of their respective positions. Auditors are trained in the following: 1) Interpreting the standard(s) in different contexts by understanding the intent of each criterion; 2) Conducting qualitative interviews; 3) Performing sampling tasks; 4) Guidelines and limits on providing information and advice during an audit.	(ISEAL Assurance Code 0.2; 6.4.2; ISO 17065 A.3)				
Auditor competence	The ecolabelling scheme has a documented protocol for the ongoing evaluation of auditors and other assurance personnel. The protocol shall include at least: 1) The entity responsible for the evaluations; 2) Types of evaluation to be employed; 3) How each evaluation is applied: rules, administration, scoring and pass rates, etc.; 4) Records of evaluation; and 5) Frequency of evaluations.	(ISEAL Assurance Code 0.2; 6.4.6; ISO 17065 A.3)				
Auditor competence	New auditors are required to complete a probationary period during which they are supervised by qualified auditors and are provided with mentoring and other on-the-job learning opportunities.	(ISEAL Assurance Code 0.2; 6.4.4; ISO 17065 A.3)				
Auditor competence	Evaluations of auditor competence include witness audits.	(ISEAL Assurance Code 0.2; 6.4.6; ISO 17065 A.3)				
Auditor competence	The ecolabelling scheme has defined and documented the probationary and mentoring requirements for auditors.	(ISEAL Assurance Code 0.2; 6.4.4; ISO 17065 A.3)				
Oversight	The ecolabelling scheme requires that certification bodies substantially fulfill the requirements of <i>ISO 17065</i> (Guide 65 until implementation period is complete) or <i>ISO 17021</i> and the relevant IAF guidance.	(ISEAL Assurance Code 0.2; 5.1.2)				
Oversight	The ecolabelling scheme has defined and documented the procedures for conducting oversight of certification bodies.	(ISEAL Assurance Code 0.2; 6.7.3)				
Oversight	Oversight includes a review, at regular intervals, of: 1) the management system of certification bodies; 2) the competence of certification body personnel (including a selection of witness audits); and 3) the results of the assurance activity.	(ISEAL Assurance Code 0.2; 6.7.3)				

## e. New ecological criteria

New Validation Criteria						
				REQUIREMENT IN FORCE		
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ISSUE	CRITERION	RELEVANT SOURCE OF CRITERION	REFERENCE IN SCHEME DOCUMENTS			TEXT OF SCHEME DOCUMENT
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Oversight	The ecolabelling scheme regularly reviews audits conducted by certification bodies that includes: 1) On-site visit to a client without the auditor present and evaluating the last inspection report to see if the inspection report of the certification body correlates with what is seen at the time; and 2) Client interview to get their impression of their certification body.	(ISEAL Assurance Code 0.2; 6.7.3)				
Oversight	The ecolabelling scheme conducts regular in-depth monitoring of a specific issue across all certification bodies in the scheme, to compare, and therefore determine the level of competence and consistency of assurance across the scheme.	(ISEAL Assurance Code 0.2; 6.7.3)				
Oversight	The ecolabelling scheme conducts regular reviews of information obtainable from the databases of certification bodies.	(ISEAL Assurance Code 0.2; 6.7.3)				
Oversight	The ecolabelling scheme regularly reviews the effort (usually measured as time) spent on audits by certification bodies.	(ISEAL Assurance Code 0.2; 6.7.3)				
Risk mitigation plan	The ecolabelling scheme has a documented plan for addressing the risks of non-conformance within their system. The plan includes: 1) A list of the most significant risks in their system that are likely to lead to instances of non-conformance; and 2) A description of the strategies being employed by the ecolabelling scheme-owner to address each of these risks.	(ISEAL Assurance Code 0.2; 6.1.1)				
Risk mitigation plan	The ecolabelling scheme makes its risk mitigation plan publicly available, at least through publication on its website.	(ISEAL Assurance Code 0.2; 6.1.1)				
Risk mitigation plan	The ecolabelling scheme reviews and if appropriate revises the risk mitigation plan annually.	(ISEAL Assurance Code 0.2; 6.1.2)				



New Ecological Criteria						
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Unit of certification	The ecolabelling standard does not allow division of the unit of certification by target species in cases where fisheries use non-selective gear types or target more than one species with the same gear and spatial-temporal fishing activity.	(FAO Ecolabelling Guidelines 25)				
Stock status	The ecolabelling standard rewards policies or frameworks in place that require establishment of stock rebuilding timelines and targets based on limit reference points or proxies.					
Non-target species	Where appropriate, the ecolabelling standard rewards the use of alternative fishing gear that results in lower bycatch.	(FAO Guidelines on Bycatch Management 7.5.1)				
Non-target species	The ecolabelling standard requires that discard reduction and bycatch management strategies reflect the fishery's proportional impact on non-target species.	(WWF EBM Components 4, 7 & 8)				
Non-target species	The ecolabelling standard requires that all significant sources of fishing mortality of non-target species are explicitly considered in fisheries management planning.	(FAO Guidelines on Bycatch Management 4.1.1)				
Non-target species	The ecolabelling standard requires that management policies are in place that aim to reduce discards.	(FAO Guidelines on Bycatch Management 3.1.2)				
Non-target species	The ecolabelling standard requires continuous action and/or improvement to contribute to the maximization of post-release survival.	(FAO Guidelines on Bycatch Management 2.5)				
Non-target species	The ecolabelling standard requires that bycatch management and discard reduction measures are binding, measurable and implemented.	(FAO Guidelines on Bycatch Management 7.1)				
Non-target species	The ecolabelling standard explicitly considers the accuracy of data used to determine impacts on discarded species.	(FAO Guidelines on Bycatch Management 5.1.4)				
Non-target species	The ecolabelling standard requires the collection of data sufficient to provide quantitative estimates of total catch, discards and incidental takes.	(FAO Guidelines on Bycatch Management 5.1.3)				
Non-target species	Issues related to data accuracy of non-target species catch are treated in a manner consistent with the precautionary approach.	(FAO Guidelines on Bycatch Management 5.1.4)				
Non-target species	The ecolabelling standard requires a comprehensive consideration of best practices of bycatch management and reduction of discards.	(FAO Guidelines on Bycatch Management 4.1.4)				

New Ecological Criteria						
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Ecosystem/habitats	Where appropriate the ecolabelling standard rewards the use of alternative fishing gear and additional precautionary management measures that result in lower impacts on ecosystem integrity.	(FAO Guidelines on Deep-Sea Fisheries Management 71)				
Ecosystem/habitats	The ecolabelling standard requires identification of VME species particular to the ecosystem where the fishery is taking place.	(FAO Guidelines on Deep-Sea Fisheries Management 17)				
Ecosystem/habitats	The ecolabelling standard requires that areas where VMEs are known or likely to occur, to be closed until appropriate conservation and management measures have been established to prevent significant adverse impacts.	(FAO Guidelines on Deep-Sea Fisheries Management 63)				
Ecosystem/habitats	The ecolabelling standard requires existence of data collection protocol and program for non-target, non-commercial species, particularly benthic species which may be impacted during fishing activity.	(FAO Guidelines on Deep-Sea Fisheries Management 32)				
Ecosystem/habitats	The ecolabelling standard identifies individual fishery and cumulative significant adverse impacts on ecosystem integrity.	(FAO Guidelines on Deep-Sea Fisheries Management 42)				
Ecosystem/habitats	The ecolabelling standard requires impact assessments, in a manner consistent with FAO Guidelines on Deep Sea Fisheries, to determine if fisheries are likely to produce significant adverse impacts.	(FAO Guidelines on Deep-Sea Fisheries Management 47)				
Ecosystem/habitats	The ecolabelling standard considers the intensity, spatial scale, ecosystem vulnerability, recovery potential, and change in ecosystem function in determination of significance of ecosystem impacts in a manner consistent with precautionary management.	(FAO Guidelines on Deep-Sea Fisheries Management 18)				
Forage fisheries	The ecolabelling standard considers predator requirements for forage species.	(Lenfest Forage Fisheries Report page 7)				
Forage fisheries	The ecolabelling standard rewards spatial and temporal closures for forage fisheries based on ecological criteria.	(Lenfest Forage Fisheries Report page 7)				
Forage fisheries	The ecolabelling standard includes a tiered management strategy for forage species that is related to information availability.	(Lenfest Forage Fisheries Report page 6,8)				
Pollution of water	The ecolabelling standard does not permit use of highly toxic and persistent antifouling on vessels and capture gear (e.g. TBT).	(MARPOL Annex V, Regulation 4 ( <a href="http://www.imo.org/OurWork/Environment/PollutionPrevention/Garbage/Documents/201%2862%29.pdf">http://www.imo.org/OurWork/Environment/PollutionPrevention/Garbage/Documents/201%2862%29.pdf</a> ))				

New Ecological Criteria						
				REQUIREMENT IN FORCE		
				IN DRAFT OR UNDERGOING TRIAL		
				UNDER DEVELOPMENT		
ISSUE	CRITERION	RELEVANT SOURCE OF CRITERION	REFERENCE IN SCHEME DOCUMENTS		TEXT OF SCHEME DOCUMENT	NOTES BY SCHEME OWNER
Pollution of water	The ecolabelling standard requires proper disposal of all non-biodegradable waste on land.	(MARPOL Annex V, Regulation 3 ( <a href="http://www.imo.org/OurWork/Environment/PollutionPrevention/Garbage/Documents/201%2862%29.pdf">http://www.imo.org/OurWork/Environment/PollutionPrevention/Garbage/Documents/201%2862%29.pdf</a> ))				
Loss of fishing gear	The ecolabelling standard requires precautions to be taken to prevent the loss of fishing gear.	(MARPOL Annex V, Regulation 7 ( <a href="http://www.imo.org/OurWork/Environment/PollutionPrevention/Garbage/Documents/201%2862%29.pdf">http://www.imo.org/OurWork/Environment/PollutionPrevention/Garbage/Documents/201%2862%29.pdf</a> ))				
Subsidies	The ecolabelling standard requires that there are no harmful or perverse subsidies used in the fishery that could result in unsustainable fish stocks or unhealthy ecosystems.	(WWF subsidies policy position) (WWF, 2004 and 2011)				
Subsidies	The ecolabelling standard requires that there are no harmful or perverse subsidies used in the fishery that could result negative environmental impacts.	(WWF subsidies policy position) (WWF, 2004 and 2011)				
Use of energy and CO <sub>2</sub> emissions	The standard requires reduction of energy use/emissions of CO <sub>2</sub> and/or increase in efficiency of energy used per volume of fish landed.	(Seafood label ranking chart provided by WWF CH)				

# ANNEX 2

## The Authors

The team includes Mr. James Sullivan as lead consultant, Dr. Susanna D. Fuller and Mr. Jordan Nikoloyuk.

### **Mr. James Sullivan**

His work has been at the national and international level. His experience includes serving as Research Associate to the Task force on the Churches and Corporate Responsibility, Vice-chair of the Forest Stewardship Council's (FSC) international Board of Directors, and Founding chair of FSC Canada. As Deputy Executive Director and Operations Director of FSC International he oversaw the international accreditation and standards development programs of FSC. In addition he was a Member of the Canadian Delegation to *ISO TC 207* (developing the ISO 14000 series of standards) and a Founder of the International Social and Environmental Accreditation and Labelling Alliance (ISEAL).

His current clients include the Aquaculture Stewardship Council (ASC), Accreditation Services International (ASI) and Clean Production Action. James is a Member of the Boards of Directors for Greenpeace Canada and the Sustainability Network.

He holds a Bachelor degree from the University of St. Thomas in Houston, Texas; a Master of Divinity degree from the University of St. Michael's College, the University of Toronto and the Toronto School of Theology; and, a Master of Arts degree in Regional Planning and Resource Development from the University of Waterloo. In addition, he is a Full Member of the Canadian Institute of Planners and the Atlantic Planners Institute.

### **James' conflict of interest statement**

James declares he knows of no relationship (through ownership, family connections of consulting projects) with any party involved in fishing, the fishing industry chain of custody, and certification to MSC, Friend of the Sea and Global Trust standards or consulting to organizations on how to gain MSC, Friend of the Sea or Global Trust certification.

James has provided consulting services to MSC on various projects since 2002; in 2009 he spent six months working full time in the MSC London office; and, was the lead consultant in the project to revise the MSC Certification Requirements. His services to MSC have focused on the management of the accreditation requirements, including the oversight by the accreditation body and the conduct of audits by conformity assessment bodies. His work has not included the content of requirements that directly apply to applicants for MSC fisheries certification except when they impact on the conduct of auditors.

He is currently a Member of the ASI Accreditation Committee which reviews the reports submitted and makes recommendations for decisions by ASI on accreditation, changes in scope of accreditation, suspension and termination of accreditation for conformity assessment bodies for the FSC (forests, chain of custody & controlled wood), MSC (fisheries & chain of custody) and ASC (farm) programs.

### **Dr. Susanna Fuller**

Susanna has been involved in marine conservation for the past 15 years, through a variety of research and policy aspects as well as market incentives for sustainable fisheries.

Susanna works with the Ecology Action Centre in Halifax, Canada on marine conservation. She currently coordinates the High Seas Alliance, an international organization of 24 non-government organizations working towards improved governance on the high seas. In the past, Susanna has done work for the Pew Environmental Group and the Deep Sea Conservation Coalition, largely in the interface between science and policy at the United Nations and Regional Fisheries Management Organization level.

Susanna completed her PhD. In 2011 from Dalhousie University on the subject of marine sponge diversity in the North West Atlantic. Her scientific research has also been complimented by extensive work on national and international fisheries and marine conservation policy. In the past, Susanna has done contract work for Fisheries and Oceans Canada on a review of the *United Nations Fish Stocks Agreement* implementation at the level of Regional Fisheries Management Organizations. She has also been involved in national policy development through the Canadian Sustainable Fisheries Framework, which includes policies on protecting benthic areas, bycatch, precautionary frameworks and rebuilding strategies.

Through her understanding of scientific research, knowledge of the broad policy framework for fisheries and marine conservation at the national and international level, as well as involvement in seafood markets work through SeaChoice, Monterey Bay Aquarium, Salmon Aquaculture Dialogues, and MSC stakeholder processes, Susanna is very familiar with the context within which certifications exist as well as the challenges to achieving measureable change on the water.

#### **Susanna's conflict of interest statement**

Susanna declares she knows of no relationship (through ownership, family connections of consulting projects) with any party involved in fishing, the fishing industry chain of custody, and certification to MSC, Friend of the Sea and Global Trust standards or consulting to organizations on how to gain MSC, Friend of the Sea or Global Trust certification.

Susanna has been involved in numerous MSC stakeholder processes, primarily in Atlantic Canada. Susanna has not been involved with any entity seeking MSC certification, or any other certification and her focus has been bringing additional information into the stakeholder processes to ensure credibility of the assessment by the Certification Body. Susanna sits on the Steering Committee of SeaChoice, a Canadian affiliate organization to the Monterey Bay Aquarium Seafood Watch program. She has been involved in revising the criteria for MBA and SeaChoice from a science advisory perspective.

Susanna participates in the Conservation Alliance for Seafood Solutions and as a result is familiar with many of the ongoing efforts in benchmarking and eliminating discrepancies between seafood certification and ranking programs.

**Mr. Jordan Nikoloyuk**

Jordan has worked on labelling and certification of food and commodity products in both fisheries and agricultural sectors. He holds a Master of Science degree in Sustainable Development: Environmental Policy and Management from Utrecht University, Netherlands and a Bachelor of Arts (Honours) from Carleton University in Ottawa, Ontario. Jordan completed his thesis on agricultural commodity certification through a work placement in Unilever's Department of Sustainable Agriculture.

Jordan's work on fisheries and marine conservation policy has been complemented by scientific research on certification schemes including the Marine Stewardship Council, the Roundtable on Sustainable Palm Oil, the Round Table on Responsible Soy, Fairtrade International, and the Rainforest Alliance.

Jordan currently works with the Ecology Action Centre in Halifax, Nova Scotia on a number of marine conservation issues and towards building market incentives for sustainable fisheries.

**Jordan's conflict of interest statement**

Jordan declares he knows of no relationship (through ownership, family connections of consulting projects) with any party involved in fishing, the fishing industry chain of custody, and certification to MSC, Friend of the Sea and Global Trust standards or consulting to organizations on how to gain MSC, Friend of the Sea or Global Trust certification.

Jordan has been involved in numerous MSC stakeholder processes in Atlantic Canada and public policy consultations. Jordan has not been involved with any entity seeking MSC certification or any other certification. His participation in stakeholder processes and consultations has been for the purpose of bringing additional information to the attention of certification bodies and policy development groups to ensure the credibility of assessments. He has had no financial interests in the outcome of consultation processes.

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