



# BENCHMARK REPORT

SCHEME:

SCOPE:

DATE: **November 22, 2021**

**Confidence** in certified seafood



## STATEMENT OF RECOGNITION



SCHEME:

SCOPE:

DATE: **November 22, 2021**



Section A. Governance of a Seafood Certification Scheme



Section B. Operational Management of a Seafood Certification Scheme



Section C. Aquaculture Certification Standards



Section D. Fisheries Certification Standards

Thereby, GSSI considers the above seafood certification scheme to be in alignment with the FAO Guidelines for the Ecolabelling of Fish and Fishery Products from Marine/Inland Capture Fisheries.

This Report lists evidence of alignment with applicable *GSSI Essential Components* and *GSSI Supplementary Components*, where implemented.

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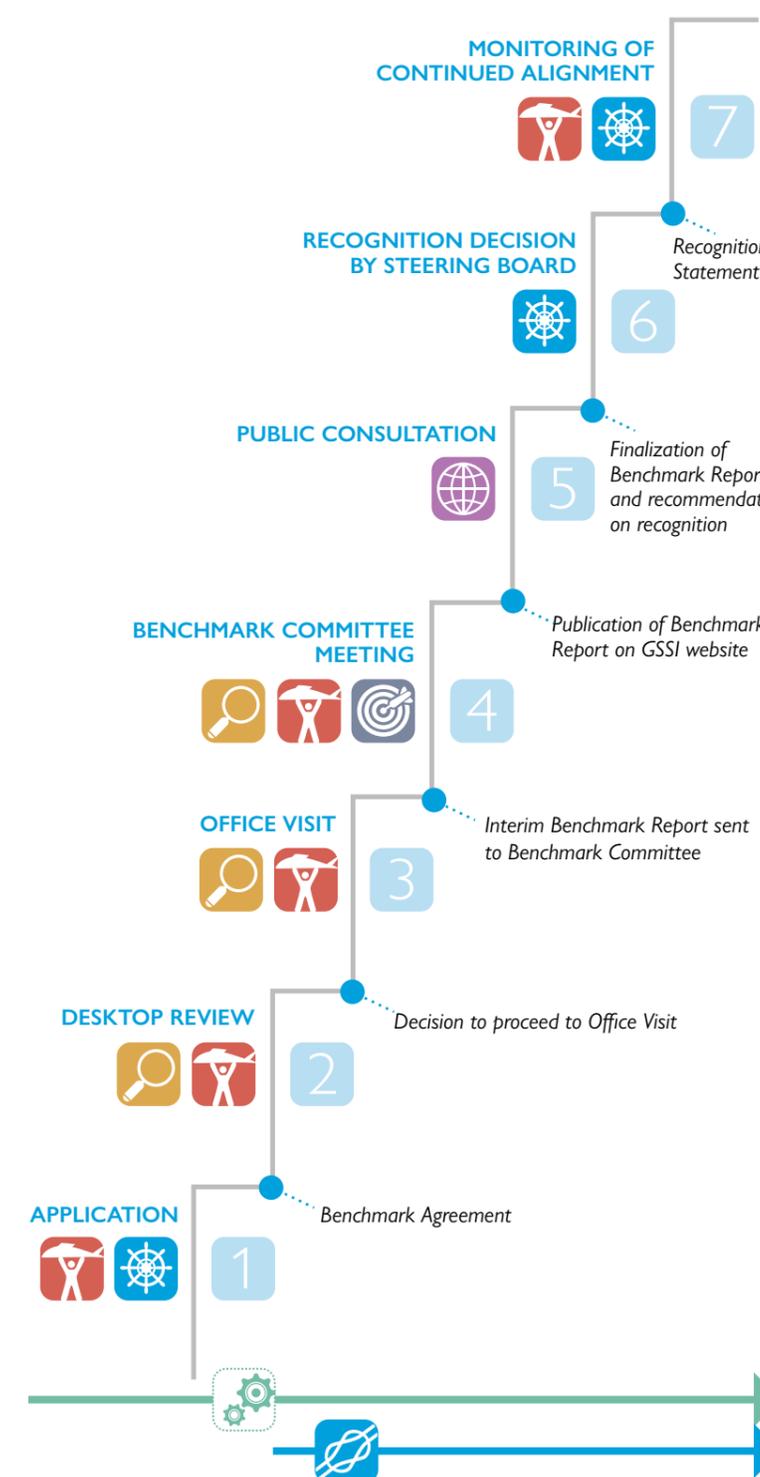
## SCHEME OVERVIEW

SCHEME NAME	
STANDARD	
FOUNDING DATE	
FOUNDING PARTIES	
MISSION	
OBJECTIVE(S)	
SCOPE	
WEB SITE	

FROM APPLICATION TO RECOGNITION:

KEY STEPS AND RESPONSIBILITIES IN THE GSSI BENCHMARK PROCESS

DESCRIPTION	
1	
2	
3	
4	
5	A 30 days Public Consultation was held to allow a transparent Benchmark Process with opportunity for engagement and comments. All comments submitted were given careful consideration by the Benchmark Committee in their final recommendation for recognition. The responses to the comments submitted are published online at <a href="http://www.ourgssi.org">www.ourgssi.org</a> .
6	
7	



Who is involved?

- 
**Scheme Owner**  
 An organisation, which is responsible for the development, management and maintenance of a certification scheme.
- 
**Independent Experts**  
 A team of professional, competent and trained individuals appointed by GSSI's Steering Board to conduct the assessment of a seafood certification scheme applying for GSSI recognition.
- 
**Steering Board Liaison**  
 An appointed member of GSSI's Steering Board assigned to support and monitor the Benchmark Process on behalf of the Steering Board.
- 
**Benchmark Committee**  
 A multi-stakeholder committee of technical experts appointed by GSSI's Steering Board to review the Benchmark Report and provide a recommendation on recognition.
- 
**Public**  
 Members of the global seafood industry, NGOs, academics, international organizations, and general public.
- 
**Steering Board**  
 GSSI governing body who is responsible, with the support of the Secretariat, for the general management and performance of GSSI.
- 
**GSSI Secretariat**  
 Concerned with operations, facilitation and communication, and all other work that may be required for the operational management of GSSI and the Benchmark Process.

## WHO IS INVOLVED\*

	<h3>SCHEME REPRESENTATIVES</h3>
	<h3>INDEPENDENT EXPERT (PROCESS)</h3>
	<h3>INDEPENDENT EXPERT (TECHNICAL)</h3> <p>John Hargreaves, Independent Expert, Section C, is an aquaculture expert with 40 years of experience in research, teaching and development. For the past 13 years, he has been a freelance consultant on commercial aquaculture and development projects. He has expertise in water quality management, engineering design assessments and Best Management Practices. He has broad international experience in Latin America, Africa and the Middle East and has worked with commercially important finfish, shellfish and crustaceans in a wide range of freshwater and marine production systems. He is also Editor-in-Chief of World Aquaculture magazine, a quarterly publication of the World Aquaculture Society.</p>
	<h3>INDEPENDENT EXPERT (TECHNICAL)</h3> <p>Dr. Joseph DeAlteris, Independent Expert, Section D, retired from the University of Rhode Island (URI) in May 2012 and was awarded Professor Emeritus status. In 30 years of service to URI he has taught course work, conducted research, and developed outreach programs in fisheries conservation engineering, fish population dynamics and quantitative ecology, and shellfish aquaculture. DeAlteris mentored more than 40 graduate students completing MS and PhD degrees and served on numerous government committees including the National Research Council. He authored more than 35 publications in peer-reviewed journals, and also authored and co-authored numerous books, manuals, non-referred articles, and technical reports in the fields of fisheries biology, stock assessment and fishing gear technology.</p>
	<h3>STEERING BOARD LIAISON</h3> <p>Judy Panayos is the Sr. Director of Sustainability in Supply Management at Sodexo with responsibilities for sustainability and corporate responsibility in supply. Judy works to incorporate internal and client goals for sustainability and corporate responsibility into sourcing strategies including local sourcing, sustainable products (including seafood), responsible supply chain practices and sustainability innovation. Previously, Judy worked in medical device manufacturing at Becton Dickinson (BD). Over the 10+ years at BD, Judy had oversight of various supplier programs including Sustainable Procurement, Supplier Diversity, Supplier Risk, Supplier Quality Management, and Supplier Recognition. She also held positions in Strategic Sourcing, Planning, Distribution, Transportation and Customer Service. Previous to BD, Judy has over fifteen years of experience in key roles in Performing Arts Logistics Management, including urban renewal projects including government, industry and non-profit partnerships. Judy also sits on the Strategic Advisory Committee of the Sustainable Purchasing Leadership Council. She has a Corporate Responsibility certificate and an M.B.A. from Rutgers University and a B.F.A. from New York University.</p>
	<h3>STEERING BOARD MEMBERS</h3> <ul style="list-style-type: none"> <li>•Hugo Byrnes (Vice President Product Integrity, Ahold Delhaize)</li> <li>•Dr. Jason Clay (Senior Vice President, Food &amp; Markets)</li> <li>•Flavio Corsin (Aquaculture Director, IDH, the Sustainable Trade Initiative)</li> <li>•Jennifer Dianto Kemmerly (Director of Global Fisheries and Aquaculture, Monterey Bay Aquarium)</li> <li>•Bill DiMento (Vice President of Quality Assurance, Sustainability, and Government Affairs, High Liner Foods Inc.)</li> <li>•Lisa Goché (Vice President, Grobest Global Services, Inc.)</li> <li>•Peter Hajipieris (On behalf of Regal Springs Global Responsibility, Sustainability and External Affairs)</li> <li>•Wakao Hanaoka (Founder/CEO, Seafood Legacy)</li> <li>•Dr. Audun Lem (Deputy Director of the Policy and Resources Division in the Fisheries and Aquaculture Department, FAO)</li> <li>•Darian McBain (Global Director of Corporate Affairs and Sustainability, Thai Union)</li> <li>•Angel Matamoro Irago (Chief Corporate Social Responsibility at Nueva Pescanova Group)</li> <li>•Judy Panayos (Senior Director, Sustainability Supply Management, Sodexo)</li> <li>•Elisabeth Vallet (Director, Ethic Ocean)</li> <li>•Christian von Dorrien (Leader Fisheries and Environment Research Group, Institute of Baltic Sea Fisheries Thünen Institute)</li> <li>•Andrea K. Weber (Director Corporate Sustainability, METRO AG)</li> <li>•Annika Mackensen</li> </ul>

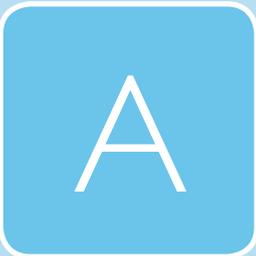
\* Please include short biographical information

# WHO IS INVOLVED\*

	<b>GSSI SECRETARIAT REPRESENTATIVE</b>
	<b>BENCHMARK COMMITTEE MEMBERS</b>

\* Please include short biographical information

# SUMMARY



# HOW TO READ THE SUMMARY

Each summary is a graphical display of all GSSI Essential Components and those GSSI Supplementary Components with which the benchmarked scheme is in alignment. GSSI Components which are not applicable are marked with "NA". All GSSI Components are organized by Topics and Elements. Source documents are colour-coded and referenced.

GSSI Benchmark Report identification number

Section

Performance Area number

Performance Area

Topic

Element

**GSSI Essential Component:** each Element includes one or more GSSI Essential Components which are numbered according to their respective Section and Performance Area. e.g. A.1.03 is the 3rd GSSI Essential Component of Performance Area 1 in section A.

GSSI BENCHMARK REPORT:

A SUMMARY: GOVERNANCE OF SEAFOOD CERTIFICATION SCHEMES

SCHEME GOVERNANCE		SCHEME MANAGEMENT	
ELEMENT / GSSI ESSENTIAL COMPONENTS	GSSI SUPPLEMENTARY COMPONENTS	ELEMENT / GSSI ESSENTIAL COMPONENTS	GSSI SUPPLEMENTARY COMPONENTS
<b>Governance</b>		<b>Logo use and claims</b>	
Legal status	A.1.01 A.1.01.01 ● A.1.01.02 ●	Claims policy	A.2.01
Impartiality	A.1.02	Relevant claims	A.2.02 (A.2.02.01 ●)
Operating procedures	A.1.03 A.1.03.01 ●	Claims-making requirements	A.2.03
Transparency of governance	A.1.04	Logo management	A.2.04
Governance complaints	A.1.05	Certificate content management	A.2.05
Governance participation	A.1.06	Minimum percentage-based claims	A.2.06
<b>Scope and objectives</b>			
Scheme scope	A.1.07		
Scheme objectives	A.1.08 A.1.08.01 ● A.1.08.02 ●		
<b>Non-discrimination</b>			
Non-discrimination – openness	A.1.09 A.1.09.01 ● NA		
Non-discrimination – market access	A.1.10		
<b>Scheme integrity monitoring program</b>			
Internal review	A.1.11 A.1.11.0 ●		

**For Section A** the GSSI Supplementary Components outline the status of existing practices in seafood certification and how they build from the principles of the FAO Guidelines for Certification and Ecolabelling, ISO normative standards, ISEAL codes. They can be built on going forward as technical guidelines evolve. Each GSSI Supplementary Component has a rationale to explain the value that alignment with it offers to both schemes and stakeholders.

**SOURCE DOCUMENTS**

- ISEAL Code of Good Practice for Setting Social and Environmental Standards V6, 2014
- ISEAL Code of Good Practice for Assessing the Impacts of Social and Environmental Standards (Impacts Code)
- ISO/IEC 17067:2013, Conformity assessment – Fundamentals of product certification and guidelines for product certification schemes
- Further elaboration on FAO Guidelines for the Ecolabelling of Fish and Fishery Products from Marine/Inland Capture Fisheries and FAO Technical Guidelines on Aquaculture Certification

**GSSI Supplementary Component:** some GSSI Essential Components have one or more linked GSSI Supplementary Components, which are numbered according to their respective Section, Performance Area and Essential Component. e.g. A.2.02.01 is the first GSSI Supplementary Component linked to the 2nd GSSI Essential Component of Performance Area 2 in section A.

GSSI Components which are not applicable are marked with "NA".

Each GSSI Supplementary Component is grounded in a reference document, indicated by a color code.

# A SUMMARY: GOVERNANCE OF SEAFOOD CERTIFICATION SCHEMES

A.1 SCHEME GOVERNANCE			A.2 SCHEME MANAGEMENT			A.2 STANDARD SETTING AND MAINTENANCE			
ELEMENT / GSSI ESSENTIAL COMPONENTS		GSSI SUPPLEMENTARY COMPONENTS	ELEMENT / GSSI ESSENTIAL COMPONENTS		GSSI SUPPLEMENTARY COMPONENTS	ELEMENT / GSSI ESSENTIAL COMPONENTS		GSSI SUPPLEMENTARY COMPONENTS	
<b>Governance</b>			<b>Logo use and claims</b>			<b>Standard setting body</b>			
Legal status	<b>A.1.01</b>	A.1.01.01 ● ● A.1.01.02 ●	Claims policy	<b>A.2.01</b>		Standard setting body	<b>A.3.01</b>		
Impartiality	<b>A.1.02</b>		Relevant claims	<b>A.2.02</b>		Central focal point	<b>A.3.02</b>		
Operating procedures	<b>A.1.03</b>		Claims-making requirements	<b>A.2.03</b>		<b>Standard setting procedures</b>			
Transparency of governance	<b>A.1.04</b>		Logo management	<b>A.2.04</b>		Standards development and maintenance procedure	<b>A.3.03</b>		
Governance complaints	<b>A.1.05</b>		Certificate content management	<b>A.2.05</b>		Work program	<b>A.3.04</b>		
Governance participation	<b>A.1.06</b>		Minimum percentage-based claims	<b>A.2.06</b>		Terms of reference	<b>A.3.05</b>		
<b>Scope and objectives</b>						Decision making process	<b>A.3.06</b>		
Scheme scope	<b>A.1.07</b>							A.3.06.04 ● ●	
Scheme objectives	<b>A.1.08</b>								
<b>Non-discrimination</b>						Complaints	<b>A.3.07</b>		
Non-discrimination – openness	<b>A.1.09</b>	A.1.09.01 ●				Standards review and revision	<b>A.3.08</b>		
Non-discrimination – market access	<b>A.1.10</b>					Proposals for revisions	<b>A.3.09</b>		
<b>Scheme integrity monitoring program</b>						Record keeping	<b>A.3.10</b>	A.3.10.01 ● ●	
Internal review	<b>A.1.11</b>					<b>Participation and consultation</b>			
						Public summary	<b>A.3.11</b>		
						Balanced participation	<b>A.3.12</b>		
						Public consultation	<b>A.3.13</b>		
						Public announcement	<b>A.3.14</b>		
						Stakeholder consultation	<b>A.3.15</b>		
						Transparency comments received	<b>A.3.16</b>		
						Taking comments into account	<b>A.3.17</b>		
						<b>Standards content</b>			
						Standards content			<b>A.3.18</b>
						Relevance of standards content			<b>A.3.19</b>
						Local applicability			<b>A.3.21</b>
						<b>Standards accessibility</b>			
						Standards availability			<b>A.3.22</b>
						Translations			<b>A.3.23</b>
						<b>Transition period</b>			
						Informing enterprises of transition			<b>A.3.24</b>
						Transition period for compliance			<b>A.3.25</b>
									<b>A.3.26</b>

For Section A the GSSI Supplementary Components outline the status of existing practices in seafood certification and how they build from the principles of the FAO Guidelines for Certification and Ecolabelling, ISO normative standards, ISEAL codes. They can be built on going forward as technical guidelines evolve. Each GSSI Supplementary Component has a rationale to explain the value that alignment with it offers to both schemes and stakeholders.

## SOURCE DOCUMENTS

- ISEAL Code of Good Practice for Setting Social and Environmental Standards V6. 2014
- ISEAL Code of Good Practice for Assessing the Impacts of Social and Environmental Standards (Impacts Code)
- ISO/IEC 17065/2013, Conformity assessment — Fundamentals of product certification and guidelines for product certification schemes
- Further elaboration on FAO Guidelines for the Ecolabelling of Fish and Fishery Products from Marine/Inland Capture Fisheries and FAO Technical Guidelines on Aquaculture Certification

# B SUMMARY: OPERATIONAL MANAGEMENT OF SEAFOOD CERTIFICATION SCHEMES

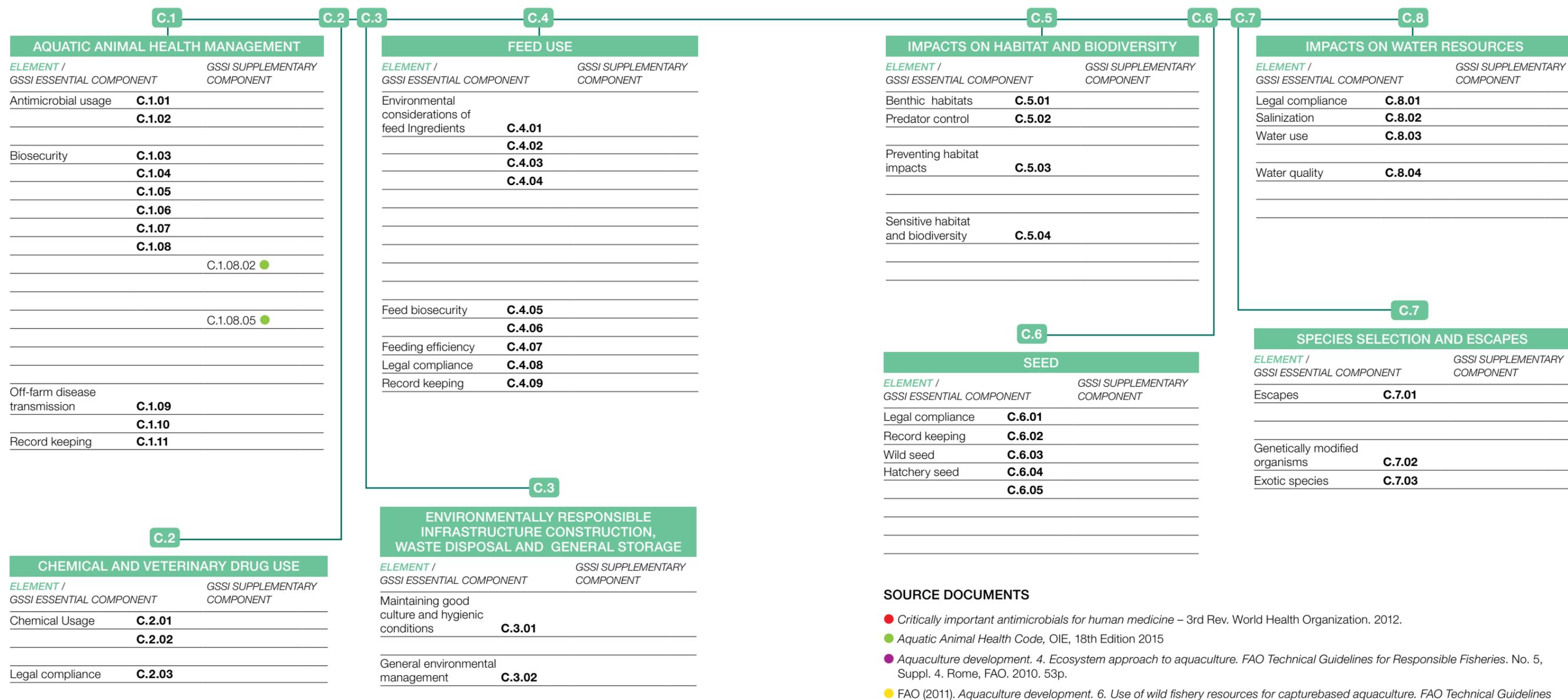
B.1 ACCREDITATION		B.2 CERTIFICATION		B.3 CHAIN OF CUSTODY	
ELEMENT / GSSI ESSENTIAL COMPONENTS		ELEMENT / GSSI ESSENTIAL COMPONENTS	GSSI SUPPLEMENTARY COMPONENTS	ELEMENT / GSSI ESSENTIAL COMPONENTS	
ISO-17011 compliance	<b>B.1.01</b>	<b>Certification process</b>		Segregation	<b>B.3.01</b>
Non-discrimination	<b>B.1.02</b>	ISO-17065 compliance	<b>B.2.01</b>	Enterprises to be audited	<b>B.3.02</b>
Specified requirements	<b>B.1.03</b>	Fee structure	<b>B.2.02</b>	Records for traceability	<b>B.3.03</b>
Transition period	<b>B.1.04</b>	Certification cycle	<b>B.2.03</b>	Sub-contractors	<b>B.3.04</b>
Accreditation body – Competencies	<b>B.1.05</b>	Surveillance	<b>B.2.04</b>	Auditing methods and frequency	<b>B.3.05</b>
External review	<b>B.1.06</b>	Assessment methodology	<b>B.2.05</b>	Non-conformity/corrective actions	<b>B.3.06</b>
Organizational transparency	<b>B.1.07</b>			Audit report	<b>B.3.07</b>
Office audit	<b>B.1.08</b>	Termination, suspension, withdrawal	<b>B.2.06</b>		<b>B.3.08</b>
Field audit	<b>B.1.09</b>	Multi-site certification	<b>B.2.07</b>	Record keeping	<b>B.3.09</b>
		Audit reports	<b>B.2.08</b>	Multi-site Chain of Custody audit	<b>B.3.10</b>
		Stakeholder input	<b>B.2.09</b>	Multi-site Chain of Custody internal verification	<b>B.3.11</b>
		Non-compliances	<b>B.2.10</b>		
		Site audit	<b>B.2.11</b>		
		Transparency on certified entities	<b>B.2.12</b>		
		Transparency on audit reports	<b>B.2.13</b>		
			<b>B.2.14</b>		
			B.2.14.02 ●		
		Notification of changes	<b>B.2.15</b>		
		Timeline for corrective action	<b>B.2.16</b>		
		<b>Auditor competence</b>			
		Requirements for technical knowledge	<b>B.2.17</b>		
		Technical knowledge	<b>B.2.18</b>		
		General auditing skills	<b>B.2.19</b>		
		Scheme specific knowledge assessment	<b>B.2.20</b>		
		Scheme specific knowledge maintenance	<b>B.2.21</b>		
		Knowledge maintenance	<b>B.2.22</b>		

For Section B the GSSI Supplementary Components outline the status of existing practices in seafood certification and how they build from the principles of the FAO Guidelines for Certification and Ecolabelling, ISO normative standards, ISEAL codes and the GFSI Guidance Document. They can be built on going forward as technical guidelines evolve. Each GSSI Supplementary Component has a rationale to explain the value that alignment with it offers to both schemes and stakeholders.

## SOURCE DOCUMENTS

- *Assuring Compliance with Social and Environmental Standards, Code of Good Practice*, ISEAL Alliance, 2012
- Further elaboration on FAO Guidelines for the Ecolabelling of Fish and Fishery Products from Marine/Inland Capture Fisheries and FAO Technical Guidelines on Aquaculture Certification
- GFSI Guidance Document, Sixth Edition, Version 6.3, GFSI, October 2013

# C SUMMARY: AQUACULTURE CERTIFICATION STANDARDS



For Section C the GSSI Supplementary Components outline the status of existing practices in seafood certification and how they relate to internationally agreed technical guidelines developed by FAO members since the Code of Conduct was agreed in 1995 and relevant OIE and WHO documents. They can be built on going forward as technical guidelines evolve. Each GSSI Supplementary Component has a rationale to explain the value that alignment with it offers to both schemes and stakeholders.

## SOURCE DOCUMENTS

- *Critically important antimicrobials for human medicine* – 3rd Rev. World Health Organization. 2012.
- *Aquatic Animal Health Code*, OIE, 18th Edition 2015
- *Aquaculture development. 4. Ecosystem approach to aquaculture. FAO Technical Guidelines for Responsible Fisheries*. No. 5, Suppl. 4. Rome, FAO. 2010. 53p.
- *FAO (2011). Aquaculture development. 6. Use of wild fishery resources for capturebased aquaculture. FAO Technical Guidelines for Responsible Fisheries*. No. 5, Suppl. 6. Rome, FAO. 2011. 81 pp.
- *Aquaculture development. 3. Genetic resource management. FAO Technical Guidelines for Responsible Fisheries*. No. 5, Suppl. 3. Rome, FAO. 2008. 125p
- *Aquaculture development. 5. Use of wild fish as feed in aquaculture. FAO Technical Guidelines for Responsible Fisheries*. Rome, FAO. 2011. 79p.
- Hasan and Halwart (2009). *Fish as feed inputs for aquaculture: practices, sustainability and implications*. FAO Fisheries and Aquaculture Technical Paper. No. 518. Rome, FAO. 2009. 407p.
- *FAO Technical Guidelines for Aquaculture Certification*
- Serrano (2005). *Responsible use of antibiotics in aquaculture*. FAO Fisheries Technical Paper 469.
- Conservation Alliance for Seafood Solutions (2015). *Guidelines for Supporting Fishery Improvement Projects*. [www.solutionsforseafood.org/wp-content/uploads/2015/03/Alliance-FIP-Guidelines-3.7.15.pdf](http://www.solutionsforseafood.org/wp-content/uploads/2015/03/Alliance-FIP-Guidelines-3.7.15.pdf)
- The WHO Recommended Classification of Pesticides by Hazard. 2009. [www.who.int/ipcs/publications/pesticides\\_hazard/en/](http://www.who.int/ipcs/publications/pesticides_hazard/en/)
- Rotterdam Convention Annex III listed chemicals - 2010, see [www.pic.int/TheConvention/Chemicals/AnnexIIIChemicals/tabid/1132/language/en-US/Default.aspx](http://www.pic.int/TheConvention/Chemicals/AnnexIIIChemicals/tabid/1132/language/en-US/Default.aspx)

# D SUMMARY: FISHERIES CERTIFICATION STANDARDS

D.1 GOVERNANCE AND FISHERY MANAGEMENT	
ELEMENT / GSSI ESSENTIAL COMPONENT	GSSI SUPPLEMENTARY COMPONENT
<b>Fishery management organization</b>	
Management organization	<b>D.1.01</b>
Adaptive management	<b>D.1.02</b>
	<b>D.1.03</b>
Transboundary stocks	<b>D.1.04</b>
<b>Management system</b>	
Participatory management	<b>D.1.05</b>
Small scale and/or data limited fisheries	<b>D.1.06</b>
Compliance of the management system	<b>D.1.07</b>
<b>Legal framework</b>	
Compliance of the fishery	<b>D.1.08</b>
	<b>D.1.09</b>
	<b>D.1.10</b>

D.2 MANAGEMENT APPROACHES, STRATEGIES AND PLANS	
ELEMENT / GSSI ESSENTIAL COMPONENT	GSSI SUPPLEMENTARY COMPONENT
<b>Management system</b>	
Documented management approach	<b>D.3.01</b>
Best scientific evidence available	<b>D.3.02</b>
<b>Stock under consideration</b>	
Fishing mortality	<b>D.3.03</b>
Decision rules	<b>D.3.04</b>
Enhanced fisheries	<b>D.3.05</b>
<b>Ecosystem effects of fishing</b>	
Non-target catches	<b>D.3.06</b>
	<b>D.3.07</b>
Endangered species	<b>D.3.08</b>
Habitat	<b>D.3.09</b>
Dependent predators	<b>D.3.10</b>
Ecosystem structure, processes and function	<b>D.3.11</b>
<b>Management under uncertainty</b>	
Precautionary approach	<b>D.3.12</b>
<b>Fishery management documentation</b>	
Continuous review	<b>D.3.13</b>
	<b>D.3.14</b>

D.2 MANAGEMENT OBJECTIVES	
ELEMENT / GSSI ESSENTIAL COMPONENT	GSSI SUPPLEMENTARY COMPONENT
<b>Stock under consideration</b>	
Management objectives	<b>D.2.01</b>
<b>Management system</b>	
Best scientific evidence available	<b>D.2.02</b>
<b>Stock under consideration</b>	
Reference points	<b>D.2.03</b>
Enhanced fisheries	<b>D.2.04</b>

D.2 MANAGEMENT OBJECTIVES	
ELEMENT / GSSI ESSENTIAL COMPONENT	GSSI SUPPLEMENTARY COMPONENT
<b>Ecosystem effects of fishing</b>	
Non-target catches	<b>D.2.05</b>
Endangered species	<b>D.2.06</b>
Habitat	<b>D.2.07</b>
Dependent predators	<b>D.2.08</b>
Ecosystem structure, processes and function	<b>D.2.09</b>

D.4 DATA AND INFORMATION	
ELEMENT / GSSI ESSENTIAL COMPONENT	GSSI SUPPLEMENTARY COMPONENT
<b>Stock under consideration</b>	
Target stock status	<b>D.4.01</b>
<b>Ecosystem effects of fishing</b>	
Ecosystem structure, processes and function	<b>D.4.02</b>
Non-target catches	<b>D.4.03</b>
Endangered species	<b>D.4.04</b>
Habitat	<b>D.4.05</b>
Dependent predators	<b>D.4.06</b>
<b>Traditional, fisher or community knowledge</b>	
Traditional, fisher or community knowledge	<b>D.4.07</b>

D.5 ASSESSMENT METHODOLOGIES	
ELEMENT / GSSI ESSENTIAL COMPONENT	GSSI SUPPLEMENTARY COMPONENT
<b>Stock under consideration</b>	
Stock assessment	<b>D.5.01</b>
	<b>D.5.02</b>
	<b>D.5.03</b>
Enhanced fisheries	<b>D.5.04</b>
	<b>D.5.05</b>
<b>Ecosystem effects of fishing</b>	
Non-target catches	<b>D.5.06</b>
Ecosystem structure, processes and function	<b>D.5.07</b>
Habitat	<b>D.5.08</b>
Dependent predators	<b>D.5.09</b>
Endangered species	<b>D.5.10</b>

D.6 STOCK AND ECOSYSTEM STATUS AND OUTCOMES	
ELEMENT / GSSI ESSENTIAL COMPONENT	GSSI SUPPLEMENTARY COMPONENT
<b>Stock under consideration</b>	
Target stock status	<b>D.6.01</b>
	<b>D.6.02</b>
Enhanced fisheries	<b>D.6.03</b>
	<b>D.6.04</b>
<b>Ecosystem effects of fishing</b>	
Non-target catches	<b>D.6.05</b>
Endangered species	<b>D.6.06</b>
Habitat	<b>D.6.07</b>
Dependent predators	<b>D.6.08</b>
Ecosystem structure, processes and function	<b>D.6.09</b>

**For Section D** the GSSI Supplementary Components outline the status of existing practices in seafood certification and how they relate to internationally agreed technical guidelines developed by FAO members since the Code of Conduct was agreed in 1995. They can be built on going forward as technical guidelines evolve. Each GSSI Supplementary Component has a rationale to explain the value that alignment with it offers to both schemes and stakeholders.

**SOURCE DOCUMENTS**

- *FAO Technical Guidelines for Responsible Fisheries. 4. Fisheries management. 4.2. The ecosystem approach to fisheries (2003).*
- *FAO Technical Guidelines for Responsible Fisheries. No. 4. Fisheries management. Rome, FAO. 1997.*
- *FAO Voluntary Guidelines for Securing Sustainable Small-Scale Fisheries in the Context of Food Security and Poverty Eradication (2014)*
- *FAO International Guidelines for the Management of Deep Sea Fisheries in the High Seas (adopted 2008)*
- *FAO International Guidelines on Bycatch Management and Reduction of Discards (adopted in 2010)*
- *FAO Technical Guidelines for Responsible Fisheries Responsible fish trade. No. 11. Rome, FAO. 2009.009.*

# EVIDENCE OF ALIGNMENT

*GSSI Essential Components  
and GSSI Supplementary Components  
for Governance of  
Seafood Certification Schemes*



*GSSI Essential Components  
and GSSI Supplementary Components  
for Operational Management  
of Seafood Certification Schemes*

*GSSI Essential Components  
and GSSI Supplementary Components  
for Aquaculture Certification Standards*



*GSSI Essential Components and GSSI  
Supplementary Components for  
Fisheries Certification Standards*

# HOW TO READ THE EVIDENCE OF ALIGNMENT

The Evidence of Alignment consists of the conclusion of the Independent Expert, the rationale which led to this and the references supporting the conclusion which are listed below.

**GSSI Essential Components**

**GSSI Benchmark Report identification number** → A.1

**Section number** → A.1

**Performance area** → SCHEME GOVERNANCE

**Topic** → GOVERNANCE

**GSSI Component number** → 01

**Element** → LEGAL STATUS

**GSSI Essential Component** → GSSI ESSENTIAL COMPONENT

**Guidance for alignment** → GUIDANCE

**Number of related GSSI Supplementary Component(s)** → 01

**Conclusion: Summary of findings by the Independent Expert that confirms alignment of the Certification Scheme with the requirements of the Component** → CONCLUSION

**References: Evidence sighted by the Independent Expert that demonstrates alignment which could include policies, procedures, records, interviews, etc.** → REFERENCES

**Evidence of alignment with applicable GSSI Essential Components.** These Components are grounded in the Code of Conduct for Responsible Fisheries (CCRF) and the FAO Guidelines, which a seafood certification scheme must meet to be recognised by GSSI.

**GSSI Supplementary Components**

**GSSI Supplementary Component number** → 01

**GSSI Supplementary Component and rationale for inclusion** → GSSI SUPPLEMENTARY COMPONENT

**Evidence of alignment with implemented GSSI Supplementary Components.** These Components are grounded in the CCRF and related FAO documents, ISO normative standards and ISEAL codes, which show a seafood certification scheme's diverse approach and help stakeholders understand where differences exist.



EVIDENCE OF ALIGNMENT  
WITH APPLICABLE **GSSI ESSENTIAL COMPONENTS**  
FOR GOVERNANCE  
OF SEAFOOD CERTIFICATION SCHEMES

## A.1

## Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes

### SCHEME GOVERNANCE

#### ► GOVERNANCE

#### A.1 01 LEGAL STATUS

##### GSSI ESSENTIAL COMPONENT

The Scheme Owner is a legal entity, or an organization that is a partnership of legal entities, or a government or inter-governmental agency.

##### GUIDANCE

Scheme Owner is an entity which could be held legally responsible for its operations.

Examples of evidence for scheme alignment:

- an official document showing registration with legal authorities and current legal status of organization.  
Examples include incorporation papers, statutes, business licenses and registration with tax authorities.

For government Scheme Owners, clear lines of responsibility and authority on decision making should be identified.

Pre-application to require scheme to identify legal registered entity or lead government agency/department.

##### RELATED SUPPLEMENTARY COMPONENTS

A.1 01 01    A.1 01 02

##### CONCLUSION

##### REFERENCES

## A.1

*Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes***SCHEME GOVERNANCE****A.1 02 IMPARTIALITY****GSSI ESSENTIAL COMPONENT**

The Scheme Owner is not directly engaged in the operational affairs (auditing or certification) of the certification or accreditation program.

Note: This does not include complaint resolution or performance review.

**GUIDANCE**

Scheme Owner is not directly engaged in auditing, certification or accreditation activities in order to ensure freedom of commercial or financial pressure of assurance processes and decision making. This does not include complaint resolution or performance reviews.

Examples of evidence for scheme alignment:

- impartiality policy, impartiality clauses in certification body and accreditation body contracts, management control procedures

**CONCLUSION****REFERENCES**

## A.1

## Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes

### SCHEME GOVERNANCE

#### A.1 03 OPERATING PROCEDURES

##### GSSI ESSENTIAL COMPONENT

The Scheme Owner operates to a documented set of governance policies and procedures specifying at least the following:

- Board or governance body election or appointment process,
- Board or governance body representation and Terms of Reference,
- Member categories (where applicable),
- Income generation or funding processes,
- An organizational structure,
- The decision making processes of each governance body,
- Key personnel roles (responsibility and authority),
- Managing conflict of interest, and
- A conformity assessment program.

##### GUIDANCE

The Scheme Owner has policies/procedures available covering all aspects in this *Essential Component* except Member categories if not applicable.

Examples of evidence for scheme alignment:

- statutes and by-laws, organizational chart, internal procedures, job descriptions, conflict of interest statements, quality assurance manuals

##### RELATED SUPPLEMENTARY COMPONENTS

A.1 03 01

##### CONCLUSION

##### REFERENCES

## A.1

*Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes***SCHEME GOVERNANCE****A.1 04 TRANSPARENCY OF GOVERNANCE****GSSI ESSENTIAL COMPONENT**

The Scheme Owner makes information freely and publicly available about the scheme's governance structure, Scheme Ownership, standards and standard-setting procedures, and the composition, operating procedures and responsibilities of its governance bodies.

**GUIDANCE**

All applicable listed governance documents are easily accessible online, free or at cost of any printing and handling costs.

Examples of evidence for scheme alignment:

- applicable documents posted on website, easy to find and free to download. If printed copies are offered - charges are reasonable to cover printing and handling.

**CONCLUSION****REFERENCES**

## A.1

*Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes***SCHEME GOVERNANCE****A.1 05 GOVERNANCE COMPLAINTS****GSSI ESSENTIAL COMPONENT**

The Scheme Owner has a transparent process to assess complaints based on a publicly available procedure for resolving complaints related to governance, scheme management and executive functions.

**GUIDANCE**

Complaints procedure is documented and clearly outlines steps, timelines and responsibilities to address and resolve complaints. The process for submitting a complaint - how and to whom - is public and easily understood. A process is in place to identify when and if the complaint is addressed and resolved.

Examples of evidence for scheme alignment:

- easily found complaint process and submission form online.
- documentation of existing complaints and their resolution.
- possibly request accreditation and certification bodies for previous submissions of complaints and resolution.

**CONCLUSION****REFERENCES**

## A.1

*Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes***SCHEME GOVERNANCE****A.1 06 GOVERNANCE PARTICIPATION****GSSI ESSENTIAL COMPONENT**

The Scheme Owner requires that stakeholders have the opportunity to participate in or provide direct input to the top governance body.

**GUIDANCE**

The Scheme Owner provides freely accessible public information outlining how stakeholders can participate in or provide direct input to the top governance body.

Examples of evidence for scheme alignment:

- online process document for submission of input, governance body selection process and stakeholder composition, review of previous stakeholder inputs and verify if/how this reached top governance.

**CONCLUSION****REFERENCES**

## A.1

## Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes

### SCHEME GOVERNANCE

#### ► SCOPE AND OBJECTIVES

#### A.1 07 SCHEME SCOPE

##### GSSI ESSENTIAL COMPONENT

The Scheme Owner has a defined scope for certification under its scheme.

##### GUIDANCE

The Scheme Owner clearly defines scope that standard covers, for example which species, production systems/gear type, geographical locations, company structures (single units, groupings of sites/boats, smallholder groups/small-scale fisheries, subcontractors, product categories, certifiable units in the chain of custody etc.).

Examples of evidence for scheme alignment:

- explicit scope definition in certification methodology/requirements, standards, objectives.
- contracts with accreditation bodies, certification bodies and/or certified operations

##### CONCLUSION

##### REFERENCES

## A.1

## Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes

### SCHEME GOVERNANCE

#### A.1 08 SCHEME OBJECTIVES

##### GSSI ESSENTIAL COMPONENT

The Scheme Owner has defined objectives for its scheme that aim for responsible use of the resource and has publicly available performance indicators related to scheme objectives.

##### GUIDANCE

Objectives for the scheme are defined and documented. The defined objectives cover all environmental resources covered in the standards; this would normally be for example fish populations, habitats and ecosystems, water, possibly energy, endangered species and biodiversity within the impact zone. Indirect use of resources for e.g. feed production may also be addressed. For each objective and associated resources, performance indicators are defined, documented and publically available.

Examples of evidence for scheme alignment:

- standard document with objectives and thresholds.

##### RELATED SUPPLEMENTARY COMPONENTS

A.1 08 01    A.1 08 02

##### CONCLUSION

##### REFERENCES

## A.1

## Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes

### SCHEME GOVERNANCE

#### ► NON-DISCRIMINATION

#### A.1 09 NON-DISCRIMINATION – OPENNESS

##### GSSI ESSENTIAL COMPONENT

The Scheme Owner ensures that all types of fishery/aquaculture operations within the scope of its scheme can apply for certification, regardless of their scale, size or management arrangements, and has not set an upper limit on the number of operations that can be certified.

##### GUIDANCE

The Scheme Owner application process ensures equal access within the defined standard scope whether directly, sub-contractors or outsourcing (i.e. to certification body).

Examples of evidence for scheme alignment:

- application process selection criteria do not discriminate on factors such as size, scale, management, minimum number of operators.
- review declined applications are due to other non-discriminatory issues (i.e. incomplete, out of scope)

##### RELATED SUPPLEMENTARY COMPONENTS

A.1 09 01

##### CONCLUSION

##### REFERENCES

# A.1

## *Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes*

### SCHEME GOVERNANCE

#### **A.1 10 NON-DISCRIMINATION – MARKET ACCESS**

##### GSSI ESSENTIAL COMPONENT

The Scheme Owner does not have mandatory requirements that require a fishery / aquaculture operation to be certified in order to access any markets.

##### GUIDANCE

Application selection process and certification methodology/requirements do not include mandatory requirements for access to markets.

Absence of such requirements indicates alignment.

##### CONCLUSION

##### REFERENCES

## A.1

## Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes

### SCHEME GOVERNANCE

#### ► SCHEME INTEGRITY MONITORING PROGRAM

#### A.1 11 INTERNAL REVIEW

##### GSSI ESSENTIAL COMPONENT

The Scheme Owner undertakes a fully documented annual management review of scheme performance, including its assurance program, and the performance of certification and accreditation bodies. The results of the review are used to revise its operating procedures and practices, where necessary.

##### GUIDANCE

System exists for an annual documented management review that covers scheme performance, assurance program, accreditation bodies and certification bodies as applicable. A documented system to use the results of the review to revise operating procedures and systems is available.

##### RELATED SUPPLEMENTARY COMPONENTS

A.1 11 01

##### CONCLUSION

##### REFERENCES

# A.2

## Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes

### SCHEME MANAGEMENT

#### ▶ LOGO USE AND CLAIMS

#### A.2 01 CLAIMS POLICY

##### GSSI ESSENTIAL COMPONENT

The Scheme Owner has a publicly available policy governing use of symbols, logos and claims.

##### GUIDANCE

Scheme Owner has a policy that covers use of symbols, logos and claims if applicable to its system. The policy is public, easily accessible and available in languages appropriate to geographic scope.

##### CONCLUSION

##### REFERENCES

## A.2

## Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes

### SCHEME MANAGEMENT

#### A.2 02 RELEVANT CLAIMS

##### GSSI ESSENTIAL COMPONENT

Through the claims policy, the Scheme Owner ensures copyright is protected and that symbols, logos and claims are only applied to activities that are within the scope of certification, do not overstate or mislead users relative to the defined scope, and are relevant to that scope.

##### GUIDANCE

Claims policy (see A.2.01), contracts and MoUs ensure that logo use and claims are copyright protected and are restricted to activities within the scope of certification. This includes symbols, logos and claims on and off product, such as marketing materials, consumer brochures and the internet.

Examples of evidence for scheme alignment:

- legal registration of logos and seals with applicable agents.
- claims policy covers clear scope for on and off product use, claims and statements including policy for misuse.
- contractual relationships specify explicitly adherence to claims policy.
- records of applications for use of claims, records of complaints or violations.

##### RELATED SUPPLEMENTARY COMPONENTS

A.2 02 01

##### CONCLUSION

##### REFERENCES

# A.2

## Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes

### SCHEME MANAGEMENT

#### A.2 03 CLAIMS-MAKING REQUIREMENTS

##### GSSI ESSENTIAL COMPONENT

The Scheme Owner requires that the certified organization does not make or permit any misleading statement or use regarding the status or scope of its certification.

##### GUIDANCE

The Scheme Owner has a contract, MoU or other formal arrangement with certified entity.

Examples of evidence for scheme alignment:

- publically available Logo Use and Claim document which is explicitly referenced in formal arrangement with certified entity.
- other examples include direct logo agreements, licensing or membership agreements with the Scheme Owner or its commercial partner or indirect contracts/agreements through the certification body.
- in the latter case the requirements to include this in contracts/agreements should be outlined in certification requirements/methodologies or similar contract/agreement between the Scheme Owner and the certification body.

##### CONCLUSION

##### REFERENCES

## A.2

## Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes

### SCHEME MANAGEMENT

#### A.2 04 LOGO MANAGEMENT

##### GSSI ESSENTIAL COMPONENT

The Scheme Owner or its delegated authority issues written and enforceable authorizations and/or licenses to use the scheme's mark/claim/logo only when the facility and/or product has been certified as being in conformity with the relevant standard.

##### GUIDANCE

Contracts or formal agreements with the certified entity specify legal responsibility for the use of the scheme's mark/claim/logo only when the facility and/or product are certified.

Examples of evidence for scheme alignment:

- direct logo agreements, licensing or membership agreements with the Scheme Owner or a delegated authority.
- indirect contracts/agreements through the certification body.
- in the latter case the requirements should be outlined in certification requirements/methodologies or similar contract/agreement between the Scheme Owner and the certification body to include this in contracts/agreements.

##### CONCLUSION

##### REFERENCES

## A.2

## Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes

### SCHEME MANAGEMENT

#### A.2 05 CERTIFICATE CONTENT MANAGEMENT

##### GSSI ESSENTIAL COMPONENT

The Scheme Owner requires certificates to include, at a minimum:

- the name and address of the accreditation body or Scheme Owner;
- the name and address of the certification body;
- the name and address of the certification holder;
- the effective date of issue of the certificate;
- the substance (scope of certification) of the certificate;
- the term for which the certification is valid;
- signature of the issuing officer.

##### GUIDANCE

The issuer of the certificate ensures that minimum information enables identification and contact information of assurance process parties (accreditation body, Scheme Owner and certification body), unique name and address of certified entity, date and validity, scope and signature of issuing officer.

Examples of evidence for scheme alignment:

- mandatory normative documents such as certification requirements/methodologies with certification bodies that cover all points listed.
- mandatory certificate template includes all points listed.
- review examples of certificates.

##### CONCLUSION

##### REFERENCES

## A.2

## Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes

### SCHEME MANAGEMENT

#### A.2 06 MINIMUM PERCENTAGE-BASED CLAIMS

##### GSSI ESSENTIAL COMPONENT

Where a seafood ingredient can be certified, the Scheme Owner requires that at least 95% of the total seafood ingredient within a product is of certified origin in order for the scheme's logo or certification mark to be used. Where there is less than 95%, the scheme requires that the percentage must be stated and the logo or certification mark cannot be used.

##### GUIDANCE

The Scheme Owner specifies minimum percentages for use of logo and claims in mixed products. This states that at least 95% of the total seafood ingredient that can be certified, for unqualified claims and for lower percentages, a qualifying statement of the percentage must be used in conjunction with the logo or claim.

Examples of evidence for scheme alignment:

- normative documents such as scope definition, certification requirements/ methodologies or other agreements between the Scheme Owner and certification body that define these percentage claims.
- logo use and claims policy which is explicitly referenced in formal contracts and agreements with certification bodies and/or certified entities.
- review examples of issued certificates where these are public or product information in online databases of certified products where these are available.
- if the Scheme Owner does not allow mixed product, then this *Essential Component* is aligned.

##### CONCLUSION

##### REFERENCES

## A.3

## Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes

### STANDARD SETTING AND MAINTENANCE

#### ▶ STANDARD SETTING BODY

#### A.3 01 STANDARD SETTING BODY

##### GSSI ESSENTIAL COMPONENT

A Scheme Owner or other suitable arrangement (e.g. technical committee of independent experts, delegated standard-setting body) is assigned with the tasks of setting, reviewing, revising, assessing, verifying and approving standards.

##### GUIDANCE

The organizational chart clearly identifies the responsible person for assigning the management of the standard setting process. In addition, the organizational chart or related TORs/contracts with external bodies identifies where each of the tasks (setting, reviewing, revising, assessing, verifying and approving standards) are assigned to.

This documentation clearly indicates where the overall responsibility for the standard setting process lies.

##### CONCLUSION

##### REFERENCES

# A.3

## Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes

### STANDARD SETTING AND MAINTENANCE

#### A.3 02 CENTRAL FOCAL POINT

##### GSSI ESSENTIAL COMPONENT

The Scheme Owner identifies a central point of contact for standards-related enquiries and for submission of comments. The Scheme Owner makes contact information for this contact point readily available including on the internet.

##### GUIDANCE

Contact details for standard related enquiries and comments are easily available for the public, including online. This can be the same as a general contact point, but should explicitly identify standard related scope.

Examples of evidence for scheme alignment:

- review website and verify that point of contact responds to enquiries.
- review past enquiries and submitted comments

##### CONCLUSION

##### REFERENCES

# A.3

## *Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes*

### STANDARD SETTING AND MAINTENANCE

#### ▶ STANDARD SETTING PROCEDURES

#### **A.3 03 STANDARDS DEVELOPMENT AND MAINTENANCE PROCEDURE**

##### GSSI ESSENTIAL COMPONENT

The Scheme Owner has publicly available procedures for the process under which each standard is developed and revised.

##### GUIDANCE

Procedures defining the process of standard development and revision are easily available for the public, such as online, in appropriate languages.

##### CONCLUSION

##### REFERENCES

# A.3

## Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes

### STANDARD SETTING AND MAINTENANCE

#### A.3 04 WORK PROGRAM

##### GSSI ESSENTIAL COMPONENT

A work program is prepared and made publicly available at least every six months, including:

- Scheme Owner's name and address
- the list of standards currently under preparation;
- the list of standards currently under reviewing or revision;
- the list of standards which were adopted in the preceding period.

##### GUIDANCE

A work program for standard setting and revision is easily available for the public, such as online. The program is updated at a minimum every 6 months. The work program contains all listed items.

##### CONCLUSION

##### REFERENCES

## A.3

## Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes

### STANDARD SETTING AND MAINTENANCE

#### A.3 05 TERMS OF REFERENCE

##### GSSI ESSENTIAL COMPONENT

At the outset of a new standard development or revision process, the Scheme Owner develops or updates terms of reference (ToRs), which includes at least the following elements:

- Proposed scope of the standard and intended geographic application;
- Clear objectives that the standard seeks to achieve and how those are linked to the organization's intended change.

##### GUIDANCE

The Scheme Owner has mechanism in place to develop or update ToR at the outset of standard development or revision process that includes: proposed scope, geographical application and objectives.

Examples of evidence for scheme alignment:

- outlined in an internal procedure and part of the quality handbook for standard setting.

For Scheme Owners that have standard development or a revision process going on, check online availability of this information.

##### RELATED SUPPLEMENTARY COMPONENTS

A.3 05 01

##### CONCLUSION

##### REFERENCES

## A.3

## Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes

### STANDARD SETTING AND MAINTENANCE

#### A.3 06 DECISION MAKING PROCESS

##### GSSI ESSENTIAL COMPONENT

The Scheme Owner strives for consensus decisions on the content of the standard. Where consensus cannot be achieved, the Scheme Owner defines criteria in advance to determine when alternative decision-making procedures should come into effect and what the decision-making thresholds will be.

##### GUIDANCE

A mechanism is in place to assure a consensus decision is found where possible. In addition, the mechanism describes how decisions shall be made when a consensus is not possible. The mechanism assures that stakeholders are informed about this mechanism.

Examples of evidence for scheme alignment:

- internal procedures and/or quality handbook for standard setting and maintenance outlines decision making.
- meeting minutes/email correspondence.

Standard setting archives and draft standards and meeting minutes could verify that this mechanism was implemented during previous decision-making.

##### RELATED SUPPLEMENTARY COMPONENTS

[A.3 06 01](#)
[A.3 06 02](#)
[A.3 06 03](#)
[A.3 06 04](#)
[A.3 06 05](#)

##### CONCLUSION

##### REFERENCES

## A.3

## Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes

### STANDARD SETTING AND MAINTENANCE

#### A.3 07 COMPLAINTS

##### GSSI ESSENTIAL COMPONENT

The Scheme Owner, or delegated authority makes impartial and documented efforts to resolve procedural complaints related to standard-setting, based on a publicly documented complaints resolution mechanism. Decisions taken on complaints are disclosed at least to the affected parties.

##### GUIDANCE

The Scheme Owner or delegated authority has a publicly available complaint resolution mechanism related to standard setting. A general contact may be used, but must explicitly note standard setting complaints. Resolutions are documented and free of bias. Decisions on complaints are disclosed, at a minimum, to affected parties.

Examples of evidence for scheme alignment:

- internal quality assurance manual.
- previous complaints have been resolved according to this policy.
- decisions taken on previous complaints have been disclosed to the affected party.

Possibly request and cross-check with any previous procedural complaints from stakeholders.

##### RELATED SUPPLEMENTARY COMPONENTS

A.3 07 01

##### CONCLUSION

##### REFERENCES

## A.3

## Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes

### STANDARD SETTING AND MAINTENANCE

#### A.3 08 STANDARDS REVIEW AND REVISION

##### GSSI ESSENTIAL COMPONENT

The Scheme Owner reviews standards at least every five years for continued relevance and for effectiveness in meeting their stated objectives and, if necessary, revises them in a timely manner.

##### GUIDANCE

The Scheme Owner has a process in place for reviewing all standards to ensure continued relevance and meeting stated objectives. Relevance can include market uptake, stakeholder scope and support. Outcome and assessment reports can identify progress towards objectives. Review should be at least every five years.

Example of evidence of alignment:

- internal procedure, quality handbook, public work program.
- monitoring and evaluation system.
- public comments and consideration of reports for standard revisions.

##### CONCLUSION

##### REFERENCES

## A.3

## Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes

### STANDARD SETTING AND MAINTENANCE

#### A.3 09 PROPOSALS FOR REVISIONS

##### GSSI ESSENTIAL COMPONENT

The Scheme Owner allows for comments on the standard to be submitted by any interested party at any time and considers them during the subsequent standards revision process.

##### GUIDANCE

The Scheme Owner has a permanent publicly available point of contact defined online for the submission of comments on the standard. This is not just during the development or revision process. A general point of contact online is acceptable for small schemes, as long as it explicitly states that all stakeholders can submit comments on the standard at any time. All comments on standards are considered in subsequent revision process.

Examples of evidence for scheme alignment:

- scheme's website with form for submitting comments on standards.
- internal procedure, quality handbook describing the receiving, filing and incorporation of submissions during the subsequent revision process.

Review ongoing submissions by interested parties on file.

##### CONCLUSION

##### REFERENCES

## A.3

## Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes

### STANDARD SETTING AND MAINTENANCE

#### A.3 10 RECORD KEEPING

##### GSSI ESSENTIAL COMPONENT

The Scheme Owner keeps on file for a period of at least one full standards revision the following records related to each standard development or revision process:

- policies and procedures guiding the standard-setting activity;
- lists of stakeholders contacted;
- interested parties involved at each stage of the process;
- comments received and a synopsis of how those comments were taken into account; and
- all drafts and final versions of the standard.

##### GUIDANCE

The Scheme Owner has a mechanism in place to assure all records outlined remain on file for at least one full standards revision period.

Examples of evidence for scheme alignment:

- internal procedure, quality handbook describing records to be kept, document and retention policy.

Review the full range of records for the most previous standard development and revision process.

##### RELATED SUPPLEMENTARY COMPONENTS

A.3 10 01

##### CONCLUSION

##### REFERENCES

## A.3

## Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes

### STANDARD SETTING AND MAINTENANCE

#### ▶ PARTICIPATION AND CONSULTATION

#### A.3 11 PUBLIC SUMMARY

##### GSSI ESSENTIAL COMPONENT

At the outset of a standard development or revision process, the Scheme Owner makes publicly available a summary of the process that includes:

- contact information and information on how to contribute to the consultation;
- summary of the terms of reference for the standard, including the proposed scope, objectives and justification of the need for the standard;
- steps in the standard-setting process, including timelines and clearly identified opportunities for contributing; and
- decision-making procedures, including how decisions are made and who makes them.

##### GUIDANCE

The Scheme Owner has a mechanism in place assuring that a summary of the process is made easily available for the public online at the outset of the process. This includes Who and How to contribute, timeline, summary ToR (A.3.05) and decision making (who and how).

Examples of evidence for scheme alignment:

- internal procedure/quality handbook describing elements and process of public summary.
- examples of availability of past or current information.

##### CONCLUSION

##### REFERENCES

## A.3

## Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes

### STANDARD SETTING AND MAINTENANCE

#### A.3 12 BALANCED PARTICIPATION

##### GSSI ESSENTIAL COMPONENT

The Scheme Owner or delegated authority ensures participation by independent technical experts and encourages balanced participation by stakeholders in the standard development, revision and approval process.

##### GUIDANCE

The Scheme Owner, or delegated authority, has mechanism to ensure participation of necessary technical experts and balance of different stakeholder perspectives in standard development and maintenance. A balanced participation of stakeholders would include: fisheries/aquaculture management authorities, the fishing/aquaculture industry, fish workers organizations, fishing/aquaculture communities, the scientific community, environmental interest groups, fish processors/traders/retailers, aquaculture input providers such as feed providers, hatcheries/nurseries and possibly treatment providers, as well as consumer associations.

Examples of evidence for scheme alignment:

- internal procedure/quality handbook for standard development
- revision and approval processes that describe how balance is achieved, such as through stakeholder mapping, announcements and invitation.

Draft documents and meeting minutes/email correspondence indicate that during standard development, revision and approval processes of the past, independent technical experts participated, and a balanced participation by stakeholders was encouraged.

##### CONCLUSION

##### REFERENCES

## A.3

*Evidence of alignment with applicable GSSI Essential Components  
for Governance of Seafood Certification Schemes*

## STANDARD SETTING AND MAINTENANCE

### A.3 13 PUBLIC CONSULTATION

#### GSSI ESSENTIAL COMPONENT

The Scheme Owner allows a period of at least 60 days for the submission of comments on the draft standard.

#### GUIDANCE

The Scheme Owner has a mechanism in place to assure a minimum of 60 days for comments on the draft standard.

Examples of evidence for scheme alignment:

- internal procedure/quality handbook defining public comment period.
- ToR

Review previous comments and dates for submission on draft standards.

#### RELATED SUPPLEMENTARY COMPONENTS

A.3 13 01

#### CONCLUSION

#### REFERENCES

# A.3

## Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes

### STANDARD SETTING AND MAINTENANCE

#### A.3 14 PUBLIC ANNOUNCEMENT

##### GSSI ESSENTIAL COMPONENT

No later than the start of the comment period, the Scheme Owner publishes a notice announcing the period for commenting in a national or, as may be, regional or international publication of standardization activities and/or on the internet.

##### GUIDANCE

Timely announcements are made regarding the public comment period in appropriate channels so that they are easily available to relevant stakeholders. This can be online or in an appropriate publication. Dates should be clearly stated.

Examples of evidence for scheme alignment:

- internal procedure defining process.
- previous announcements are dated and were published before the beginning of the comment period.

##### CONCLUSION

##### REFERENCES

## A.3

## Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes

### STANDARD SETTING AND MAINTENANCE

#### A.3 15 STAKEHOLDER CONSULTATION

##### GSSI ESSENTIAL COMPONENT

The Scheme Owner ensures that interested parties can participate in the standard-setting process through a consultation forum or are made aware of alternative mechanisms by which they can participate.

##### GUIDANCE

The Scheme Owner has a mechanism in place to ensure all interested stakeholders can participate in standard setting process through a forum or alternative mechanisms or tools.

Examples of evidence for scheme alignment:

- internal procedure/quality handbook defining public consultation process.
- ToR.

Review participation, communication and mechanisms/tools of past or current consultation.

##### RELATED SUPPLEMENTARY COMPONENTS

A.3 15 01

A.3 15 02

##### CONCLUSION

##### REFERENCES

## A.3

*Evidence of alignment with applicable GSSI Essential Components  
for Governance of Seafood Certification Schemes*

## STANDARD SETTING AND MAINTENANCE

### A.3 16 TRANSPARENCY ON COMMENTS RECEIVED

#### GSSI ESSENTIAL COMPONENT

The Scheme Owner makes publicly available all comments received in the consultation in a non-attributable way.

#### GUIDANCE

All comments received during the public comment period are made publically available without attribution or identifier.

Examples of evidence for scheme alignment:

- internal procedure/quality handbook describing policy, current or past public comment comments posted online.

#### CONCLUSION

#### REFERENCES

## A.3

*Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes***STANDARD SETTING AND MAINTENANCE****A.3 17 TAKING COMMENTS INTO ACCOUNT****GSSI ESSENTIAL COMPONENT**

The Scheme Owner takes into account in further processing of the standard, comments received during the period for commenting.

**GUIDANCE**

The Scheme Owner has a process for considering all comments received during the public consultation on the standard. Comments which are integrated into the standard should be clearly identified.

Examples of evidence for scheme alignment:

- some sort of system (e.g. excel) for organizing, categorizing and responding to comments.
- review past consultation system, comments and response taken.

**RELATED SUPPLEMENTARY COMPONENTS**

A.3 17 01

**CONCLUSION****REFERENCES**

## A.3

## Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes

### STANDARD SETTING AND MAINTENANCE

#### ▶ STANDARDS CONTENT

#### A.3 18 STANDARDS CONTENT

##### GSSI ESSENTIAL COMPONENT

The Scheme Owner ensures that the standard is consistent with the following requirements:

- only includes language that is clear, specific, objective and verifiable;
- is expressed in terms of process, management and / or performance criteria, rather than design or descriptive characteristics; (ISO 59)
- does not favor a particular technology, patented item or service provider; and (ISO 59)
- attributes or cites all original intellectual sources of content.

##### GUIDANCE

The Scheme Owner has a mechanism in place to review standards in respect to the listed requirements.

Examples of evidence for scheme alignment:

- internal procedure/quality handbook defining all list requirements. Some standards state these in their preamble as principles or references.
- review that this list was checked for the current standards
- review standards and if available mandatory checklists/audit manuals in respect to the listed requirements.
- review any available complaints relating to this requirement.

##### CONCLUSION

##### REFERENCES

## A.3

*Evidence of alignment with applicable GSSI Essential Components  
for Governance of Seafood Certification Schemes*

## STANDARD SETTING AND MAINTENANCE

### A.3 19 RELEVANCE OF STANDARDS CONTENT

#### GSSI ESSENTIAL COMPONENT

As part of the standard development process, the Scheme Owner assesses the feasibility and auditability of requirements in the draft standard.

#### GUIDANCE

The Scheme Owner has a mechanism in place to test the feasibility (cost, time) and auditability (interpretation, consistency) of requirements prior to finalization of the standards.

Examples of evidence for scheme alignment:

- internal procedure, quality handbook, standard setting work plan.
- review assessment outcomes of past processes including revisions based on findings.

#### CONCLUSION

#### REFERENCES

## A.3

*Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes***STANDARD SETTING AND MAINTENANCE****A.3 20 RELEVANCE OF STANDARDS CONTENT****GSSI ESSENTIAL COMPONENT**

The Scheme Owner demonstrates that all criteria in the standard contribute to the standard's defined objectives.

**GUIDANCE**

Criteria are related to how the Scheme Owner's objectives are met by identifying the acceptable performance. Often they are logically grouped around principles and objectives.

Examples of evidence for scheme alignment:

- comparison of the Scheme Owner performance indicators with the standard's criteria.
- monitoring and evaluation system of the performance indicators.
- criteria that are not monitored and not evaluated may be surplus to the objective of the standards.

**CONCLUSION****REFERENCES**

## A.3

## Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes

### STANDARD SETTING AND MAINTENANCE

#### A.3 21 LOCAL APPLICABILITY

##### GSSI ESSENTIAL COMPONENT

The Scheme Owner ensures that the standard is locally applicable. Where the Scheme Owner adapts the standard for direct application at the national or regional level, the Scheme Owner develops interpretive guidance or related policies and procedures for how to take into account local environmental and regulatory conditions.

##### GUIDANCE

The Scheme Owner has mechanisms in place to ensure local applicability and relevance. For national or regional standards, the Scheme Owner has a process to take into account local environmental and regulatory conditions through guidance and policies.

Examples of evidence for scheme alignment:

- policies, internal procedures and quality handbook documenting process to consider environmental and regulatory aspects.
- compare geographical scope of standard and implementation (certificates) with available documented interpretation guidance.
- assessment or monitoring reporting indicating where locally specific guidance is required.

##### CONCLUSION

##### REFERENCES

# A.3

## Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes

### STANDARD SETTING AND MAINTENANCE

#### ▶ STANDARDS ACCESSIBILITY

#### A.3 22 STANDARDS AVAILABILITY

##### GSSI ESSENTIAL COMPONENT

The Scheme Owner promptly publishes adopted standards, and makes them available for free on the internet, and on request, to any interested party.

##### GUIDANCE

Standards are published in a timely fashion and are freely available online and on request. Validity dates coincide with publication dates of standards (taking transition periods into account) and the public work program on standard setting and maintenance.

##### CONCLUSION

##### REFERENCES

## A.3

## Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes

### STANDARD SETTING AND MAINTENANCE

#### A.3 23 TRANSLATIONS

##### GSSI ESSENTIAL COMPONENT

Where a scheme is globally applicable, the Scheme Owner makes translations of the standard into English, French or Spanish freely available and authorizes translations into other languages where necessary for credible implementation of the standard.

##### GUIDANCE

The Scheme Owner has a mechanism in place to identify the applicability and need for translations based on geographical scope of certification, as well as the geographical range of certified entities and products. For global schemes, the Scheme Owner should translate and make available the standard in English, French and Spanish and authorize into other languages to positively affect transparency and effective implementation.

Examples of evidence for scheme alignment:

- internal procedure, quality handbook, current language availability, work plan of translations

##### CONCLUSION

##### REFERENCES

## A.3

## Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes

### STANDARD SETTING AND MAINTENANCE

#### ► TRANSITION PERIOD

#### A.3 24 INFORMING ENTERPRISES OF TRANSITION

##### GSSI ESSENTIAL COMPONENT

The Scheme Owner ensures that certified enterprises are informed of the revised standard and transition period, either directly or through their certification bodies.

##### GUIDANCE

The Scheme Owner has a mechanism in place assuring that certified entities are informed of standard revision and transition periods. This can be done directly or through other assurance bodies.

Examples of evidence for scheme alignment:

- internal procedures, quality handbook, contracts/agreements or formal arrangements with certification bodies.
- review process of previous revisions if applicable.

##### CONCLUSION

##### REFERENCES

## A.3

*Evidence of alignment with applicable GSSI Essential Components  
for Governance of Seafood Certification Schemes*

## STANDARD SETTING AND MAINTENANCE

**A.3 25 TRANSITION PERIOD FOR COMPLIANCE**
**GSSI ESSENTIAL COMPONENT**

The Scheme Owner requires that the unit of certification is given a period of at least three years to come into compliance with revised fishery standards and at least one year for revised aquaculture standards.

**GUIDANCE**

Certified entities are given sufficient time to come into compliance with revised standards, for fisheries – minimum 3 years and at least one year for revised aquaculture standards.

Examples of evidence for scheme alignment:

- standards, certification requirements/methodologies which state minimum transition period for revised standards

**CONCLUSION**
**REFERENCES**

# A.3

## *Evidence of alignment with applicable GSSI Essential Components for Governance of Seafood Certification Schemes*

### STANDARD SETTING AND MAINTENANCE

#### **A.3** **26** **TRANSITION PERIOD FOR COMPLIANCE**

##### GSSI ESSENTIAL COMPONENT

The Scheme Owner notes in the standard the date of a revision or reaffirmation of the standard along with a transition period after which the revised standard will come into effect.

##### GUIDANCE

Standards include date of version and any transition period for the certified entity to come into compliance. If there are normative documents other than the standard and certification requirements/methodologies which affect compliance of fisheries/aquaculture, these similarly should contain the described validity dates.

##### CONCLUSION

##### REFERENCES



EVIDENCE OF ALIGNMENT  
WITH IMPLEMENTED **GSSI SUPPLEMENTARY COMPONENTS**  
FOR GOVERNANCE  
OF SEAFOOD CERTIFICATION SCHEMES

## A.1

## Evidence of alignment with implemented GSSI Supplementary Components for Governance of Seafood Certification Schemes

## SCHEME GOVERNANCE

## ► GOVERNANCE

## A.1 01 01 LEGAL STATUS

## GSSI SUPPLEMENTARY COMPONENT

The Scheme Owner has insurance or reserves to cover the operations of the scheme.

Note: This does not apply to government-run schemes as they are self-insured.

*Rationale: Demonstrates that the Scheme Owner has adequately evaluated risks arising from its activities.*

## GUIDANCE

The Scheme Owner shall be able to demonstrate that it has evaluated the risks arising from its activities and that it has adequate arrangements (e.g. insurance and/ or reserves) to cover liabilities arising from its operations in each of its fields of activities and the geographic areas in which it operates. (adapted ISO 17021 5.3 and ISO 17065 4.3)

Examples of evidence for scheme alignment:

- system for business risk assessment, insurance policy,
- clauses in accreditation body and/or certification body contracts addressing liability.

## CONCLUSION

## REFERENCES

## A.1

## Evidence of alignment with implemented GSSI Supplementary Components for Governance of Seafood Certification Schemes

## SCHEME GOVERNANCE

## A.1 01 02 LEGAL STATUS

## GSSI SUPPLEMENTARY COMPONENT

The Scheme Owner provides, within its means, translations into appropriate languages of its standard-setting procedures, most recent work program, and draft and final versions of its standards.

*Rationale: Strengthens transparency and accessibility to stakeholders based on scope of activities and geographic regions.*

## GUIDANCE

Scheme owner has a process for determining the need for translation and publication of documents in appropriate language to ensure access and transparency based on scope of activities and geographies. The procedure includes an assessment in order to ensure accurate translation.

Examples of evidence for scheme alignment :

- relevant policy and procedure document control system,
- work plans covering language needs assessment,
- process for ensuring accuracy of translations.

## CONCLUSION

## REFERENCES

## A.1

## Evidence of alignment with implemented GSSI Supplementary Components for Governance of Seafood Certification Schemes

## SCHEME GOVERNANCE

## ► NON-DISCRIMINATION

## A.1 09 01 NON-DISCRIMINATION - OPENNESS

## GSSI SUPPLEMENTARY COMPONENT

The Scheme Owner has procedures for taking into account the special circumstances of data deficient and/ or small-scale fishery/ aquaculture operations.

*Rationale: Avoids discrimination against operations on the basis of scale or level of development.*

## GUIDANCE

The Scheme Owner processes and policies reduce barriers or promote access of small scale enterprises. This may include specific small scale standards or exemptions that do not lower the requirements of the standards themselves.

Examples of evidence for scheme alignment:

- separate specific standard for small scale enterprises or programs such as capacity building and access to finance targeted to small scale enterprises. Policies may include sliding scale fees or simplified reporting templates.

## CONCLUSION

## REFERENCES

## A.3

## Evidence of alignment with implemented GSSI Supplementary Components for Governance of Seafood Certification Schemes

## STANDARD SETTING AND MAINTENANCE

## A.3 06 04 DECISION MAKING PROCESS

## GSSI SUPPLEMENTARY COMPONENT

Where the Scheme Owner limits decision-making to members, it ensures that membership criteria and application procedures are transparent and non-discriminatory.

*Rationale: Supports transparency and non-discrimination over who can participate.*

## GUIDANCE

For membership organization where decision making is limited to members, the application process and selection criteria are easily available and ensure balanced participation of stakeholders. These criteria could be "Not Applicable" if the Scheme Owner is not a member based organization.

Examples of evidence for scheme alignment:

- application procedure, forms, completed applications and any reasons for declining.

## CONCLUSION

## REFERENCES

## A.3

## Evidence of alignment with implemented GSSI Supplementary Components for Governance of Seafood Certification Schemes

## STANDARD SETTING AND MAINTENANCE

## A.3 10 01 RECORD KEEPING

## GSSI SUPPLEMENTARY COMPONENT

The Scheme Owner makes records in A.3.10 available to interested parties upon request.

*Rationale: Support transparency in record-keeping.*

## GUIDANCE

The Scheme Owner has a mechanism to ensure records described in A.3.10 are provided to stakeholders on request for the last revision process.

Examples of evidence for scheme alignment:

- policy/procedure describing system and process to provide information,
- online form for request, past actual requests and action taken,
- possibly request records through online contact.

## CONCLUSION

## REFERENCES

# B

EVIDENCE OF ALIGNMENT  
WITH APPLICABLE **GSSI ESSENTIAL COMPONENTS**  
FOR OPERATIONAL MANAGEMENT  
OF SEAFOOD CERTIFICATION SCHEMES

# B.1

## *Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes*

### ACCREDITATION

#### **B.1** **01** ISO-17011 COMPLIANCE

##### GSSI ESSENTIAL COMPONENT

The Scheme Owner has a contractual, enforceable arrangement or formal understanding that requires accreditation bodies to be compliant with the requirements of ISO/IEC 17011:2004.

##### GUIDANCE

The Scheme Owner has a contract, memorandum of understanding or enforceable arrangement with a certification body or accreditation body that require the accreditation bodies to be accredited to ISO/IEC 17011:2004.

Examples of evidence for scheme alignment:

- contracts,
- memorandums of understanding and/or memorandum of agreements between scheme and accreditation bodies or certification bodies that specify accreditation bodies to be compliant with ISO/IEC 17011:2004.
- accreditation bodies' certificate of accreditation (on website).

##### CONCLUSION

##### REFERENCES

## B.1

*Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes***ACCREDITATION****B.1 02 NON-DISCRIMINATION****GSSI ESSENTIAL COMPONENT**

The Scheme Owner ensures that accreditation services are available to certifying bodies irrespective of their country of residence, size, and of the existing number of already accredited bodies, within the scope of the scheme.

**GUIDANCE**

The Scheme Owner ensures that access to accreditation is open to qualified certification bodies without consideration of size, country or number of existing accredited certification bodies. This could be through contracts/agreements, in referenced policies or certification requirements/methodologies.

Examples of evidence for scheme alignment:

- application process/forms,
- review list of accredited certification bodies

**CONCLUSION****REFERENCES**

# B.1

## Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes

### ACCREDITATION

#### B.1 03 SPECIFIED REQUIREMENTS

##### GSSI ESSENTIAL COMPONENT

The Scheme Owner specifies the requirements for certification bodies that the accreditation body is required to verify.

##### GUIDANCE

The Scheme Owner defines requirements for certification bodies to ensure accurate and consistent implementation. These are verified as part of the accreditation process by the accreditation body.

Examples of evidence for scheme alignment:

- requirements are specified in certification requirements/methodologies or a separate certification body and/or accreditation manual.
- reference to requirements in contracts or formal agreements with certification bodies or accreditation bodies.

##### CONCLUSION

##### REFERENCES

# B.1

## *Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes*

### ACCREDITATION

#### **B.1** **04** **TRANSITION PERIOD**

##### GSSI ESSENTIAL COMPONENT

Subsequent to any changes in the requirements for assessing certification bodies, the Scheme Owner ensures certification bodies are given a defined time period within which to conform to the changes.

Special considerations should be given to accredited bodies in developing countries and countries in transition.

##### GUIDANCE

The Scheme Owner specifies transition periods for any changes to certification requirements (B.1.03) for certification bodies to come into compliance with changes. For certification bodies in developing countries consideration is given that may include a longer transition period, capacity building or other measures.

Examples of evidence for scheme alignment:

- see B.1.03 reference to transition period and/or special consideration for developing country certification bodies.

##### CONCLUSION

##### REFERENCES

## B.1

*Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes***ACCREDITATION****B.1 05 ACCREDITATION BODY COMPETENCIES****GSSI ESSENTIAL COMPONENT**

The Scheme Owner only works with accreditation bodies that have personnel with the necessary education, training, technical knowledge and experience for performing accreditation functions in fisheries and aquaculture operations.

**GUIDANCE**

The Scheme Owner ensures personnel competency through contracts or enforceable arrangements with accreditation bodies. Personnel competency includes education, training on the standard, technical knowledge and experience and can be defined by the Scheme Owner.

Examples of objective evidence:

- agreement/contract between the Scheme Owner and certification body to use national accreditation bodies which are IAF members and signatories to the Multilateral Recognition Arrangement for ISO 17065.
- contract/agreement between the Scheme Owner and the accreditation body if applicable, certification/accreditation manuals.
- review of CVs of accreditation body staff.

**CONCLUSION****REFERENCES**

# B.1

## *Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes*

### ACCREDITATION

#### **B.1 06 EXTERNAL REVIEW**

##### GSSI ESSENTIAL COMPONENT

The Scheme Owner ensures that external audits are carried out on the accreditation body to assess performance.

##### GUIDANCE

The Scheme Owner ensures accreditation bodies undergo external/independent performance assessments.

Examples of evidence for scheme alignment:

- assessment process and requirements of IAF, ISEAL or other membership organization.
- Scheme Owner accreditation manual or requirements, contracts or agreements, assessment reports.

##### CONCLUSION

##### REFERENCES

# B.1

## *Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes*

### ACCREDITATION

#### **B.1** **07** ORGANIZATIONAL TRANSPARENCY

##### GSSI ESSENTIAL COMPONENT

The Scheme Owner ensures that the accreditation body is transparent about its organizational structure and the financial and other kinds of support it receives from public or private entities.

##### GUIDANCE

Scheme owner ensures accreditation body transparency regarding organizational structure and financial support.

The Scheme Owner requires disclosure of this information directly from the accreditation body.

Examples of evidence for scheme alignment:

- accreditation body website with information, certification/accreditation manuals, contracts and/or agreements.
- agreement/contract between the Scheme Owner and certification body to use national accreditation bodies which are IAF members and signatories to the Multilateral Recognition Arrangement for ISO 17065;
- annual or periodic reports.

##### CONCLUSION

##### REFERENCES

# B.1

## Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes

### ACCREDITATION

**B.1**

**08**

**OFFICE AUDIT**

#### GSSI ESSENTIAL COMPONENT

The Scheme Owner ensures that the accreditation process includes an on-site audit of the certification body.

#### GUIDANCE

The Scheme Owner specifies that accreditation includes an on-site audit of the certification body.

Examples of evidence for scheme alignment:

- accreditation/certification requirements/methodologies, accreditation body office audit reports, audit schedule.
- specified in accreditation body or certification body contracts/agreements.
- agreement/contract between the Scheme Owner and certification body to use national accreditation bodies which are IAF members and signatories to the Multilateral Recognition Arrangement for ISO 17065.

#### CONCLUSION

#### REFERENCES

# B.1

## *Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes*

### ACCREDITATION

#### **B.1** **09** FIELD AUDIT

##### GSSI ESSENTIAL COMPONENT

The Scheme Owner ensures that the accreditation process includes a review of the performance of certification bodies and auditors in the field.

##### GUIDANCE

The Scheme Owner specifies that accreditation includes a performance review of certification bodies and auditors.

Examples of evidence for scheme alignment:

- accreditation/certification requirements/methodologies, accreditation body audit reports, audit schedule, specified in accreditation body or certification body contracts/agreements.
- agreement/contract between the Scheme Owner and certification body to use national accreditation bodies which are IAF members and signatories to the Multilateral Recognition Arrangement for ISO 17065.

##### CONCLUSION

##### REFERENCES

# B.2

## Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes

### CERTIFICATION

#### ► CERTIFICATION PROCESS

#### **B.2** **01** ISO-17065 COMPLIANCE

##### GSSI ESSENTIAL COMPONENT

The Scheme Owner requires that certification bodies operating in the scheme are accredited to ISO/IEC 17065:2012 for the scope of the respective standard of the scheme.

##### GUIDANCE

The Scheme Owner has a contract, memorandum of understanding or enforceable arrangement with certification body that require ISO/IEC 17065:2012 for the scope of the respective standard of the scheme.

Examples of evidence for scheme alignment:

- contracts, memorandums of understanding and/or memorandum of agreements between Scheme and accreditation bodies or certification bodies that specify certification bodies be accredited with ISO 17065:2012;
- accreditation manual or certification requirements/methodologies; certification bodies certificate of accreditation.

##### CONCLUSION

##### REFERENCES

## B.2

## Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes

### CERTIFICATION

#### B.2 02 FEE STRUCTURE

##### GSSI ESSENTIAL COMPONENT

The Scheme Owner requires certification bodies to maintain a written fee structure that is available on request and is adequate to support accurate and truthful assessments commensurate with the scale, size and complexity of the fishery, fish farm or chain of custody. The fee structure is non-discriminatory and takes into account the special circumstances and requirements of developing countries and countries in transition.

##### GUIDANCE

The Scheme Owner defines this requirement in the contract, memorandum of understanding or enforceable agreement with the accreditation body and/or certification body.

Examples of evidence for scheme alignment:

- accreditation manual/certification requirements/methodologies.
- possibly also review accreditation body audit reports that this requirement is verified, and for compliance of certification bodies on this requirement.
- policy or procedure which outlines how fee structures of certification bodies could address special requirements of developing and in transition countries in a non-discriminatory manner; certification body fee structure and policy (online or request).

##### CONCLUSION

##### REFERENCES

# B.2

## *Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes*

### CERTIFICATION

#### **B.2** **03** CERTIFICATION CYCLE

##### GSSI ESSENTIAL COMPONENT

The Scheme Owner requires that the validity of a certification cycle does not exceed 5 years in the case of fishery or 3 years in the case of aquaculture certification and 3 years in the case of chain of custody certification.

##### GUIDANCE

The Scheme Owner defines this requirement in the contract, memorandum of understanding or enforceable agreement with the accreditation body and/or certification body.

Examples of evidence for scheme alignment:

- accreditation manual/certification requirements/methodologies. Issued certificates with validity (online database or on request)

##### CONCLUSION

##### REFERENCES

## B.2

## Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes

### CERTIFICATION

B.2

04

#### SURVEILLANCE

##### GSSI ESSENTIAL COMPONENT

The Scheme Owner requires that certification bodies carry out periodic surveillance and monitoring at sufficiently close intervals to verify that certified operations continue to comply with the certification requirements. For aquaculture operations, this should be on an annual basis.

##### GUIDANCE

The Scheme Owner defines this requirement in the contract, memorandum of understanding or enforceable agreement with accreditation body and/or certification body. Scheme owner risk assessment system should identify “*sufficient close intervals*”.

Examples of evidence for scheme alignment:

- accreditation manual/certification requirements/methodologies.
- Scheme Owner internal risk assessment system with assessment reports.
- Audit reports, schedules and issued certificates.

##### CONCLUSION

##### REFERENCES

## B.2

## Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes

### CERTIFICATION

#### B.2 05 ASSESSMENT METHODOLOGY

##### GSSI ESSENTIAL COMPONENT

The Scheme Owner ensures that certification bodies apply a consistent methodology to assess compliance with the standard.

##### GUIDANCE

The Scheme Owner defines the methodology to assess compliance with the standard. An internal assessment (updated regularly) with clear outcomes, identifies if the methodology is consistent between certification bodies or if the methodology needs revising.

Examples of evidence for scheme alignment:

- certification requirements/methodologies,
- contracts and agreements with the certification body,
- guidance interpretation documents,
- Scheme Owner internal assessment system with assessment reports,
- training and calibration records.

##### RELATED SUPPLEMENTARY COMPONENTS

B.2 05 01

B.2 05 02

##### CONCLUSION

##### REFERENCES

## B.2

*Evidence of alignment with applicable GSSI Essential Components  
for Operational Management of Seafood Certification Schemes*

## CERTIFICATION

### B.2 06 TERMINATION, SUSPENSION, WITHDRAWAL

#### GSSI ESSENTIAL COMPONENT

The Scheme Owner ensures that accredited certification bodies have consistent documented procedure(s) that specify the conditions under which certification may be suspended or withdrawn, partially or in total, for all or part of the scope of certification.

#### GUIDANCE

For accurate and consistent implementation of the standard, the Scheme Owner ensures that certification bodies have documented procedures that specify the conditions under which certification may be suspended or withdrawn, partially or in total, for all or part of the scope of certification.

Examples of evidence for scheme alignment:

- contract, memorandum of understanding or enforceable agreement between the Scheme Owner and the certification body; accreditation manual, certification requirements/methodologies,
- audit reports,
- guidance documents specifying the conditions under which certification may be suspended or withdrawn.

#### CONCLUSION

#### REFERENCES

## B.2

## Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes

### CERTIFICATION

#### B.2 07 MULTI-SITE CERTIFICATION

##### GSSI ESSENTIAL COMPONENT

The Scheme Owner requires that accredited certification bodies have certification procedures and guidance for multi-site certifications, if allowed under the scheme.

##### GUIDANCE

If the Scheme Owner explicitly does not allow multi-site certification (prohibits, not that it is not yet developed or exists) requirement is “*Not applicable*”. Otherwise, the Scheme Owner requires certification body to have documented certification procedures and guidance for multi-site certification.

Examples of evidence for scheme alignment:

- memorandum of understanding or enforceable agreement between the Scheme Owner and the certification body;
- certification requirements/methodologies specifying multi-site procedures;
- guidance specifying certification procedures for multi-site certifications, in order to support consistency between certification bodies;
- audit reports.

##### CONCLUSION

##### REFERENCES

# B.2

## *Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes*

### CERTIFICATION

#### **B.2** **08** **AUDIT REPORTS**

##### GSSI ESSENTIAL COMPONENT

The Scheme Owner requires CBs to ensure consistency in audit report formats and in how the reports are completed.

##### GUIDANCE

The Scheme Owner defines this requirement for certification bodies and has some system for quality control.

Examples of evidence for scheme alignment:

- contract/agreement between the Scheme Owner and the certification body, certification requirements/methodologies;
- guidance specifying formats for audit reports and reporting, mandatory audit templates;
- review online audit reports for consistency of report format and reporting, Scheme Owner quality management system for review of audit reports.

##### CONCLUSION

##### REFERENCES

## B.2

## Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes

### CERTIFICATION

#### B.2 09 STAKEHOLDER INPUT

##### GSSI ESSENTIAL COMPONENT

The Scheme Owner requires that certification bodies have in place consistent procedures for stakeholders to provide input during the certification process.

##### GUIDANCE

The Scheme Owner defines this requirement for certification bodies to have a documented procedure to enable input from all stakeholders during the certification process.

Examples of evidence for scheme alignment:

- contract/agreement between the Scheme Owner and the certification body, certification requirements/methodologies specifying requirements for mechanism for stakeholder input during certification process.
- guidance specifying procedures.
- review certification body process for input:
- publicly available information for stakeholder input, public announcements, audit work plans, requests for input.
- audit reports with stakeholder input.

##### RELATED SUPPLEMENTARY COMPONENTS

B.2 09 01 B.2 09 02

##### CONCLUSION

##### REFERENCES

## B.2

*Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes***CERTIFICATION****B.2 10 NON-COMPLIANCES****GSSI ESSENTIAL COMPONENT**

The Scheme Owner requires that certification bodies use a consistent procedure for determining non-compliances, verifying corrective actions arising from non-compliances and allowing for appeals of non-compliances.

**GUIDANCE**

For accurate and consistent implementation of the standard, the Scheme Owner ensures that certification bodies have documented procedures determining all of the following: non-compliances, verifying corrective actions arising from non-compliances, and allowing for appeals of non-compliances.

Examples of evidence for scheme alignment:

- contract, memorandum of understanding or enforceable agreement between the Scheme Owner and the certification body.
- accreditation manual, certification requirements/methodologies.
- guidance documents, determining non-compliances, verifying corrective actions arising from non-compliances and allowing for appeals of non-compliances, in order to support consistency between certification bodies.
- audit reports.

**CONCLUSION****REFERENCES**

## B.2

## Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes

### CERTIFICATION

#### B.2 11 SITE AUDIT

##### GSSI ESSENTIAL COMPONENT

The Scheme Owner requires that the scope of the (re-)certification audit includes a visit to locations pertinent to the scope of the certification.

##### GUIDANCE

The Scheme Owner requires that the scope of the audit (initial, annual or re-assessment) includes on-site assessment of premises covered by the scope of the standards and which one or more key activities are performed

Examples of evidence for scheme alignment:

- contract, memorandum of understanding or enforceable agreement between the Scheme Owner and the certification body,
- accreditation manual, certification requirements/methodologies,
- guidance documents specifying procedures for determining site visits including sampling,
- review audit reports.

##### B.2 11 01 SUPPLEMENTARY COMPONENTS

##### CONCLUSION

##### REFERENCES

## B.2

*Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes***CERTIFICATION****B.2 12 TRANSPARENCY ON CERTIFIED ENTITIES****GSSI ESSENTIAL COMPONENT**

The Scheme Owner requires that a list of certified enterprises is made publicly available.

**GUIDANCE**

The Scheme Owner makes publically available a list of certified entities either directly or requires of certification bodies/ accreditation bodies.

Examples of evidence for scheme alignment:

- system to show the certification status of enterprises is publicly available online (e.g. database or online certificate list). If this system is outsourced to the accreditation bodies or certification bodies, this is required and the system described in the contract/agreement between the Scheme Owner and the accreditation body/certification body, in a separate accreditation manual or certification requirements/methodologies.

**CONCLUSION****REFERENCES**

## B.2

## Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes

### CERTIFICATION

#### B.2 13 TRANSPARENCY ON AUDIT REPORTS

##### GSSI ESSENTIAL COMPONENT

For fisheries, the Scheme Owner requires certification bodies to make full audit reports available on request after certification has been granted, while excluding commercially sensitive information.

##### GUIDANCE

Applicable only to fisheries, for Aquaculture "*Not Applicable*". The Scheme Owner defines this requirement for certification bodies to make full audit reports, after certification has been granted, available online or upon request. Commercially sensitive information is excluded. Contracts with certified entities should clearly give notice of this requirement.

Examples of evidence for scheme alignment:

- contract/agreement between the Scheme Owner and the certification body, contract with certification body and certified entity with this requirement,
- certification requirements/methodologies specifying requirement,
- guidance specifying that making reports available to stakeholders happens in a timely manner,
- review certification body website for posted reports or process for responding to requests.

##### CONCLUSION

##### REFERENCES

## B.2

## Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes

### CERTIFICATION

#### B.2 14 TRANSPARENCY ON AUDIT REPORTS

##### GSSI ESSENTIAL COMPONENT

For aquaculture, the Scheme Owner requires certification bodies to make summary audit reports publicly available (excluding commercially sensitive material) after certification has been granted.

##### GUIDANCE

Applicable only to Aquaculture. For Fisheries *"Not Applicable"*.

The Scheme Owner defines this requirement for certification bodies to make summary audit reports, after certification has been granted, publicly available. Commercially sensitive information is excluded. Contracts with certified entities should clearly give notice of this requirement.

Examples of evidence for scheme alignment:

- contract/agreement between the Scheme Owner and the certification body, contract with certification body and certified entity with this requirement.
- certification requirements/methodologies specifying requirement.
- guidance specifying that making reports available to stakeholders happens in a timely manner.
- certification body website for posted reports.

##### RELATED SUPPLEMENTARY COMPONENTS

B.2 14 01

B.2 14 02

##### CONCLUSION

##### REFERENCES

## B.2

*Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes***CERTIFICATION****B.2 15 NOTIFICATION OF CHANGES****GSSI ESSENTIAL COMPONENT**

The Scheme Owner notifies accreditation bodies, certification bodies and certified enterprises of any change in management procedures which affects scheme rules and procedures for accreditation or certification.

**GUIDANCE**

The Scheme Owner has a system to ensure that accreditation bodies, certification bodies and certified entities are notified in a timely manner of any substantive change in management procedures. This is defined as changes which affect scheme rules and procedures for accreditation and/or certification. Where the scheme outsources responsibility of notification to accreditation bodies or certification bodies, there is a requirement for certification bodies to have a procedure for this notification and guidance on how this should take place (timeframe, manner, channel, etc.).

Examples of evidence for scheme alignment:

- contracts/agreements with accreditation bodies and certification bodies regarding notification of changes, internal procedure/quality handbook for change management, ring information flow.

**CONCLUSION****REFERENCES**

## B.2

## Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes

### CERTIFICATION

#### B.2 16 TIMELINE FOR CORRECTIVE ACTION

##### GSSI ESSENTIAL COMPONENT

The Scheme Owner clearly defines the criteria relating to the classification of non-conformities. Where the Scheme Owner allows for certification of an entity with non-compliances, the Scheme Owner requires that:

- only non-conformities on minor, non-critical issues are allowed;
- a timeline for closing out corrective actions must be defined;
- a system to verify that corrective actions have been closed out is in place.

##### GUIDANCE

The Scheme Owner defines the criteria related to rating the severity of non-conformities for certification bodies. If Scheme allows for certified entities with non-compliances, these can only be (All must be met): minor/non-critical, with a defined timeline for closing out and a mechanism defined to verify resolution.

Examples of evidence for scheme alignment:

- contract/agreement between the Scheme Owner and the certification body, certification requirements/methodologies specifying classifications of non-conformities and conditions for allowing certification with non-compliances.
- guidance specifying procedures and process for classifying non-conformities and conditions for issuing certification, audit reports.

##### CONCLUSION

##### REFERENCES

# B.2

## *Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes*

### CERTIFICATION

#### ▶ AUDITOR COMPETENCE

#### **B.2 17** REQUIREMENTS FOR TECHNICAL KNOWLEDGE

##### GSSI ESSENTIAL COMPONENT

The Scheme Owner has defined the qualifications and competence criteria required by auditors and audit teams, employed by certification bodies, and it makes this information publicly available.

##### GUIDANCE

The Scheme Owner defines the requirement for certification body auditor and audit teams qualifications and competency and these requirements are publically available. Competencies and qualifications include knowledge in the standard, education, experience and personal attributes.

Examples of evidence for scheme alignment:

- contract/agreement between the Scheme Owner and the accreditation body/certification body, accreditation/certification requirements/methodologies specifying criteria for each function,
- auditor assessment and training records,
- auditor CVs.

##### CONCLUSION

##### REFERENCES

# B.2

## *Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes*

### CERTIFICATION

#### **B.2** **18** TECHNICAL KNOWLEDGE

##### GSSI ESSENTIAL COMPONENT

The Scheme Owner requires certification body auditors to have successfully completed training in the scheme to the satisfaction of the Scheme Owner.

##### GUIDANCE

The Scheme Owner defines the requirement for certification body auditor training in the standard including initial and ongoing development.

Examples of evidence for scheme alignment:

- contract/agreement between the Scheme Owner and the accreditation body/certification body, accreditation/certification requirements/methodologies specifying criteria for each function.
- auditor assessment and training records.

##### CONCLUSION

##### REFERENCES

## B.2

## Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes

### CERTIFICATION

#### B.2 19 GENERAL AUDITING SKILLS

##### GSSI ESSENTIAL COMPONENT

The Scheme Owner requires that certification body auditors successfully complete auditor training based on ISO 19011. This does not include technical experts seconded to audit teams.

##### GUIDANCE

The Scheme Owner defines the requirement for certification body auditors to have successfully completed (passed) training based on ISO 19011 (Guidelines for auditing management systems) and that the audit team includes at least one auditor. Technical experts supplement auditor expertise, but are not formally auditors and do not count as an auditor.

Examples of evidence for scheme alignment:

- contract/agreement between the Scheme Owner and the accreditation body/certification body, accreditation/certification requirements/methodologies specifying criteria for each function.
- auditor assessment and training records.
- auditor CVs.
- audit Reports.

##### CONCLUSION

##### REFERENCES

## B.2

## Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes

### CERTIFICATION

#### B.2 20 SCHEME SPECIFIC KNOWLEDGE ASSESSMENT

##### GSSI ESSENTIAL COMPONENT

The Scheme Owner requires that certification bodies include the following in their competence assessment of auditors:

- an assessment of knowledge and skills for each fundamental area the auditor will be expected to be working,
- an assessment of knowledge of pertinent fishery and /or aquaculture Programs and the ability to access and be able to apply relevant laws and regulations,
- an assessment of the personal attributes of the auditor, to ensure they conduct themselves in a professional manner,
- a period of supervision to cover the assessment fishery and/or aquaculture principles, specific audit techniques and specific category knowledge,
- a documented sign off by the certification body of the satisfactory completion of assessment requirements.

##### GUIDANCE

The Scheme Owner defines the requirement for certification bodies to include in the management of personnel competence (ISO 17065 clause 6.1.2) all of the elements in the *Essential Component*.

Examples of evidence for scheme alignment:

- contract/agreement between the Scheme Owner and the certification body, accreditation/certification requirements/ methodologies specifying requirement,
- guidance outlining the system and criteria for competencies, training, etc. (see B.2.17-B.2.19, 21-22),
- auditor assessment and training records,
- auditor CVs,
- accreditation body reports.

##### CONCLUSION

##### REFERENCES

## B.2

*Evidence of alignment with applicable GSSI Essential Components  
for Operational Management of Seafood Certification Schemes*

## CERTIFICATION

### B.2 21 SCHEME SPECIFIC KNOWLEDGE MAINTENANCE

#### GSSI ESSENTIAL COMPONENT

The Scheme Owner requires that certification body lead auditors maintain category and scheme knowledge.

#### GUIDANCE

The Scheme Owner defines the requirement for certification body lead auditors to have and maintain the necessary training, technical knowledge and experience to ensure consistent and accurate audits.

Examples of evidence for scheme alignment:

- contract/agreement between the Scheme Owner and the certification body, accreditation/certification requirements/ methodologies specifying requirement,
- guidance outlining the system and criteria for lead auditors,
- lead auditor assessment and training records,
- lead auditor CVs,
- accreditation body reports.

#### CONCLUSION

#### REFERENCES

## B.2

*Evidence of alignment with applicable GSSI Essential Components  
for Operational Management of Seafood Certification Schemes*

## CERTIFICATION

### B.2 22 KNOWLEDGE MAINTENANCE

#### GSSI ESSENTIAL COMPONENT

The Scheme Owner requires that certification bodies have a continuing professional development program in place that provides auditors with current best practice for fishery and/or aquaculture.

#### GUIDANCE

The Scheme Owner defines the requirement for certification body auditor ongoing professional development to maintain current best practice in sector.

Examples of evidence for scheme alignment:

- contract/agreement between the Scheme Owner and the accreditation body/certification body, accreditation/certification requirements/methodologies specifying criteria for continuous professional development,
- auditor training, assessment and training records.

#### CONCLUSION

#### REFERENCES

# B.3

## *Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes*

### CHAIN OF CUSTODY

#### **B.3** **01** SEGREGATION

##### GSSI ESSENTIAL COMPONENT

The Scheme Owner requires that all certified products are identified and segregated from non-certified products at all stages of the supply chain.

##### GUIDANCE

The Scheme Owner requires clear identification and separation of certified from non-certified product at all stages of the supply chain.

Examples of evidence for scheme alignment:

- Chain of Custody standards, audit checklists, certification requirements/methodologies specifying requirement.
- Chain of Custody audit reports.

##### CONCLUSION

##### REFERENCES

# B.3

## *Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes*

### CHAIN OF CUSTODY

#### **B.3 02 ENTERPRISES TO BE AUDITED**

##### **GSSI ESSENTIAL COMPONENT**

The Scheme Owner requires all enterprises that are physically handling the certified product to undergo a Chain of Custody audit by an accredited certification body if the product can be destined for retail sale as a certified, labelled product.

Exceptions: No audit is required for storage and distribution of tamper-proof, packaged products.

##### **GUIDANCE**

The Scheme Owner requires all entities in a supply chain that physically handle the product and where there is the possibility of mixing undergo a Chain of Custody audit if the product will be claimed as certified or carry a label. Entities in the supply chain which do not take physical control or only handle storage and distribution in tamper proof packaging need to be identified, but do not require a Chain of Custody audit.

Examples of evidence for scheme alignment:

- contract/agreement between the Scheme Owner and the accreditation body/certification body, certified entity, certification requirements/methodologies defining types of operations and activities that require auditing according to these requirements,
- Chain of Custody reports.

##### **CONCLUSION**

##### **REFERENCES**

# B.3

## Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes

### CHAIN OF CUSTODY

#### B.3 03 RECORDS FOR TRACEABILITY

##### GSSI ESSENTIAL COMPONENT

The Scheme Owner requires certification bodies to verify that all enterprises within the chain maintain accurate and accessible records that allow any certified product or batch of products to be traceable from the point of sale to the buyer.

##### GUIDANCE

The Scheme Owner defines the requirement for certification bodies that all entities within the supply chain, including those which may not undergo a Chain of Custody audit (see B.3.02), maintain up to date, complete and accessible records that allow for full traceability of the product along the entire supply chain.

Examples of evidence for scheme alignment:

- Chain of Custody standard.
- contract/agreement between the Scheme Owner and the certification body, accreditation/certification requirements/ methodologies specifying criteria for document control and maintenance.
- auditor checklists.

##### CONCLUSION

##### REFERENCES

# B.3

## Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes

### CHAIN OF CUSTODY

#### B.3 04 SUB-CONTRACTORS

##### GSSI ESSENTIAL COMPONENT

The Scheme Owner requires that enterprises are able to demonstrate that these Chain of Custody requirements are met by the enterprise's subcontractors.

##### GUIDANCE

The Scheme Owner ensures that certified entity takes full responsibility that all subcontractors fully meet Chain of Custody requirements and has a system to demonstrate this.

Examples of evidence for scheme alignment:

- sub-contract agreements, internal audits. If the Scheme Owner does not allow sub-contracting then this is aligned (as opposed to Not Applicable)

##### CONCLUSION

##### REFERENCES

## B.3

## Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes

### CHAIN OF CUSTODY

#### B.3 05 AUDITING METHODS AND FREQUENCY

##### GSSI ESSENTIAL COMPONENT

The Scheme Owner has or requires certification bodies to have documented procedures for auditing methods and frequency of audits that meet the following requirements:

- certificate validity does not exceed 3 years;
- periodicity depends on risk factors
- changes to an enterprise's traceability system that are deemed to affect the integrity of the Chain of Custody result in a re-audit (onsite).

##### GUIDANCE

The Scheme Owner has or ensures certification bodies have documented Chain of Custody audit methodologies including: validity of certificate cannot exceed 3 years, frequency of audits takes into consideration risk factors and an onsite audit is required when substantive changes to the certified entities traceability system take place. These are instances where the integrity of the Chain of Custody could be affected such as company mergers, major new markets.

Examples of evidence for scheme alignment:

- requirements in the contract/agreement between the Scheme Owner and the certification body, in a separate accreditation manual or for example in certification requirements/methodologies.
- guidance interpretation specifying frequency, auditing methods and risk factors, in order to support consistency between certification bodies.

##### CONCLUSION

##### REFERENCES

## B.3

*Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes*

## CHAIN OF CUSTODY

**B.3 06 NON-CONFORMITY/CORRECTIVE ACTIONS**
**GSSI ESSENTIAL COMPONENT**

The Scheme Owner requires the certification body to record all identified breaches of the chain of custody, including:

- an explanation of the factors that allowed the breach to occur;
- an explanation of the corrective actions required to ensure that a similar breach does not re-occur;
- the time frames for the corrective actions to be completed; and
- the date of closing out of the corrective actions and how the problem was solved.

**GUIDANCE**

The Scheme Owner requires of certification bodies to document all breaches of Chain of Custody with explanation of contextual factors, corrective actions, and timeframes for corrective actions, date of closing and resolution.

Examples of evidence for scheme alignment:

- certification requirements/methodologies defining requirements of reports, contract or agreement specifying requirements, mandatory template reports.
- Chain of Custody audit report.

**CONCLUSION**
**REFERENCES**

## B.3

## Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes

### CHAIN OF CUSTODY

#### B.3 07 AUDIT REPORT

##### GSSI ESSENTIAL COMPONENT

The Scheme Owner requires that certification body audit reports include:

- the date of the inspection/audit;
- the name(s) of the person(s) responsible for the audit and report;
- the names and addresses of the sites inspected/audited;
- the scope of the inspection/audit;
- the non-conformities identified;
- the result of at least one mass balance assessment for each product covered by the Chain of Custody audit; and
- a conclusion on the conformity of the client with the Chain of Custody requirements.

##### GUIDANCE

The Scheme Owner requires of certification bodies that all Chain of Custody audit reports include all of the elements in the *Essential Component*.

Examples of evidence for scheme alignment:

- certification requirements/methodologies defining requirements of reports, mandatory template reports.
- Chain of Custody audit report.

##### CONCLUSION

##### REFERENCES

**B.3***Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes***CHAIN OF CUSTODY****B.3 08 AUDIT REPORT****GSSI ESSENTIAL COMPONENT**

The Scheme Owner requires certification bodies to file reports at their office and to make these reports available to relevant parties upon request.

**GUIDANCE**

Certification bodies are required to maintain files of Chain of Custody audit reports (paper or electronic) and make these available upon request to relevant parties, within contractual arrangements with certified entities.

Examples of evidence for scheme alignment:

- contracts, agreements, certification requirements specify Chain of Custody reports are filed and process for making them available.

**CONCLUSION****REFERENCES**

# B.3

## *Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes*

### CHAIN OF CUSTODY

#### **B.3** **09** RECORD KEEPING

##### GSSI ESSENTIAL COMPONENT

The Scheme Owner requires that an enterprise keeps records that demonstrate conformity with the Chain of Custody requirements for a period that:

- exceeds the shelf life of the certified product; and
- exceeds the periodicity between audits

##### GUIDANCE

Certified entity must keep records documenting compliance with Chain of Custody standard requirements at a minimum time that is longer than a. the shelf life of the product and b. time between audits.

Examples of evidence for scheme alignment:

- Chain of Custody standard, guidance interpretation and audit checklist that specify document retention policy.

##### CONCLUSION

##### REFERENCES

# B.3

## *Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes*

### CHAIN OF CUSTODY

#### **B.3** **10** MULTI-SITE CHAIN OF CUSTODY AUDIT

##### GSSI ESSENTIAL COMPONENT

Where a scheme allows for Chain of Custody certification of multiple sites managed under the control of a single entity, the Scheme Owner defines specific audit procedures that ensure all sites comply with the Chain of Custody certification requirements.

Control can include direct ownership, franchises, or where the entity has a signed agreement or contract with each site.

##### GUIDANCE

If the Scheme Owner does not allow Chain of Custody of multi-sites (prohibits not that it is not yet developed or exists)- requirement is "Not applicable". Otherwise, the Scheme Owner defines audit procedure for multi-sites (under control of one entity) and requirements for internal control management system.

Examples of evidence for scheme alignment:

- Chain of Custody standard, guidance or checklist specifying procedure and internal control system.

##### CONCLUSION

##### REFERENCES

# B.3

## *Evidence of alignment with applicable GSSI Essential Components for Operational Management of Seafood Certification Schemes*

### CHAIN OF CUSTODY

#### **B.3** **11** MULTI-SITE CHAIN OF INTERNAL VERIFICATION

##### GSSI ESSENTIAL COMPONENT

Where the Scheme Owner allows for multi-site certification, they require that all sites are assessed as part of the internal audit during the period of validity of the certificate.

##### GUIDANCE

The Scheme Owner does not allow Chain of Custody of multi-site-requirement is "Not applicable". Otherwise, the Chain of custody standard requires all sites are assessed as part of the internal audit during the validity period of the certificate.

Examples of evidence for scheme alignment:

- standard, guidance interpretation and audit checklist.

##### CONCLUSION

##### REFERENCES

# B

EVIDENCE OF ALIGNMENT  
WITH IMPLEMENTED **GSSI SUPPLEMENTARY COMPONENTS**  
FOR OPERATIONAL MANAGEMENT  
OF SEAFOOD CERTIFICATION SCHEMES

# B.2

## Evidence of alignment with implemented GSSI Supplementary Components for Operational Management of Seafood Certification Schemes

### CERTIFICATION

**B.2** **14** **02** **TRANSPARENCY ON AUDIT REPORTS**

#### GSSI SUPPLEMENTARY COMPONENT

For aquaculture, the Scheme Owner requires certification bodies to make full audit reports on request after certification has been granted, while excluding commercially sensitive information

*Rationale: Supports transparency and empowers stakeholders to understand the performance of an enterprise*

#### GUIDANCE

Applicable only to Aquaculture. For Fisheries "Not Applicable". The Scheme Owner defines this requirement for certification bodies to make full audit reports, certification has been granted, publically available or upon request. Commercially sensitive information is excluded. Contracts with certified entities should clearly give notice of this requirement.

Examples of evidence for scheme alignment:

- contract/agreement between the Scheme Owner and the certification body, contract with the certification body and certified entity with this requirement,
- certification requirements/ methodologies specifying requirement
- guidance specifying that making reports available to stakeholders happens in a timely manner
- certification body website for posted reports.

#### CONCLUSION

#### REFERENCES



EVIDENCE OF ALIGNMENT  
WITH APPLICABLE **GSSI ESSENTIAL COMPONENTS**  
FOR AQUACULTURE CERTIFICATION STANDARDS

## C.1

*Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards***AQUATIC ANIMAL HEALTH MANAGEMENT****C.1 01 ANTIMICROBIAL USAGE****GSSI ESSENTIAL COMPONENT**

The standard requires that the decision to treat with antimicrobials is made according to the guidance of the OIE Aquatic Animal Health Code (i.e., by the aquatic animal health professional or other relevant competent authority and in response to a diagnosed disease; see Article 6.2.7 of the 2015 Aquatic Animal Health Code).

**GUIDANCE**

The standard is expected to prohibit prophylactic usage for growth promotion and require that all antimicrobials are used in response to a diagnosed disease (i.e., by the aquatic animal health professional or other relevant competent authority) and the audit is expected to include a review of suitable evidence (e.g., records of disease testing etc. prescriptions for treatments).

**CONCLUSION****REFERENCES**

## C.1

## Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards

### AQUATIC ANIMAL HEALTH MANAGEMENT

#### C.1 02 ANTIMICROBIAL USAGE

##### GSSI ESSENTIAL COMPONENT

The standard requires that the application of antimicrobial agents is consistent with the guidelines outlined in Principles for Responsible and Prudent Use of Antimicrobial Agents in Aquatic Animals of the OIE Aquatic Animal Health Code (Articles 6.2.7 and 6.2.8 of the 2015 Code).

##### GUIDANCE

The audit is expected to include a review of evidence (such as written records or through interviews) to ensure consistency with OIE guidelines (2015) Article 6.2.7 “The veterinarian or other aquatic animal health professional authorized to prescribe veterinary medicines should indicate precisely to the aquatic animal producer the treatment regime, including the dose, the treatment intervals, the duration of the treatment, the withdrawal period and the amount of antimicrobial agents to be delivered, depending on the dosage and the number of aquatic animals to be treated. The use of antimicrobial agents extra-label/off-label may be permitted in appropriate circumstances in conformity with the relevant legislation” and Article 6.2.8 “Aquatic animal producers should use antimicrobial agents only on the prescription of a veterinarian or other aquatic animal health professional authorized to prescribe veterinary medicines, and follow directions on the dosage, method of application, and withdrawal period.”

##### RELATED SUPPLEMENTARY COMPONENTS

C.1 02 01 C.1 02 02

##### CONCLUSION

##### REFERENCES

## C.1

*Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards***AQUATIC ANIMAL HEALTH MANAGEMENT****C.1 03 BIOSECURITY****GSSI ESSENTIAL COMPONENT**

The standard requires that workers employed in husbandry activities have been adequately trained and are aware of their responsibilities in aquatic animal health management practices.

**GUIDANCE**

The audit is expected include a review of evidence that relevant workers have been appropriately trained and aware of their responsibilities. Examples of suitable evidence could include suitable training or appropriate qualifications, and interviews with staff. The training of workers may be a component in a broader management system e.g., a health management plan.

**CONCLUSION****REFERENCES**

## C.1

*Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards***AQUATIC ANIMAL HEALTH MANAGEMENT****C.1 04 BIOSECURITY****GSSI ESSENTIAL COMPONENT**

The standard requires that aquatic animals are kept under farming conditions suitable for the species being raised.

**GUIDANCE**

The objective of this requirement is to verify that the species is being farmed in the proper environment to maintain its health. Due to the very broad nature of this Essential Component, specific guidance cannot be provided. Expected evidence could include requirements for farm siting (including permitting for the farm site and species), aquatic health plan maintenance, assurance or monitoring aquatic animal health, on-farm water quality and temperature monitoring, etc.

**CONCLUSION****REFERENCES**

## C.1

*Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards***AQUATIC ANIMAL HEALTH MANAGEMENT****C.1 05 BIOSECURITY****GSSI ESSENTIAL COMPONENT**

The standard requires the aquaculture facility to establish, implement and maintain appropriate procedures to respond to disease outbreaks, which includes the ability to quarantine the aquatic animal where feasible.

**GUIDANCE**

It is expected that disease response procedures would be a component of the aquatic animal health management system. Feasibility of quarantine depends on a combination of species, culture system and production environment. In cases where quarantine is applicable, a review of suitable evidence is expected to demonstrate and verify the ability to contain diseased aquatic animals.

**CONCLUSION****REFERENCES**

## C.1

*Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards*

## AQUATIC ANIMAL HEALTH MANAGEMENT

### C.1 06 BIOSECURITY

#### GSSI ESSENTIAL COMPONENT

The standard requires the aquaculture facility to establish, implement and maintain appropriate procedures and/or systems for the early detection of aquatic animal health issues, which include routine monitoring of stocks and the environment.

#### GUIDANCE

Appropriate procedures are expected to include general health/behavioral inspections or testing for specific diseases with suitable monitoring (e.g., regular and including a suitable range of parameters, and of sufficient sample size to identify or anticipate disease outbreaks expediently, as well as increased surveillance when potential issues are identified.) Environmental monitoring is expected to include detection of unfavorable environmental quality factors that could adversely affect the health of the aquatic animal (e.g., water temperature and quality).

Verification is expected and could include reviews of written records and monitoring results to ensure procedures and/or systems are operational is also expected. This could also be captured in an aquatic health management plan.

#### CONCLUSION

#### REFERENCES

## C.1

*Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards***AQUATIC ANIMAL HEALTH MANAGEMENT****C.1 07 BIOSECURITY****GSSI ESSENTIAL COMPONENT**

The standard requires that mortalities and moribund aquatic animals are routinely collected, where collection is a feasible practice.

**GUIDANCE**

GSSI expects this Essential Component to be applied where collection is a feasible function of good management practice (e.g., finfish grow out). Examples where this is not suitable could include where aquatic animals may be too small to effectively collect (e.g., shrimp farming). Record keeping on the numbers of, and reason for, mortalities is expected.

**CONCLUSION****REFERENCES**

# C.1

## Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards

### AQUATIC ANIMAL HEALTH MANAGEMENT

#### C.1 08 BIOSECURITY

##### GSSI ESSENTIAL COMPONENT

The standard requires the aquaculture facility has operational fish health management practices, specifically favoring effective biosecurity and available vaccines, including introductions and transfers of farmed animals where relevant, which is overseen by an aquatic animal health professional.

##### GUIDANCE

It is expected that the standard will contain sufficient elements and/or audit of culture practices for an operational program relative to the scale, species, and production systems covered by the standard's scope, including a focus on disease prevention (e.g. the use of vaccines). The content of the measures are expected to be overseen (but not necessarily full time employment) of an aquatic animal health professional.

##### RELATED SUPPLEMENTARY COMPONENTS

- C.1 08 01
- C.1 08 02
- C.1 08 03
- C.1 08 04
- C.1 08 05
- C.1 08 06
- C.1 08 07
- C.1 08 08

##### CONCLUSION

##### REFERENCES

## C.1

*Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards***AQUATIC ANIMAL HEALTH MANAGEMENT****C.1 09 OFF-FARM DISEASE TRANSMISSION****GSSI ESSENTIAL COMPONENT**

The standard requires the aquaculture facility to establish and implement procedures for the disposal of mortalities using appropriate methods that prevent the spread of disease.

**GUIDANCE**

Given the nature of this requirement, the standard may appear as a general requirement; however verification that practices are employed is expected. Relevant examples can be found in Articles 4.7.7 and 4.7.8 of the Aquatic Animal Health Code 2015 (see [www.oie.int/index.php?id=171&L=0&htmfile=chapitre\\_aquatic\\_animal\\_waste.htm](http://www.oie.int/index.php?id=171&L=0&htmfile=chapitre_aquatic_animal_waste.htm)).

**CONCLUSION****REFERENCES**

## C.1

## Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards

### AQUATIC ANIMAL HEALTH MANAGEMENT

#### C.1 10 OFF-FARM DISEASE TRANSMISSION

##### GSSI ESSENTIAL COMPONENT

The standard requires the aquaculture facility to establish, implement and maintain appropriate procedures and/or systems to reduce the likelihood of disease and parasite transmission within and between the aquaculture facility and natural aquatic fauna.

##### GUIDANCE

Appropriate procedures or systems are expected to address both on farm disease and parasite transfer (such as the ability to quarantine diseased stocks, separating equipment) as well as between the facility and natural fauna (such as disinfection of effluents for diseased stocks, fallowing). The approach taken would be expected to be relevant to the species, production system, scale of production, and legal requirements. Can be “not applicable” with suitable justification provided by the scheme.

Where pathogens or parasites are a known concern (for example, sea lice on farmed salmon); Appropriate procedures or systems are expected to include specific requirements or actions defined in the standard or specified by the aquaculture facility through a suitable risk assessment or other evidence such as local or national regulations. Appropriate management measures in these cases could include treatment trigger levels of parasite numbers on the farm-facility or siting requirements that require that the aquaculture facility is located at suitable distances from wild populations.

Verification that the management measures are suitable and employed is expected.

##### RELATED SUPPLEMENTARY COMPONENTS

C.1 10 01

##### CONCLUSION

##### REFERENCES

## C.1

*Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards***AQUATIC ANIMAL HEALTH MANAGEMENT****C.1 11 RECORD KEEPING****GSSI ESSENTIAL COMPONENT**

The standard requires the aquaculture facility maintain records on veterinary drug and chemical usage and the rationale for their use.

**GUIDANCE**

Verification that suitable records are maintained is expected. Suitable records are expected to include type, concentration, and dosage, method of administration and withdrawal times of chemicals and veterinary drugs and the rationale for their use.

**CONCLUSION****REFERENCES**

## C.2

*Evidence of alignment with applicable GSSI Essential Components  
for Aquaculture Certification Standards*

## CHEMICAL AND VETERINARY DRUG USE

### C.2 01 CHEMICAL USAGE

#### GSSI ESSENTIAL COMPONENT

The standard requires the establishment, implementation and maintenance of an appropriate system for the application of chemicals and veterinary drugs.

#### GUIDANCE

An appropriate system could conform to the relevant sections of Article 6.2.7 and 6.2.8 of the Aquatic Animal Health Code (2015) ([www.oie.int/index.php?id=171&L=0&htmfile=chapitre\\_antibio\\_resp\\_prudent\\_use.htm](http://www.oie.int/index.php?id=171&L=0&htmfile=chapitre_antibio_resp_prudent_use.htm)) or other suitable reference. The system is expected to ensure that the application of the product follows the instructions of the manufacturer or other competent authority. Verification that the system is operational is also expected.

#### CONCLUSION

#### REFERENCES

## C.2

*Evidence of alignment with applicable GSSI Essential Components  
for Aquaculture Certification Standards*

## CHEMICAL AND VETERINARY DRUG USE

### C.2 02 CHEMICAL USAGE

#### GSSI ESSENTIAL COMPONENT

The standard requires appropriate controls for all chemicals, incl. veterinary drugs, that enter the environment (whether already covered by GSSI Essential Components or not) in order to minimize adverse impacts on environmental quality.

#### GUIDANCE

It is expected that the standard will require all chemicals used by the aquaculture facility and that will enter the environment are at least used according to the manufacturer's guidance (such as on label requirements or Safety Data Sheets (SDS) or, in the case of veterinary drugs, the guidance of the aquatic animal health professional.

In addition, for chemicals that pose a high risk of adverse impacts to environmental quality -- these could be specifically defined by the standard (e.g., copper-based anti-foulant treatments in marine cage aquaculture) or identified through a risk based self-assessment by the farmer (e.g., an environmental risk assessment)-- it is expected that the standard or the risk-assessment will define any necessary additional requirements to minimize the impacts (e.g., EQS limits for copper residues in the benthic environment).

#### RELATED SUPPLEMENTARY COMPONENTS

C.2 02 01 C.2 02 02

#### CONCLUSION

#### REFERENCES

## C.2

*Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards*

## CHEMICAL AND VETERINARY DRUG USE

## C.2 03 LEGAL COMPLIANCE

## GSSI ESSENTIAL COMPONENT

The standard requires the aquaculture facility operates in compliance with relevant national and local laws with regard to the application of chemicals and veterinary drugs.

## GUIDANCE

Verification is expected to include a review evidence to support compliance with relevant laws.

## CONCLUSION

## REFERENCES

## C.3

## Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards

## ENVIRONMENTALLY RESPONSIBLE INFRASTRUCTURE CONSTRUCTION, WASTE DISPOSAL AND GENERAL STORAGE

## C.3 01 MAINTAINING GOOD CULTURE AND HYGIENIC CONDITIONS

## GSSI ESSENTIAL COMPONENT

The standard requires that the aquaculture facility and its daily operations ensure that good culture and hygienic conditions are maintained.

## GUIDANCE

This is a general Essential Component that covers a range of potential issues depending on the type of production system, species being cultured, and the local environment, and as such there is a need for flexibility in how consistency is achieved. It is expected that the following issues would be addressed and the systems verified to be operational:

- Appropriate storage of chemicals and fuel (e.g., stored in a lockable, labeled facility, limited access by personnel, leakage prevention - all based on Safety Data Sheets (SDS) (see figure 4.14 of the A Guide to The Globally Harmonized System of Classification and Labeling of Chemicals (GHS), available at: [www.osha.gov/dsg/hazcom/ghsguideoct05.pdf](http://www.osha.gov/dsg/hazcom/ghsguideoct05.pdf))
- Appropriate storage of feed (e.g., stored separately from sources of contamination, accurately labeled, keeping medicated and non-medicated feed separated.)
- Appropriate pest control (e.g., prevent contamination of feed, chemicals by rodents or insects etc.)
- Domestic sewage control/disposal to avoid local contamination
- General farm waste (e.g., empty feed bags, household rubbish, food containers etc.).

## RELATED SUPPLEMENTARY COMPONENTS

C.3 01 01    C.3 01 02

## CONCLUSION

## REFERENCES

## C.3

*Evidence of alignment with applicable GSSI Essential Components  
for Aquaculture Certification Standards*

## ENVIRONMENTALLY RESPONSIBLE INFRASTRUCTURE CONSTRUCTION, WASTE DISPOSAL AND GENERAL STORAGE

### C.3 02 GENERAL ENVIRONMENTAL MANAGEMENT

#### GSSI ESSENTIAL COMPONENT

The standard requires that aquaculture facility infrastructure is appropriately maintained in order to prevent pollution, whether from construction, operation or decommissioning (e.g., including the following requirement:

- A requirement for derelict or damaged gear to be collected and disposed of responsibly.)

#### GUIDANCE

Given the wide variety of production systems in aquaculture specific guidance cannot be provided and flexibility by the evaluator is required using a risk-based approach. Examples could include the requirement for derelict or damaged gear in shellfish or cage aquaculture to be collected and disposed of responsibly, or for that waste from pond construction is not placed in mangrove forests in shrimp farming. It is expected that specific requirements or risk-based management systems would be required where appropriate, along with suitable verification. These requirements may also be included in other Standards, such as sensitive habitat protection or escape prevention.

#### RELATED SUPPLEMENTARY COMPONENTS

C.3 02 01    C.3 02 02

#### CONCLUSION

#### REFERENCES

# C.4

## Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards

### FEED USE

#### C.4 01 ENVIRONMENTAL CONSIDERATIONS OF FEED INGREDIENTS

##### GSSI ESSENTIAL COMPONENT

The standard requires the aquaculture facility sources feed from a manufacturer that can trace fish meal and fish oil (>1% inclusion) to the species and, at least, to the country of origin.

##### GUIDANCE

Verification is expected to include a review of evidence (e.g., documentation, self-declaration by the feed manufacturer). The standard is expected to apply to other relevant marine feed ingredients (e.g., algae, krill, and squid) and to whole fish and fishery byproducts.

##### CONCLUSION

##### REFERENCES

## C.4

## Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards

## FEED USE

## C.4 02 ENVIRONMENTAL CONSIDERATIONS OF FEED INGREDIENTS

## GSSI ESSENTIAL COMPONENT

The standard requires the aquaculture facility sources feed from a manufacture that prohibits fishmeal and fish oil from endangered species.

## GUIDANCE

Verification is expected to include a review of evidence (e.g., documentation, self-declaration by the feed manufacturer). The standard is expected to apply to other relevant marine feed ingredients (e.g., algae, krill, and squid) and to whole fish and fishery byproducts.

Endangered species are expected to be defined in the Standard, with reference to relevant national listings (e.g., Vietnam's Red Data Book) and/or global listing organizations such as CITES (Appendix 1), IUCN Red List (Categories Critically Endangered (CR), Endangered (EN), Vulnerable (VU)). See [www.iucnredlist.org](http://www.iucnredlist.org) and [www.cities.org](http://www.cities.org) for more information.

## CONCLUSION

## REFERENCES

## C.4

*Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards*

## FEED USE

**C.4 03 ENVIRONMENTAL CONSIDERATIONS OF FEED INGREDIENTS****GSSI ESSENTIAL COMPONENT**

The standard requires the aquaculture facility sources feed from a manufacturer that prohibits the use of fishmeal and fish oil from illegal, unreported, and unregulated fishing (I.U.U.).

**GUIDANCE**

Verification is expected to include a review of evidence (e.g., documentation, self-declaration by the feed manufacturer). The standard is expected to apply to other relevant marine feed ingredients (e.g., algae, krill, and squid) and to whole fish and fishery byproducts.

**CONCLUSION****REFERENCES**

# C.4

## Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards

### FEED USE

#### C.4 04 ENVIRONMENTAL CONSIDERATIONS OF FEED INGREDIENTS

##### GSSI ESSENTIAL COMPONENT

The standard requires that the aquaculture facility sources feed from a manufacturer that has a written policy which includes assessment of source fishery status and identification of improvement needs and work plan to deliver improvements. The policy must include a commitment and timeline to source aquaculture and fishery products from responsible/best practice sources, such as those certified a standard benchmarked at minimum consistent with relevant FAO's ecolabelling guidelines or by identified independent risk assessment.

##### GUIDANCE

Verification is expected to include a review of evidence (e.g., documentation, self-declaration by the feed manufacturer). The standard is expected to apply to other relevant marine feed ingredients (e.g., algae, krill, and squid) and to whole fish and fishery byproducts.

##### RELATED SUPPLEMENTARY COMPONENTS

- C.4 04 01
- C.4 04 02
- C.4 04 03
- C.4 04 04
- C.4 04 05
- C.4 04 06
- C.4 04 07

##### CONCLUSION

##### REFERENCES

# C.4

## Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards

### FEED USE

#### C.4 05 FEED BIOSECURITY

##### GSSI ESSENTIAL COMPONENT

The standard prohibits the use of whole fish as a direct feed source in grow-out.

##### GUIDANCE

Verification is expected to include a suitable review of evidence, such as feed use records, visual observation, and financial records in aquaculture industries where this is common practice.

##### CONCLUSION

##### REFERENCES

# C.4

## Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards

### FEED USE

#### C.4 06 FEED BIOSECURITY

##### GSSI ESSENTIAL COMPONENT

The standards prohibit aquatic feed protein from the same species and genus as the species being farmed.

##### GUIDANCE

Verification is expected to include a review of evidence (e.g., documentation, self-declaration by the feed manufacturer).

##### CONCLUSION

##### REFERENCES

# C.4

## Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards

### FEED USE

#### C.4 07 FEEDING EFFICIENCY

##### GSSI ESSENTIAL COMPONENT

Where applicable, the standard requires that the aquaculture facility has suitable measures in place to ensure that feed is used efficiently at the individual production unit level.

##### GUIDANCE

Suitable measures are expected to be part of a wider feed management system, such as the use of feed trays, cameras, pellet sensors, documented records of visual feed response, staff training. Verification that the measures are operational and fit for purpose is also expected.

##### CONCLUSION

##### REFERENCES

## C.4

*Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards*

## FEED USE

## C.4 08 LEGAL COMPLIANCE

## GSSI ESSENTIAL COMPONENT

The standard requires that feed, feed additives, feed ingredients, and fertilizers used are compliant with relevant national and local laws

## GUIDANCE

Verification is expected to include a review of evidence (e.g., documentation, self-declaration by the feed manufacturer).

## CONCLUSION

## REFERENCES

# C.4

## Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards

### FEED USE

#### C.4 09 RECORD KEEPING

##### GSSI ESSENTIAL COMPONENT

The standard requires that appropriate records are kept on all feed use.

##### GUIDANCE

Appropriate records are expected to include feed source, feed Batch/Lot/ID number, date of purchase, feed conversion ratio (FCR), and, where appropriate, feed inclusion percentages of fishmeal and fish oil or a fish in: fish out ratio. Appropriate records are expected to be kept for each individual production unit. Verification of appropriate record keeping and suitable documentation from feed manufacturers is also expected.

##### CONCLUSION

##### REFERENCES

## C.5

*Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards*

## IMPACTS ON HABITAT AND BIODIVERSITY

### C.5 01 BENTHIC HABITATS

#### GSSI ESSENTIAL COMPONENT

For cage production systems, the standard requires appropriate management measures for preventing excessive impacts of aquaculture facility waste on benthic environments.

#### GUIDANCE

Appropriate measures for marine cage production systems are expected to consider biological, chemical and physical impacts and additional chemical residues resulting from culture practices. Where relevant, they should conform to ISO 16665. The use of systems combining suitable allowable zones of effect and environmental quality standards of effect are expected. Verification that the measures are operational and fit for purpose is expected. Evidence of the prevention of adverse impacts could include comparisons with baseline conditions, reference locations, or standardized limits with a suitable justification for their use. Where adverse impacts are detected it is expected that appropriate mitigation measures/ remedial action for the identified adverse impacts on the surrounding natural ecosystem are applied.

While generally recognized as a marine cage issue, benthic impacts can also occur in freshwater cage systems. The degree of management measures should reflect the degree of potential impacts relative to the environment, production system, species, and size of production.

#### CONCLUSION

#### REFERENCES

## C.5

## Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards

## IMPACTS ON HABITAT AND BIODIVERSITY

## C.5 02 PREDATOR CONTROL

## GSSI ESSENTIAL COMPONENT

The standard prohibits the use of any lethal predator control techniques on endangered species. Exceptions for worker safety and where euthanization is an act of mercy are acceptable and expected.

## GUIDANCE

Verification of the predator controls used, appropriate record keeping, and details of the endangered species in the region of the aquaculture facility are expected. Examples of supporting evidence of non-use could include interview, appropriate signage, and mortality records. Exceptions for worker safety and where euthanization is an act of mercy are acceptable and expected.

Endangered species are expected to be defined in the standard, with reference to relevant national listings (e.g., Vietnam's Red Data Book) and/or global listing organizations such as CITES (Appendix 1), IUCN Red List (Categories Critically Endangered (CR), Endangered (EN), Vulnerable (VU)). See [www.iucnredlist.org](http://www.iucnredlist.org) and [www.cities.org](http://www.cities.org) for more information.

## RELATED SUPPLEMENTARY COMPONENTS

C.5 02 01 C.5 02 02

## CONCLUSION

## REFERENCES

# C.5

## Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards

### IMPACTS ON HABITAT AND BIODIVERSITY

#### C.5 03 PREVENTING HABITAT IMPACTS

##### GSSI ESSENTIAL COMPONENT

The standard requires compliance with national and local laws on habitat and biodiversity, including an Environmental Impact Assessment (EIA) where required.

##### GUIDANCE

Verification is expected to include review evidence provided by the aquaculture facility to demonstrate legal compliance.

##### RELATED SUPPLEMENTARY COMPONENTS

- C.5 03 01
- C.5 03 02
- C.5 03 03

##### CONCLUSION

##### REFERENCES

## C.5

*Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards*

## IMPACTS ON HABITAT AND BIODIVERSITY

### C.5 04 SENSITIVE HABITAT AND BIODIVERSITY

#### GSSI ESSENTIAL COMPONENT

The standard requires that in areas where damage of sensitive habitats has occurred previously and where restoration is possible and effective; restoration efforts will or have resulted in a meaningful amount of restored habitat; either through direct on-farm restoration or by an off-farm offsetting approach. Grandfathering of historical losses is allowed.

#### GUIDANCE

It is expected that the standard will define sensitive habitat in context with its scope and an appropriate date to be used prior to which legal impacts can be “grandfathered in” and provide supporting evidence for the date. Verification at the aquaculture facility is expected to include whether restoration is necessary, to what degree (evidence could include maps, aerial photos, satellite images, government certification etc.) and whether that the active restoration is suitable (i.e., will it be successful and restore a suitable area of sensitive habitat).

#### RELATED SUPPLEMENTARY COMPONENTS

C.5 04 01   C.5 04 02   C.5 04 03

#### CONCLUSION

#### REFERENCES

# C.6

## Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards

### SEED

#### C.6 01 LEGAL COMPLIANCE

##### GSSI ESSENTIAL COMPONENT

The standard requires that all seed is sourced and used in compliance with relevant national and local legal requirements for both the source and destination law.

##### GUIDANCE

Verification is expected to include review evidence provided by the aquaculture facility to support compliance with relevant laws. This could include international laws (e.g., CITES) and laws governing introductions and transfers of live aquatic animals.

##### CONCLUSION

##### REFERENCES

# C.6

## Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards

### SEED

#### C.6 02 RECORD KEEPING

##### GSSI ESSENTIAL COMPONENT

The standard requires the establishment, implementation and maintenance of an appropriate record keeping system for all seed that is intentionally stocked.

##### GUIDANCE

An appropriate records system may include source of the seed, date of purchase, stocking density, vaccination record of the seed, and stocked seed batch identification.

Verification is expected to include a review of evidence that the system is operational and fit for purpose.

##### RELATED SUPPLEMENTARY COMPONENTS

C.6 02 01

##### CONCLUSION

##### REFERENCES

## C.6

## Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards

### SEED

#### C.6 03 WILD SEED

##### GSSI ESSENTIAL COMPONENT

The standard requires that where the deliberate use of wild seed is justifiable, it is collected in a manner that:

- Ensures controls are in place so that the collection of seed is not detrimental to the status of the wild target and non-target populations, nor the wider ecosystem.
- Avoids the use of environmentally damaging collection practices
- Source fishery is regulated by an appropriate authority

##### GUIDANCE

Expected examples of “justifiable use” include where there is a lack of commercially-available hatchery-raised seed, inability/lack of technology to hatchery-raised the farmed species, or passive collection of mollusks. Justification could be offered at the standard or aquaculture facility level.

- i) Suitable controls are expected to include aspects such as a fishery management plan that limits take to maintain the wild populations (i.e., there is no measurable impact on recruitment levels or the stocks ability to increases (examples include stocks that are under or fully exploited) with appropriate safeguards against excessive bycatch, and prevention of damaging gear types.
- ii) Examples of environmentally damaging collection practice are expected to include dynamite or poison fishing, habitat impacts.

Verification is expected to include the need to provide suitable evidence by the aquaculture facility (e.g., a summary report written by a credible 3rd party on the source fishery, a self-certification by the appropriate management authority, a 3rd party fishery certification that verifies suitable compliance).

##### RELATED SUPPLEMENTARY COMPONENTS

C.6 03 01

##### CONCLUSION

##### REFERENCES

## C.6

*Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards*

## SEED

**C.6 04 HATCHERY SEED**
**GSSI ESSENTIAL COMPONENT**

The standard requires that the aquaculture facility intentionally stocks hatchery-raised seed unless justification exists otherwise.

**GUIDANCE**

Examples of suitable justifiable exclusions are provided in C.6.03. Standards are expected to encourage the use of hatchery raised seed as they become available (e.g. by including a deadline for use to become required in the standard, or a certain percentage of seed needing to come from hatcheries to be met for certification, etc.). Verification is expected to include a review of evidence of the source of seed stocked at the aquaculture facility. In case of production systems and species where only hatchery seed is used (e.g. Atlantic salmon) this GSSI Essential Component can be not applicable.

**CONCLUSION**
**REFERENCES**

## C.6

## Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards

## SEED

## C.6 05 HATCHERY SEED

## GSSI ESSENTIAL COMPONENT

The standard requires that suitable measures are in place to ensure that hatchery-raised seed are free from relevant/important pathogens before stocking for grow-out.

## GUIDANCE

Relevant/important pathogens are expected to include those identified by the aquatic health professional and sources such as the OIE/ transboundary disease lists (See Chapter 1.3 of the Aquatic Animal Health Code 2015 <http://www.oie.int/en/international-standard-setting/aquatic-code/access-online/>).

Verification of suitable measures is expected to include reviews of disease-testing methods, the disease tested for, and the results (including ISO 23893-1:2007), and the vaccination record of the seed. This could form part of the aquatic animal health management plan.

## RELATED SUPPLEMENTARY COMPONENTS

C.6 05 01   C.6 05 02   C.6 05 03   C.6 05 04

## CONCLUSION

## REFERENCES

## C.7

*Evidence of alignment with applicable GSSI Essential Components  
for Aquaculture Certification Standards*

## SPECIES SELECTION AND ESCAPES

## C.7 01 ESCAPES

## GSSI ESSENTIAL COMPONENT

The standard requires that the aquaculture facility establishes, implements, and maintains an appropriate system to minimize the unintentional release or escape of cultured species.

## GUIDANCE

An appropriate system is expected to be based on an evaluation of the likelihood of events and the magnitude of impacts on surrounding environment (where risk assessments are used they must use a suitable scientific method and taking into consideration, siting, culture practices, local environmental conditions, including extreme events, and other relevant uncertainties) according to the precautionary approach and possible impacts on surrounding natural ecosystems, including fauna, flora, and habitat. Specific requirements stated in the standard are acceptable.

Verification is expected to include a review of evidence of an operational and fit for purpose system.

The system is expected to address the following; relative to the species being farmed and the production system (individual elements can be "Not Applicable" with these considerations).

- i) Measures for escape detection
- ii) Monitoring for and record keeping of escapes events
- iii) Suitable training of employees
- iv) Incident management and infrastructure, including response or recapture measures.
- v) Regular monitoring and maintenance of the culture system
- vi) Regular review and failure analysis
- vii) containment infrastructure

## RELATED SUPPLEMENTARY COMPONENTS

C.7 01 01   C.7 01 02   C.7 01 03

## CONCLUSION

## REFERENCES

## C.7

*Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards*

## SPECIES SELECTION AND ESCAPES

**C.7 02 GENETICALLY MODIFIED ORGANISMS****GSSI ESSENTIAL COMPONENT**

In the case where the culture of GMO organisms is permitted, the standard requires a suitable evaluation of the risk of environmental impacts.

**GUIDANCE**

A suitable evaluation is expected to have been performed using an appropriate scientific method that assesses the likelihood of events and the magnitude of impacts, and take into account relevant uncertainties according to the precautionary approach. The evaluation should consider the possible impacts on genetic diversity, aquatic communities and ecosystems. Where ICES Code of Practice on the Introductions and Transfers of Marine Organisms 2005 is relevant, consistency with these requirements on genetically modified organisms (GMO) is also expected. Verification is expected to include a review of supporting evidence.

**CONCLUSION****REFERENCES**

## C.7

*Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards*

## SPECIES SELECTION AND ESCAPES

## C.7 03 EXOTIC SPECIES

## GSSI ESSENTIAL COMPONENT

The standard requires that all species are farmed in compliance with relevant laws and regulations.

## GUIDANCE

Verification is expected to include review evidence provided by the aquaculture facility to support compliance with relevant laws.

## RELATED SUPPLEMENTARY COMPONENTS

C.7 03 01

## CONCLUSION

## REFERENCES

## C.8

*Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards*

## IMPACTS ON WATER RESOURCES

## C.8 01 LEGAL COMPLIANCE

## GSSI ESSENTIAL COMPONENT

The standard requires compliance with all relevant laws regarding water use, water quality, and waste discharge.

## GUIDANCE

Verification is expected to include review evidence provided by the aquaculture facility to support compliance with relevant laws.

## CONCLUSION

## REFERENCES

## C.8

*Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards*

## IMPACTS ON WATER RESOURCES

## C.8 02 SALINIZATION

## GSSI ESSENTIAL COMPONENT

The standard requires that the aquaculture facility establishes, implements, and maintains an appropriate system that addresses the impact of salinization of freshwater resources and the surrounding environment by the aquaculture facility.

## GUIDANCE

An exemption for standards that do not cover land-based saline water systems is expected.

Appropriate measures are expected to be based on risk assessments or standardized requirements. Controls could include relevant monitoring of freshwater resources (e.g., groundwater resources, local water bodies, local soils) for salinity changes and measures such as pond-linings, limiting groundwater use and other control techniques. The standard is expected to prohibit the aquaculture facility to contributing to changing freshwater resources and the surrounding environment to saline conditions. Verification is expected to include a review of evidence that the system is operational and fit for purpose, such as a visual inspection of the site.

## CONCLUSION

## REFERENCES

## C.8

## Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards

## IMPACTS ON WATER RESOURCES

## C.8 03 WATER USE

## GSSI ESSENTIAL COMPONENT

Where appropriate (e.g. land-based freshwater ponds supplied with groundwater and all culture systems where water resources are limiting) the standard requires that the aquaculture facility has appropriate management measures for efficient water use.

## GUIDANCE

This requirement is based on Paragraph 47 of the Technical Guidelines on Aquaculture Certification state *“Measures should be adopted to promote efficient water management and use, as well as proper management of effluents to reduce impacts on surrounding land, and water resources should be adopted.”* GSSI recognizes that standards for efficient water management and use are not common in many current aquaculture standards. Generally it is expected that this Essential Component will only apply to aquaculture facilities that use land-based freshwater ponds supplied with groundwater and all culture systems where water resources are limiting. An exemption for all other production systems is expected. This can also be “not applicable” for standards that do not cover relevant production systems.

Management measures may include a general promotion or awareness of efficient water use or actions that may lead to more efficient use. Where groundwater is used the standard is expected to require that the aquaculture facility establish, implement and maintain an appropriate system to prevent aquifer drawdown and negative impacts on freshwater resources and the surrounding environment caused by the facilities operations. Verification that the system is operational and fit for purpose is expected.

## RELATED SUPPLEMENTARY COMPONENTS

C.8 03 01    C.8 03 02

## CONCLUSION

## REFERENCES

## C.8

## Evidence of alignment with applicable GSSI Essential Components for Aquaculture Certification Standards

### IMPACTS ON WATER RESOURCES

#### C.8 04 WATER QUALITY

##### GSSI ESSENTIAL COMPONENT

The standard requires, where appropriate, management measures for effluents to reduce adverse impacts on water quality of water bodies receiving effluents.

##### GUIDANCE

Appropriate measures are expected to include.

1. Monitoring and recording of effluent or receiving water quality, and which may including key parameters that need to be addressed include, where applicable:
  - i) Nutrients – Nitrate/Nitrogen (impacts on seawater)
  - ii) Nutrients – Phosphate/Phosphorous (impacts on freshwater)
  - iii) Dissolved oxygen
  - iv) Salinity
  - v) Suspended Solids
  - vi) pH
2. Defined, aquaculture appropriate, maximum reference points (e.g., general concentration limits or aquaculture facility-specific limits) or mandatory systems (e.g., presence of a suitable filter) are defined to prevent pollution
3. Where reference points are exceeded, the scheme either refuses certification or that mitigation methods are employed and monitored to meet a time bound goal to come into compliance.

Verification is expected to include a review of evidence that the system is operational and fit for purpose, including visual inspection of the site. Where effluent concentration limits are used for compliance, independent verification of conformance is also expected.

“Where appropriate” is expected to include standards that cover production systems that release effluent that has the potential to impact water quality, e.g., fed/intensive aquaculture in ponds and raceways. An exception for marine cage aquaculture and on or off-bottom shellfish culture is expected.

##### RELATED SUPPLEMENTARY COMPONENTS

C.8 04 01    C.8 04 02    C.8 04 03

##### CONCLUSION

##### REFERENCES

# C

EVIDENCE OF ALIGNMENT  
WITH IMPLEMENTED **GSSI SUPPLEMENTARY COMPONENTS**  
FOR AQUACULTURE CERTIFICATION STANDARDS

## C.1

## Evidence of alignment with implemented GSSI Supplementary Components for Aquaculture Certification Standards

## AQUATIC ANIMAL HEALTH MANAGEMENT

## C.1 08 02 BIOSECURITY

## GSSI SUPPLEMENTARY COMPONENT

The standard requires the aquaculture facility to determine the cause of death when losses are significantly greater than expected and the cause is unclear, use laboratory analysis where feasible.

*Rationale: Early disease detection and identification, particularly in the event of an exotic disease, is critical to reducing the spread and severity of a disease outbreak. When losses are unclear, laboratory testing may be the only way to appropriately diagnose the cause of losses and the actions necessary to mitigate its impacts. The increased surveillance and confidence in detection should allow for greater understanding of the spread of disease around the aquaculture facility and possibly aid in identifying novel disease outbreaks and decrease the use of veterinary drugs, which could reduce the frequency and impact of disease outbreaks.*

## GUIDANCE

Verification that policies or other systems are in place to respond to these situations is expected.

## CONCLUSION

## REFERENCES

## C.1

## Evidence of alignment with implemented GSSI Supplementary Components for Aquaculture Certification Standards

## AQUATIC ANIMAL HEALTH MANAGEMENT

## C.1 08 05 BIOSECURITY

## GSSI SUPPLEMENTARY COMPONENT

The standard requires that the aquatic animals are vaccinated against relevant/important diseases for which vaccines are available and effective against.

*Rationale: Vaccination is an important tool for reducing the severity of disease outbreaks and the spread of disease. Vaccines are increasingly becoming available in aquaculture though their uptake may be limited by access, application, cost, risk, and perceived effectiveness. The standard verifies that effective vaccinations are used.*

## GUIDANCE

Relevant/important pathogens could include those identified by the aquatic animal health professional and sources such as the OIE/ transboundary disease lists. Verification, such as a review of justification by the aquatic animal health professional as to which vaccines could be used and records/receipts for vaccinations is expected.

## CONCLUSION

## REFERENCES

# D

EVIDENCE OF ALIGNMENT  
WITH APPLICABLE **GSSI ESSENTIAL COMPONENTS**  
FOR FISHERIES CERTIFICATION STANDARDS

## D.1

## Evidence of alignment with applicable GSSI Essential Components for Fisheries Certification Standards

### ► FISHERY MANAGEMENT

D.1

01

#### MANAGEMENT ORGANIZATION

##### GSSI ESSENTIAL COMPONENT

The standard requires the existence of a fishery management organization or arrangement that manages the fishery of which the Unit of Certification is a part.

##### GUIDANCE

A “fisheries management organization or arrangement” is defined by FAO (see Glossary). This term is used throughout the benchmarking framework and is intended to represent the “designated authority” mentioned in paragraphs 29.2 (36.2) and 29.4 (36.5) of the FAO Ecolabelling Guidelines. In this context it is essentially an entity holding the legal and generally recognised mandate for establishing fisheries management measures and taking management decisions such that those measures and decisions are legally enforceable. Where the stock under consideration is a transboundary fish stock, straddling fish stock, highly migratory fish stock or high seas fish stock it might also encompass a Regional Fisheries Management Organization (RFMO) - see Essential Component D.1.04. The fisheries management organization or arrangement may also be part of relevant traditional, fisher or community approaches to the management of the stock under consideration, provided their performance can be objectively verified (i.e. the knowledge has been collected and analysed through a systematic, objective and well-designed process, and is not just hearsay).

##### RELATED SUPPLEMENTARY COMPONENTS

D.1

01

01

D.1

01

02

D.1

01

03

D.1

01

04

##### CONCLUSION

##### REFERENCES

## D.1

*Evidence of alignment with applicable GSSI Essential Components for Fisheries Certification Standards***D.1 02 ADAPTIVE MANAGEMENT****GSSI ESSENTIAL COMPONENT**

The standard requires that the fishery management organization or arrangement receives and responds to in a timely manner the best scientific evidence available regarding the status of the stock under consideration and the likelihood and magnitude of adverse impacts of the unit of certification on the stock under consideration and the ecosystem.

**GUIDANCE**

Best scientific evidence available is described in the Glossary. For the stock under consideration it can derive from assessments of stock status outside of what is regarded as a traditional “stock assessment”, accommodating techniques for data limited fisheries and including traditional knowledge, providing its validity can be objectively verified. The actions of the fishery management organization or arrangement in both receiving and responding to the best scientific evidence available must be in accordance with the Precautionary Approach (D.3.12). This Essential Component is also linked to those in D.4 that cover the collection and handling of data and information.

## RELATED SUPPLEMENTARY COMPONENTS

**D.1 02 01**   **D.1 02 02**

**CONCLUSION****REFERENCES**

## D.1

*Evidence of alignment with applicable GSSI Essential Components for Fisheries Certification Standards***D.1 03 ADAPTIVE MANAGEMENT****GSSI ESSENTIAL COMPONENT**

The standard requires that in order for the fishery management organization or arrangement to receive and respond to in a timely manner the best scientific evidence available (D.1.02) the fishery management organization or arrangement convenes regularly, as needed, to manage the integrated process of information collection, stock assessment, planning, formulation of the management objectives and targets, establishing management measures and enforcement of fishery rules and regulations.

**GUIDANCE**

The FAO Ecolabelling Guidelines do not specify a requirement for any specific frequency of meetings of the fishery management organisation or arrangement. Paragraph 29.3 refers to the requirement for timely scientific advice on the likelihood and magnitude of identified impacts of the fishery on the ecosystem. Principle 2.10 of the Guidelines requires that schemes be based on the best scientific evidence available. Best scientific evidence available is defined in the Glossary as a process by which scientific advice is commissioned and solicited by the management system. The wording of this Essential Component is intended to ensure that the Standard requires that this is done in a timely and organised way that is properly documented.

The CCRF also uses the word “timely” in many places in describing requirements for responsible fisheries management, e.g. Article 6.13 “timely solutions to urgent matters”; Article 7.4.4: “timely, complete and reliable statistics on catch and fishing effort are collected and maintained in accordance with applicable international standards and practices and in sufficient detail to allow sound statistical analysis. Such data should be updated regularly and verified through an appropriate system.”; Article 6.15 refers to the need for disputes relating to fishing activities and practices to be resolved in a timely, peaceful and cooperative manner; and Article 12.3 requires that States should ensure that data generated by research are analysed, that the results of such analyses are published, respecting confidentiality where appropriate, and distributed in a timely and readily understood fashion, in order that the best scientific evidence is made available as a contribution to fisheries conservation, management and development.

**CONCLUSION****REFERENCES**

## D.1

*Evidence of alignment with applicable GSSI Essential Components for Fisheries Certification Standards***D.1 04 TRANSBOUNDARY STOCKS****GSSI ESSENTIAL COMPONENT**

Where the stock under consideration is a transboundary fish stock, straddling fish stock, highly migratory fish stock or high seas fish stock, the standard requires the existence of a bilateral, subregional or regional fisheries organization or arrangement, as appropriate that is concerned with the management of the whole stock unit over its entire area of distribution.

**GUIDANCE**

This Essential Component is intended to build on D.1.01 to provide greater specificity in the event that the stock under consideration is a transboundary fish stock, straddling fish stock, highly migratory fish stock or high seas fish stock. In this case, as well as the national authority with the legal and generally recognised mandate for establishing fisheries management measures and taking management decisions, there is expected to be an international institution or arrangement established (usually between two or more States) to be responsible for coordination of activities related to fisheries management over the entire area of distribution of the stock. This is to make sure that management of these stocks and fleets that fish on them is coordinated at the international level. Activities of the international institution or arrangement may include consultation between parties to the agreement or arrangement, formulation of fishery regulations and their implementation, allocation of resources, collection of information, stock assessment, as well as monitoring, control and surveillance (MCS). (e. g. a Regional Fisheries Management Organization – RFMO). See also CCRF Article 7.1.3 et seq. See also D.1.08, D.1.09 and D.1.10.

**RELATED SUPPLEMENTARY COMPONENTS**

D.1 04 01

**CONCLUSION****REFERENCES**

## D.1

## Evidence of alignment with applicable GSSI Essential Components for Fisheries Certification Standards

### ► MANAGEMENT SYSTEM

#### D.1 05 PARTICIPATORY MANAGEMENT

##### GSSI ESSENTIAL COMPONENT

The standard requires the governance and fisheries management system under which the unit of certification is managed to be both participatory and transparent, to the extent permitted by national laws and regulations.

##### GUIDANCE

Participatory is described in the Glossary. Principle 2.4 (2.5) of the FAO Guidelines requires ecolabelling schemes to be transparent, including balanced and fair participation by all interested parties. Requiring the standard also to require that the governance and management system being assessed is participatory and transparent (i.e. not just the scheme/ standard itself) is consistent with paragraph 6.13 of the CCRF, which states that: States should, to the extent permitted by national laws and regulations, ensure that decision making processes are transparent and achieve timely solutions to urgent matters. States, in accordance with appropriate procedures, should facilitate consultation and the effective participation of industry, fish workers, environmental and other interested organizations in decision-making with respect to the development of laws and policies related to fisheries management, development, international lending and aid.

To meet this Essential Component, the standard must require the fisheries management organization or arrangement to make information and advice used in its decision-making publicly available, to the extent allowed by national laws and regulations. While it is possible for an organization to be separately participatory or transparent, being one without the other is regarded as of much less value, hence both are needed to meet this Essential Component. A participatory approach to fisheries management requires there to be an opportunity for all interested and affected parties to be involved in the management process. This does not mean that stakeholders are necessarily required to have specific decision rights in the fishery, or that participatory mechanisms must be included in National laws, but there should be a consultation process that regularly seeks and accepts relevant information, including traditional, fisher or community knowledge and there should be a transparent mechanism by which the management system demonstrates consideration of the information obtained.

##### RELATED SUPPLEMENTARY COMPONENTS

D.1 05 01
D.1 05 02
D.1 05 03
D.1 05 04
D.1 05 05

##### CONCLUSION

##### REFERENCES

## D.1

## Evidence of alignment with applicable GSSI Essential Components for Fisheries Certification Standards

## GOVERNANCE AND FISHERY MANAGEMENT

## D.1 06 SMALL SCALE AND/OR DATA LIMITED FISHERIES

## GSSI ESSENTIAL COMPONENT

The standard is applicable to governance and management systems for small scale and/or data limited fisheries, with due consideration to the availability of data and the fact that management systems can differ substantially for different types and scales of fisheries.

## GUIDANCE

Being data limited is not necessarily synonymous with being small scale (hence the and/or in the Essential Component text), but the issues for fishery management may be similar.

The scheme and standard should be applicable to any fishery that falls within the scheme's geographic scope, i.e. different types and scales of fisheries, including potentially small scale and/or data limited fisheries. If a scheme has a part of its standard that applies only to a subset of fisheries, such as small scale and/or data limited fisheries, then it needs to explain under what circumstances that part of the standard would be invoked. This same logic would apply to other potential subsets of fisheries such as deep sea, low trophic level, salmon etc. This should not mean, however, the standard for these subsets of fisheries is fundamentally different (e.g. lowered) compared to the standard applicable to other fisheries. Being applicable to small scale and/or data limited fisheries relates to being able to take into consideration different kinds of information and utilize different fishery management approaches in a risk management context. In order to be applicable to governance and management systems for small scale and data limited fisheries, the standard should also be applicable to relevant traditional, fisher or community approaches used by the fisheries management organization or arrangement to manage the unit of certification, provided their performance can be objectively verified. Evidence to verify the performance of the relevant traditional, fisher or community approaches would need to be established by the certification body implementing the standard and could be derived, for example, from the assessment of conformance with other GSSI Essential Components, in particular those covering the Stock and Ecosystem Status and Outcomes (D.6).

If the scheme is generally applicable to all types of fisheries, (i.e. including small scale and/or data limited fisheries), then there is no need to explain the specific applicability, but in this case it may be harder for the scheme to demonstrate that the standard is indeed applicable to governance and management systems for small scale and/or data limited fisheries. In this context, it is important to recognize the great diversity of small-scale and/or data limited fisheries, as well as the fact that there is no single, agreed definition of these terms (see the Glossary). Small-scale fisheries represent a diverse and dynamic subsector, often characterized by seasonal migration. The precise characteristics of the subsector vary depending on the location. Accordingly, GSSI does not prescribe a specific definition of small-scale fisheries or data limited fisheries.

## RELATED SUPPLEMENTARY COMPONENTS

D.1 06 01

## REFERENCES

## REFERENCES

## D.1

*Evidence of alignment with applicable GSSI Essential Components for Fisheries Certification Standards***D.1 07 COMPLIANCE OF THE MANAGEMENT SYSTEM****GSSI ESSENTIAL COMPONENT**

The standard requires that the fisheries management system under which the unit of certification is managed operates in compliance with local, national and international laws and regulations, including the requirements of any regional fisheries management organisation that exercises internationally recognised management jurisdiction over the fisheries on the stock under consideration.

**GUIDANCE**

Under this Essential Component the standard requires that the fisheries management system must operate legally (locally, nationally and internationally); the legality of the fishery (i.e. compliance with applicable fishing regulations) is covered under other requirements in this Performance Area. For the purposes of clarity, this includes compliance with the rules and regulations of any RFMO/A that exercises internationally recognized management jurisdiction over fisheries on the stock under consideration in the high seas and implementation of the United Nations General Assembly (UNGA) Resolution 61/105, paragraphs 76-95 concerning responsible fisheries in the marine ecosystem.

## RELATED SUPPLEMENTARY COMPONENTS

D.1

07

01

D.1

07

02

**CONCLUSION****REFERENCES**

## D.1

## Evidence of alignment with applicable GSSI Essential Components for Fisheries Certification Standards

### ► LEGAL FRAMEWORK

#### D.1 08 COMPLIANCE OF THE FISHERY

##### GSSI ESSENTIAL COMPONENT

The standard requires that the fishery of which the Unit of Certification is a part is managed under an effective legal framework at the local, national or regional (international) level as appropriate.

##### GUIDANCE

Legal framework is described in the Glossary. An effective legal framework is one that is shown to be fit for purpose, such that the fishery seeking certification proceeds in an orderly and well controlled manner. An effective legal framework should enable the fisheries management organization or arrangement to perform its functions without hindrance from systemic and repeated illegal activity. An effective legal framework can be one that incorporates traditional, fisher or community approaches (e.g. co-management under community approaches) provided their performance can be objectively verified. With respect to fisheries in the high seas, the legal obligations of UNCLOS and UNFSA have particular relevance. See also Essential Component D.1.09 regarding the need for effective and suitable monitoring, surveillance, control and enforcement of the fishery of which the unit of certification is a part.

Evidence of the performance of the legal framework can be derived from the assessment of conformance with other Essential Components, in particular D.1.09 and D.1.10 covering compliance and enforcement.

##### RELATED SUPPLEMENTARY COMPONENTS

D.1 08 01

##### REFERENCES

## D.1

## Evidence of alignment with applicable GSSI Essential Components for Fisheries Certification Standards

### D.1 09 COMPLIANCE OF THE FISHERY

#### GSSI ESSENTIAL COMPONENT

The standard requires effective and suitable monitoring, surveillance, control and enforcement of the fishery of which the unit of certification is a part.

#### GUIDANCE

Effective and suitable monitoring, surveillance, control and enforcement is described in the Glossary. Evidence of high levels of compliance in the fishery of which the Unit of Certification is a part with all applicable local, national and international laws and regulations (as appropriate, per Essential Component D.1.10) would be indicative of effective monitoring, surveillance, control and enforcement. The suitability of monitoring, surveillance, control and enforcement for the fishery of which the Unit of Certification is a part should be assessed by the technical team undertaking the assessment for certification relative to the standard.

Both this Essential Component and Essential Component D.1.08 (effective legal framework) derive from Paragraph 29.5 (36.6) of the Ecolabelling Guidelines which refers to "the fishery". It is, therefore, the effective and suitable monitoring, surveillance, control and enforcement of the "fishery" (see Glossary) that is the subject of this Essential Component, and this may extend beyond the unit of certification (as per paragraph 25 of the Guidelines, the unit of certification could encompass: the whole fishery, where a fishery refers to the activity of one particular gear-type or method leading to the harvest of one or more species; a sub-component of a fishery, for example a national fleet fishing a shared stock; or several fisheries operating on the same resources). If the stock under consideration is not transboundary, then the Standard need only be concerned with the effectiveness and suitability of the monitoring, surveillance, control and enforcement activities at the national level for the fishery of which the Unit of Certification is a part. For transboundary stocks, however, there are several Essential Components that apply such that the Standard must be concerned with fishery management and compliance at the international level and the status of the whole stock across its entire range. Essential Component D.1.08 covers the need for an effective legal framework at the local, national or regional (international) level as appropriate and Essential Component D.1.10 covers the need for the Unit of Certification to be operating in compliance with the requirements of local, national and international law and regulations. Under Essential Component D.1.04, where the stock under consideration is a transboundary fish stock, straddling fish stock, highly migratory fish stock or high seas fish stock, the standard must require the existence of a bilateral, subregional or regional fisheries organization or arrangement (e.g. an RFMO), as appropriate, covering the stock under consideration over its entire area of distribution. This is to make sure that management of these stocks and fleets that fish on them is coordinated at the international level. RFMOs are not generally responsible directly for monitoring, surveillance, control and enforcement; this is done by national authorities (i.e. of vessels operating within their waters of national jurisdiction and also of vessels flying their flag when they are fishing outside of those waters). If the Unit of Certification is part of a national fleet fishing on a transboundary stock, then it is still likely to be the effectiveness and suitability of the monitoring, surveillance, control and enforcement activities at the national level which is of prime importance for certification. If the Unit of Certification covers all the fishing on the stock under consideration, then the monitoring, surveillance, control and enforcement all of the national fleets is of concern. Note also that under Essential Component D.5.02 (assessment of the stock under consideration), the Standard must require assessment of the current status and trends of the stock under consideration to consider total fishing mortality on that stock from all sources, and under Essential Component D.6.01, the stock under consideration must not be overfished. Hence any deficiencies in the monitoring, surveillance, control and enforcement of fleets fishing on a stock under consideration that is a transboundary fish stock, straddling fish stock, highly migratory fish stock or high seas fish stock that compromise the effective assessment of the status of that stock would need to be of concern for certification.

Article 7.7.2 of the CCRF requires states to ensure that laws and regulations provide for sanctions applicable in respect of violations which are adequate in severity to be effective.

Article 7.7.3 of the CCRF requires states, in conformity with their national laws, to implement effective fisheries monitoring, control, surveillance and law enforcement measures including, where appropriate, observer programmes, inspection schemes and vessel monitoring systems. Standards may refer to these mechanisms as appropriate.

#### RELATED SUPPLEMENTARY COMPONENTS

D.1 09 01    D.1 09 02

# D.1

## *Evidence of alignment with applicable GSSI Essential Components for Fisheries Certification Standards*

### CONCLUSION

### REFERENCES

## D.1

## Evidence of alignment with applicable GSSI Essential Components for Fisheries Certification Standards

### GOVERNANCE AND FISHERY MANAGEMENT

D.1

10

#### COMPLIANCE OF THE FISHERY

##### GSSI ESSENTIAL COMPONENT

The standard requires that the Unit of Certification operates in compliance with the requirements of local, national and international law and regulations.

##### GUIDANCE

This requirement covers the compliance of the Unit of Certification with all applicable laws and regulations. Paragraph 28 (35) of the Ecolabelling Guidelines requires compliance both by the fishery and the management system. The requirement for the management system to be in compliance with applicable laws and regulations is addressed in Essential Component D.1.07.

Conformance with this Essential Component should be considered alongside Essential Component D.1.09 - the requirement for effective and suitable monitoring, surveillance, control and enforcement. Conformance with this Essential Component requires there to be no evidence of systematic (methodical, regular, organized) or systemic (universal, throughout the system) non-compliance by fishers in the unit of certification with the requirements of local, national and international law and regulations. However, a lack of evidence of non-compliance by itself may not be sufficient if the monitoring, surveillance, control and enforcement is not effective and suitable for the fishery. Evidence of non-compliance may come from a variety of sources, including local and national monitoring, surveillance, control and enforcement programs, regional fisheries management organisations (RFMOs), and third party bodies such as industry organisations and non-governmental organisations. The Standard should require all of these sources to be consulted and taken into consideration.

Article 7.7.2 of the CCRF requires states to ensure that laws and regulations provide for sanctions applicable in respect of violations which are adequate in severity to be effective.

Article 7.7.3 of the CCRF requires states, in conformity with their national laws, to implement effective fisheries monitoring, control, surveillance and law enforcement measures including, where appropriate, observer programmes, inspection schemes and vessel monitoring systems. Standards may refer to these mechanisms as appropriate.

##### CONCLUSION

##### REFERENCES

## D.2

*Evidence of alignment with applicable GSSI Essential Components for Fisheries Certification Standards***MANAGEMENT OBJECTIVES**► **STOCK UNDER CONSIDERATION****D.2 01 MANAGEMENT OBJECTIVES****GSSI ESSENTIAL COMPONENT**

The standard requires the existence of management objectives that are applicable to the unit of certification and the stock under consideration and seek outcomes consistent with the long term sustainable use of the fisheries resources under management.

**GUIDANCE**

The Standard must show evidence of requiring the existence of clearly stated management objectives that meet the description in the Glossary. The appropriateness of those objectives is tested through the assessment of conformance with Essential Components in other Performance Areas, including, the actions (management measures, monitoring etc.) taken to meet them and the outcomes for the stock under consideration and the ecosystem.

The “fishery” referred to in Paragraph 28 of the Guidelines encompasses both the unit of certification and the stock under consideration (as per paragraph 28.1), as do the management objectives referred to in this Essential Component.

**CONCLUSION****REFERENCES**

## D.2

## Evidence of alignment with applicable GSSI Essential Components for Fisheries Certification Standards

## MANAGEMENT OBJECTIVES

## ► MANAGEMENT SYSTEM

## D.2 02 BEST SCIENTIFIC EVIDENCE AVAILABLE

## GSSI ESSENTIAL COMPONENT

The standard requires that management objectives take into account the best scientific evidence available.

## GUIDANCE

This Essential Component applies to all management objectives referred to in Essential Components under Performance Area D.2.

Best scientific evidence available is described in the Glossary. It can come from assessments of stock status outside of the typical “stock assessment”, accommodating techniques for data limited fisheries and including traditional knowledge, providing its validity can be objectively verified (i.e. the knowledge has been collected and analysed through a systematic process, and is not simply hearsay).

Note that the requirement for the management system to take into account the best scientific evidence available is not inconsistent with the Precautionary Approach (see Essential Component D.3.12), which requires inter alia that the absence of adequate scientific information should not be used as a reason for postponing or failing to take conservation and management measures. Both of these requirements apply.

## CONCLUSION

## REFERENCES

# D.2

## Evidence of alignment with applicable GSSI Essential Components for Fisheries Certification Standards

### MANAGEMENT OBJECTIVES

#### ► STOCK UNDER CONSIDERATION

#### D.2 03 REFERENCE POINTS

##### GSSI ESSENTIAL COMPONENT

The standard requires that the management objectives clearly define target and limit reference points, or proxies for the stock under consideration on the basis of the best scientific evidence available and in accordance with the Precautionary Approach. Target reference points must be consistent with achieving Maximum Sustainable Yield, MSY (or a suitable proxy) on average and limit reference points (or proxies) must be consistent with avoiding recruitment overfishing or other impacts that are likely to be irreversible or very slowly reversible.

##### GUIDANCE

The Glossary provides descriptions of target and limit reference points. Reference points must be set at levels consistent with achieving maximum sustainable yield (MSY) (or a suitable proxy) on average, or a lesser fishing mortality if that is optimal in the circumstances of the fishery (e.g. multispecies fisheries) or to avoid severe adverse impacts on dependent predators. To be effective, reference points must be incorporated within a framework of decision rules (See D.3.04) to ensure that the stock does not fall below a limit, Blim, at which recruitment could be significantly impaired, or lead to average recruitment that is significantly lower than it would be with a higher stock biomass. The level of Blim should be set on the basis of historical information, applying an appropriate level of precaution according to the reliability of that information. In addition, an upper limit should be set on fishing mortality, Flim, which is the fishing mortality rate that, if sustained, would drive biomass down to the Blim level.

A proxy is a surrogate or substitute approach that results in acceptable outcomes consistent with the primary approach. In the context of reference points, when data are insufficient to estimate reference points directly other measures of productive capacity can serve as reasonable substitutes or “proxies”. Suitable proxies may be, for example, standardized cpue as a proxy for biomass or specific levels of fishing mortality and biomass which have proven useful in other fisheries and can be used with a reasonable degree of confidence in the absence of better defined levels. It is important to note that the use of a proxy may involve additional uncertainty, and if so, should trigger the use of extra precaution in the setting of biological reference points. The words “or proxies” are a consideration for small scale and/or data limited fisheries, This should not be interpreted to mean that small scale and/or data limited fisheries do not require target and limit reference points, but that the methods used to develop them and monitor the stock status in relation to them may be less data intensive than for large scale fisheries. See also Essential Components D.1.04 and D.5.04.

##### RELATED SUPPLEMENTARY COMPONENTS

D.2 03 01    D.2 03 02

##### CONCLUSION

##### REFERENCES

## D.2

## Evidence of alignment with applicable GSSI Essential Components for Fisheries Certification Standards

## MANAGEMENT OBJECTIVES

## D.2 04 ENHANCED FISHERIES

## GSSI ESSENTIAL COMPONENT

The standard requires, in the case of enhanced fisheries, the existence of management objectives consistent with avoiding significant negative impacts of enhancement activities on the natural reproductive stock component of the stock under consideration and any other wild stocks from which the organisms for stocking are being removed.

## GUIDANCE

All Essential Components that address Enhanced Fisheries can be “not applicable” to schemes that do not cover these fisheries. However, it is incumbent on the scheme to explicitly exclude enhanced fisheries (rather than explicitly include them) in order for these requirements to be not applicable. If the scheme remains silent on the issue of enhanced fisheries, then the standard could potentially be applied to fisheries that include enhanced components, but if these are not properly dealt with by the standard (i.e. as per GSSI Essential Components) then the scheme would be deficient when being used to certify such fisheries. In essence, the default position is that a scheme/standard can be applied to enhanced fisheries unless it excludes them explicitly.

The term “significant negative impacts” is used in the FAO Inland Guidelines. This was not intended to be equivalent to “severe adverse impacts” (on dependent predators). The FAO consultation that resulted in the drafting of the Inland Guidelines considered that avoidance of “severe adverse impacts” only would not be consistent with a management obligation to manage enhancement in ways that would not impact the productivity and abundance of the natural reproductive stock component of the stock under consideration.

Any displacement of the naturally reproductive stock components of enhanced stocks must not reduce the natural reproductive stock components below abundance-based Target Reference Points or their proxies. Note that the Target Reference Points are for the natural reproductive stock component. For example, in the case of salmon fisheries, if the spawning stock is comprised of fish both from enhanced and natural origins, the escapement goal considers only the natural origin component. An example Target Reference Point would be an escapement target based on the natural reproductive stock component.

## CONCLUSION

## REFERENCES

## D.2

## Evidence of alignment with applicable GSSI Essential Components for Fisheries Certification Standards

## MANAGEMENT OBJECTIVES

## ► ECOSYSTEM EFFECTS OF FISHING

## D.2 05 NON-TARGET CATCHES

## GSSI ESSENTIAL COMPONENT

The standard requires the existence of management objectives that seek to ensure that non-target catches and discards by the unit of certification of stocks other than the stock under consideration and any associated culture and enhancement activity do not threaten those non-target stocks with recruitment overfishing or other impacts that are likely to be irreversible or very slowly reversible.

## GUIDANCE

The term “target” in this Essential Component is used only in the context of “target stock status” in the Elements. This refers to the status of the stock under consideration only. “Non-target catches” refers to everything other than the stock under consideration.

This Essential Component is explicitly and deliberately confined to the effects of non-target catches and discards by the unit of certification on those non-target species/stocks. Cumulative effects on non-target species/stocks are not included in the Ecolabelling Guidelines. They are not part of the Essential Components, but they are covered in the Supplemental Components. The component relating to enhancement activity may be “not applicable” to schemes that explicitly do not cover enhanced fisheries.

Examples of irreversible or very slowly reversible effects on bycatch species include excessive depletion of very long-lived organisms (see Glossary). To mitigate effects that are likely to be irreversible or very slowly reversible requires those effects to be made less severe such that they are no longer likely to be irreversible or very slowly reversible.

## RELATED SUPPLEMENTARY COMPONENTS

D.2 05 01 D.2 05 02

## CONCLUSION

MEL is in alignment because requirement(s) in the Fisheries Management Standard (version 2.0) and indicator(s) in the Fisheries Management Standard: Guidelines for Auditors - Indicators of Conformity - (version 2.1) state as follows;

Requirement 3.1.2 in the Fisheries Management Standard (version 2.0)

The unit of certification shall be operated in ways to minimize adverse impacts on non-target stocks and ecosystem, taking into account the assessment results of above 3.1.1(a) (1) - (5). Indicator(s) 3.1.2 (a) (1) in the Fisheries Management Standard: Guidelines for Auditors - Indicators of Conformity - (version 2.1)

(a) Whether the unit of certification operates the fishery with consideration to avoid, minimize or mitigate the adverse impacts on non-target stocks, endangered species and ecosystem with following management objectives and outcome indicators (including those equivalent thereto), taking into account the assessment results of 3.1.1.

(1) Management objectives that seek to ensure that non-target catches and discards by the unit of certification of stocks other than the stock under consideration does not threaten those non-target stocks with recruitment overfishing or other impacts that are likely to be irreversible or very slowly reversible and outcome indicators consistent with achieving the management objectives.

- Existence of management objectives and outcome indicators above including those equivalent thereto (information/data on non-target species, ecosystem) Standard 3.2 particularly requires the consideration of ecosystem in the associated fish farming and resource enhancement.

Requirement 3.2.3 in the Fisheries Management Standard (version 2.0)

(In case of the associated fish farming and resource enhancement,) There shall be continuous monitoring of the state of the stock under consideration and its habitat, and measures shall be implemented in order to avoid significant adverse impacts of enhancement activities on the natural reproductive stock components of the stock under consideration and ecosystem.

Indicator(s) 3.2.3 (c) (1) in the Fisheries Management Standard: Guidelines for Auditors - Indicators of Conformity - (version 2.1)

(c) Whether following management objectives, management measures and outcome indicators (including those equivalent thereto) exist to avoid severe adverse impacts of release of artificial seedling on the natural reproduction of the stock under consideration and on the ecosystem:

(1) Management objectives that seek to ensure that non-target catches and discards by associated culture and enhancement activity do not threaten those non-target stocks with recruitment overfishing or other impacts that are likely to be irreversible or very slowly reversible and management measures designed to achieve the management objectives.

- Existence of management objectives, management measures and outcome indicators (including those equivalent thereto) referred in (1) -(3) above.

Additional information for the above requirement(s) and indicator(s) can be found in the Fisheries Management Standard: Guidelines for Auditors - Indicators of Conformity - (version 2.1): Requirements 3.1.2 and 3.2.3; Indicators 3.1.2 (a) (1) p. 41-44.

MOCA 2021 Update: MEL-J continues to be in alignment with this GSSI essential component because there have been no changes in its Fisheries Management Standard (version 2.0), 2018, or its Fisheries Management Standard: Guidelines for Auditors - Indicators of Conformity - (version 2.1), 2019. Additionally, the following MEL-J assessment and audit reports provide evidence or examples of alignment with this GSSI component:

1. Initial Assessment Report. Munakata Fisheries Cooperative Association, Japanese Pufferfish Longline Fishery. Certification No.: JFRCA 20F6900011. Summary Evidence and Evidence, Indicator 3.1.2(a)(1), p. 80-83 and Indicator 3.2.3(c)(1), p. 103.

2. Initial Assessment Report. Kii Channel Central Motor Vessel Boat Seine Cooperatives, Shirasu Boat Seine Net Fishery. Certification No.: JFRCA 20F5700011. Summary Evidence and Evidence, Indicator 3.1.2(a)(1), p. 90-93.

## REFERENCES

## D.2

## Evidence of alignment with applicable GSSI Essential Components for Fisheries Certification Standards

## MANAGEMENT OBJECTIVES

## D.2 06 ENDANGERED SPECIES

## GSSI ESSENTIAL COMPONENT

The standard requires the existence of management objectives that seek to ensure that endangered species are protected from adverse impacts resulting from interactions with the unit of certification and any associated culture or enhancement activity, including recruitment overfishing or other impacts that are likely to be irreversible or very slowly reversible

## GUIDANCE

The context of this Essential Component is Endangered Species. Endangered species are defined in the Glossary. These species are already adversely impacted at the population level, by definition, and are susceptible to further adverse impacts at this level from which they need to be protected. Where “adverse impacts” is used in the FAO Guidelines (“adverse impacts of the fishery on the ecosystem”) there is no further qualification provided (i.e. no “significant” or “severe”). Elsewhere in the Guidelines, the term “adverse impacts” is qualified, but in each case this is in a very specific context. For example, the term “significant negative impacts” is used in the FAO Ecolabelling Guidelines only in relation to enhanced fisheries and “severe adverse impacts” is used only in relation to dependent predators. The term “significant adverse impacts” occurs only in the Deep Sea Guidelines with respect to VMEs.

The FAO Guidelines acknowledge that much greater scientific uncertainty is to be expected in assessing possible adverse ecosystem impacts of fisheries than in assessing the state of target stocks (paragraph 31 (41)), hence the management objectives to protect endangered species should take into account risk and uncertainty.

## RELATED SUPPLEMENTARY COMPONENTS

D.2 06 01

## CONCLUSION

## REFERENCES

## D.2

*Evidence of alignment with applicable GSSI Essential Components for Fisheries Certification Standards*

## MANAGEMENT OBJECTIVES

## D.2 07 HABITAT

## GSSI ESSENTIAL COMPONENT

The standard requires the existence of management objectives seeking to avoid, minimize or mitigate impacts of the unit of certification on essential habitats for the stock under consideration and on habitats that are highly vulnerable to damage by the fishing gear of the unit of certification.

## GUIDANCE

Essential habitats are described in the Glossary. The CCRF (Article 6.8) refers to “critical fisheries habitats in marine and fresh water ecosystems” which can be regarded as substantively the same as essential habitats for the purposes of the practical application of this Essential Component. Critical fisheries habitats in marine and fresh water ecosystems include wetlands, mangroves, reefs, lagoons, nursery and spawning areas. Examples of impacts on habitat that should be avoided include those listed in the CCRF: destruction, degradation, pollution and other significant impacts. In accordance with Paragraph 28.2 of the Ecolabelling Guidelines, in assessing fishery impacts, the full spatial range of the relevant habitat should be considered, not just that part of the spatial range that is potentially affected by fishing. The purpose of this is to consider both the degree to which the habitat is rare, or common, and also that there may be impacts on the same habitat in other parts of its spatial range.

## RELATED SUPPLEMENTARY COMPONENTS

D.2 07 01

## CONCLUSION

## REFERENCES

## D.2

*Evidence of alignment with applicable GSSI Essential Components for Fisheries Certification Standards*

## MANAGEMENT OBJECTIVES

**D.2 08 DEPENDENT PREDATORS****GSSI ESSENTIAL COMPONENT**

The standard requires the existence of management objectives that seek to avoid severe adverse impacts on dependent predators resulting from fishing on a stock under consideration that is a key prey species.

**GUIDANCE**

This Essential Component is about objectives for fishing mortality on stocks under consideration that are key prey species, not about fishing mortality on Dependent Predators themselves. Where the stock under consideration is a key prey species, the standard must require that fishing mortality on that species/stock is managed so as not to result in severe adverse impacts on Dependent Predators. The FAO Guidelines require that all sources of fishing mortality on the stock under consideration are taken into account (whether or not it is a prey species) in assessing the state of the stock under consideration, including discards, unobserved mortality, incidental mortality, unreported catches and catches in other fisheries. Management measures to meet these objectives are required under D.3.10. Severe adverse impacts are mentioned in the Essential Components only in relation to dependent predators. This is in line with the Ecolabelling Guidelines. The severity of adverse impacts is related to their potential reversibility. Severe adverse impacts can be regarded as those that are likely to be irreversible or very slowly reversible, which is described in the Glossary.

**CONCLUSION****REFERENCES**

## D.2

## Evidence of alignment with applicable GSSI Essential Components for Fisheries Certification Standards

## MANAGEMENT OBJECTIVES

## D.2 09 ECOSYSTEM STRUCTURE, PROCESSES AND FUNCTION

## GSSI ESSENTIAL COMPONENT

The standard requires the existence of management objectives that seek to minimize adverse impacts of the unit of certification, including any associated enhancement activities if applicable, on the structure, processes and function of aquatic ecosystems that are likely to be irreversible or very slowly reversible.

## GUIDANCE

This Essential Component covers adverse impacts on the structure, processes and function of aquatic ecosystems. Ecosystem structure, processes and function are described in the Glossary. The Guidelines do not extend consideration of these impacts to all fisheries operating in the ecosystem where the unit of certification is operating and therefore this is not included in this Essential Component. This language is in accordance with Section 4.1.4.1 of the FAO Ecosystem Approach to Fisheries, which suggests one of the broad management objectives for fisheries could be to keep impact on the structure, processes and functions of the ecosystem at an acceptable level.

An earlier version of the requirements included an Essential Component on the conservation of biodiversity. Conservation of biodiversity is not mentioned separately in the Guidelines, but it is included in the CCRF Article 7.2.2 (d), which requires that States and sub-regional or regional fisheries management organizations and arrangements should adopt appropriate measures, based on the best scientific evidence available to provide that inter alia biodiversity of aquatic habitats and ecosystems is conserved. The structure processes and function of aquatic ecosystems includes biodiversity, hence this is considered to be included in this Essential Component.

Examples of irreversible or very slowly reversible indirect effects on the ecosystem include genetic modification and changed ecological role.

## RELATED SUPPLEMENTARY COMPONENTS



## CONCLUSION

MEL is in alignment because requirement(s) in the Fisheries Management Standard (version 2.0) and indicator(s) in the Fisheries Management Standard: Guidelines for Auditors - Indicators of Conformity - (version 2.1) state as follows;

Requirement 3.1.2 in the Fisheries Management Standard (version 2.0)

The unit of certification shall be operated in ways to minimize adverse impacts on non-target stocks and ecosystem, taking into account the assessment results of above 3.1.1(a) (1) - (5).

Indicator(s) 3.1.2 (a) (5) in the Fisheries Management Standard: Guidelines for Auditors - Indicators of Conformity - (version 2.1)

(a) Whether the unit of certification operates the fishery with consideration to avoid, minimize or mitigate the adverse impacts on non-target stocks, endangered species and ecosystem with following management objectives and outcome indicators (including those equivalent thereto), taking into account the assessment results of 3.1.1. (5) Management objectives that seek to minimize adverse impacts of the unit of certification on the structure, processes and function of aquatic ecosystems that are likely to be irreversible or very slowly reversible and outcome indicators consistent with achieving management objectives, considered that any modifications to the habitat for enhancing the stock under consideration must be reversible and not cause serious or irreversible harm to the natural ecosystem's structure, processes and function.

- Existence of management objectives and outcome indicators above including those equivalent thereto (information/data on non-target species, ecosystem)

Standard 3.2 particularly requires the consideration of ecosystem in the associated fish farming and resource enhancement.

Requirement 3.2.3 in the Fisheries Management Standard (version 2.0)

(In case of the associated fish farming and resource enhancement.) There shall be continuous monitoring of the state of the stock under consideration and its habitat, and measures shall be implemented in order to avoid significant adverse impacts of enhancement activities on the natural reproductive stock components of the stock under consideration and ecosystem.

Indicator(s) 3.2.3 (c) (3) in the Fisheries Management Standard: Guidelines for Auditors - Indicators of Conformity - (version 2.1)

(c) Whether following management objectives, management measures and outcome indicators (including those equivalent thereto) exist to avoid severe adverse impacts of release of artificial seedling on the natural reproduction of the stock under consideration and on the ecosystem:

(3) Management objectives that seek to minimize adverse impacts of associated enhancement activities if applicable, on the structure, processes and function of aquatic ecosystems that are likely to be irreversible or very slowly reversible, outcome indicators consistent with achieving the management objectives and management measures, as necessary, designed to achieve the management objectives.

- Existence of management objectives, management measures and outcome indicators (including those equivalent thereto) referred in (1) - (3) above

Additional information for the above requirement(s) and indicator(s) can be found in the Fisheries Management Standard: Guidelines for Auditors - Indicators of Conformity - (version 2.1): Requirements 3.1.2 and 3.2.3; Indicators 3.1.2 (a) (5). p. 41-44 and 3.2.3 (c) (3). p. 53-56. Examples of the requirement(s) in use can be found in the Assessment Report Fisheries Management Standard (Salmon, Hokkaido): Summary Evidence and Evidence 3.1.2 (a). p. 82-83. and 3.2.3 (c). p. 104-105.

MOCA 2021 Update: MEL-J continues to be in alignment with this GSSI essential component because there have been no changes in its Fisheries Management Standard (version 2.0), 2018, or its Fisheries Management Standard: Guidelines for Auditors - Indicators of Conformity - (version 2.1), 2019. Additionally, the following MEL-J assessment and audit reports provide evidence or examples of alignment with this GSSI component:

1. Initial Assessment Report. Munakata Fisheries Cooperative Association, Japanese Pufferfish Longline Fishery. Certification No.: JFRCA 20F6900011. Summary Evidence and Evidence, Indicator 3.1.2(a)(5), p. 80-83 and Indicator 3.2.3(c)(3), p. 103.

2. Initial Assessment Report. Kii Channel Central Motor Vessel Boat Seine Cooperatives, Shirasu Boat Seine Net Fishery. Certification No.: JFRCA 20F5700011. Summary Evidence and Evidence, Indicator 3.1.2(a)(5), p. 90-93.

## REFERENCES

## D.3

## Evidence of alignment with applicable GSSI Essential Components for Fisheries Certification Standards

## MANAGEMENT APPROACHES, STRATEGIES AND PLANS

## ► MANAGEMENT SYSTEM

## D.3 01 DOCUMENTED MANAGEMENT APPROACH

## GSSI ESSENTIAL COMPONENT

The standard requires the existence of documented management approaches or other management framework covering the unit of certification and the stock under consideration, including management measures consistent with achieving management objectives for the stock under consideration.

## GUIDANCE

A documented management approach or other management framework is an important component of the Management System. It provides clarity and transparency with respect to how the system is intended to function. The establishment of management approaches for the stock under consideration may not be entirely within the purview of the fishery management organization or arrangement that manages the fishery of which the Unit of Certification is a part. The stock's distribution may extend beyond its area of jurisdiction and there may be other fisheries targeting the stock under consideration that fall under a separate administrative jurisdiction (potentially in another country). Nevertheless the management measures that apply to the unit of certification should be consistent with achieving management objectives for the stock under consideration.

There is no uniform way that management approaches need to be documented (for example they do not have to be all within one overarching Fishery Management Plan), but the standard must require the various elements of the management system to be present and identifiable and in use by the fishery management organization or arrangement (D.1.01), including the constitution and rules and procedures of the Fisheries Management Organization or Arrangement and the compliance regime (D.1.01-D.1.07); the legal framework (D.1.08); the management objectives (D.2); methodologies (D.5) although not necessarily all within one overarching Fishery Management Plan. It should be expected that the documentation would be current. The frequency of updates should be consistent with the requirements of meeting the management objectives and implementing management measures.

## RELATED SUPPLEMENTARY COMPONENTS

D.3 01 01

D.3 01 02

D.3 01 03

## CONCLUSION

Requirement 1.2.1 in the Fisheries Management Standard (version 2.0)

The unit of certification should be conducted in compliance with regulations and arrangements set by national and local governments following effective and suitable monitoring, surveillance, control and enforcement.

Indicator(s) 1.2.1 (a) in the Fisheries Management Standard: Guidelines for Auditors - Indicators of Conformity - (version 2.1)

(a) Whether an effective fisheries management system, including monitoring, surveillance, control and enforcement, for the fishery of which the unite of certification is a part exists in accordance with relevant laws and regulations

- Existence of laws and regulations to effectively manage the fishery of which the unite of certification is a part

- Existence of the effective management system for the fishery of which the unite of certification is a part operates in accordance with relevant laws and regulations

Requirement 1.2.2 in the Fisheries Management Standard (version 2.0)

A Resource Management Plan for the unit of certification and the stock under consideration shall be developed by fishers in accordance with a Resource Management Policy developed by national and local governments that includes management objectives and measures based on the best scientific evidence available. Alternatively, an equally effective management system that enables compliance with stock management measures shall be established. The state of implementation of the Resource Management Plan (or equivalent) shall be monitored and verified.

Indicator(s) 1.2.2 (a) in the Fisheries Management Standard: Guidelines for Auditors - Indicators of Conformity - (version 2.1)

(a) Whether a Resource Management Policy for the comprehensive regulations on fishing efforts and catch amounts and a Resource Management Plan in accordance with the Resource Management Policy (or stock management measures equivalent thereto) for the unit of certification and the stock under consideration are prepared

- Preparation of a Resource Management Policy (including those equivalent thereto)

- Preparation of a Resource Management Plan (including those equivalent thereto)

Additional information for the above requirement(s) and indicator(s) can be found in the Fisheries Management Standard: Guidelines for Auditors - Indicators of Conformity - (version 2.1): Requirements 1.2.1 and 1.2.2; Indicators 1.2.1 (a) p. 8-9. and 1.2.2 (a). p. 10-11. Examples of the requirement(s) in use can be found in the Assessment Report Fisheries Management Standard (Salmon, Hokkaido): Summary Evidence and Evidence 1.2.1 (a). p. 22. and 1.2.2 (a). p. 25.

MOCA 2021 Update: MEL-J continues to be in alignment with this GSSI essential component because there have been no changes in its Fisheries Management Standard (version 2.0), 2018, or its Fisheries Management Standard: Guidelines for Auditors - Indicators of Conformity - (version 2.1), 2019. Additionally, the following MEL-J assessment and audit reports provide evidence or examples of alignment with this GSSI component:

1. Initial Assessment Report. Fukushima Federation of Fisheries Cooperative Associations, Mackerel Purse Seine Net Fishery. Certification No.: JFRCA 20F2800011. Summary Evidence and Evidence, Indicator 1.2.2(a), p. 24-25.

2. Initial Assessment Report. Munakata Fisheries Cooperative Association, Japanese Pufferfish Longline Fishery. Certification No.: JFRCA 20F6900011. Summary Evidence and Evidence, Indicator 1.2.2(a), p. 25-26.

## REFERENCES

## D.3

*Evidence of alignment with applicable GSSI Essential Components for Fisheries Certification Standards***MANAGEMENT APPROACHES, STRATEGIES AND PLANS****D.3 02 BEST SCIENTIFIC EVIDENCE AVAILABLE****GSSI ESSENTIAL COMPONENT**

The standard requires that management measures implemented through the management system to achieve the management objectives are based on the best scientific evidence available.

**GUIDANCE**

This Essential Component applies to all management measures referred to in Essential Components under Performance Area D.3.

Best scientific evidence available is described in the Glossary. Note that it includes traditional knowledge and can come from assessments of stock status outside of a typical stock assessment, accommodating techniques for data limited fisheries, providing their validity can be objectively verified (i.e. the knowledge has been collected and analysed through a systematic process, and is not simply hearsay).

Note also that the requirement for the management system to take into account the best scientific evidence available is not inconsistent with the Precautionary Approach (see Essential Component D.3.12), which requires inter alia that the absence of adequate scientific information should not be used as a reason for postponing or failing to take conservation and management measures. Both of these requirements apply.

**CONCLUSION****REFERENCES**

## D.3

*Evidence of alignment with applicable GSSI Essential Components for Fisheries Certification Standards***MANAGEMENT APPROACHES, STRATEGIES AND PLANS**► **STOCK UNDER CONSIDERATION****D.3 03 FISHING MORTALITY****GSSI ESSENTIAL COMPONENT**

The standard requires that management measures for the stock under consideration consider the impacts on the stock under consideration of all the fisheries utilizing that stock under consideration over its entire area of distribution.

**GUIDANCE**

This Essential Component addresses cumulative impacts of fishing from all sources on the stock under consideration as specified in the Ecolabelling Guidelines. Management measures for the stock under consideration must be based on an assessment of that stock which takes account of all removals from the stock over its entire area of distribution, i.e. not just by the unit of certification but by all fisheries that utilize that stock, including bycatch, discards, unobserved mortality, incidental mortality, unreported catches, and catches taken outside of the unit of certification. These terms are not defined here, or in the Glossary. They are used collectively in this context to cover all possible descriptions of fishery removals of the stock under consideration.

Area of Distribution is described in the Glossary based on a CITES reference for species, but this can apply to stocks in a fisheries context.

**CONCLUSION****REFERENCES**

## D.3

## Evidence of alignment with applicable GSSI Essential Components for Fisheries Certification Standards

## MANAGEMENT APPROACHES, STRATEGIES AND PLANS

## D.3 04 DECISION RULES

## GSSI ESSENTIAL COMPONENT

The standard requires that management measures specify the actions to be taken in the event that the status of the stock under consideration drops below levels consistent with achieving management objectives that allow for the restoration of the stock to such levels within a reasonable time frame. This requirement also pertains to species introductions or translocations that have occurred historically and which have become established as part of the natural ecosystem.

## GUIDANCE

This requires the specification in advance of decision rules that mandate remedial management actions to be taken if target reference points are exceeded and/or limit reference points are approached or exceeded or the desired directions in key indicators of stock status are not achieved. For example, decreasing fishing mortality (or its proxy) if the stock size approaches its limit reference point. This is a central component of the Precautionary Approach (see D.3.12).

## RELATED SUPPLEMENTARY COMPONENTS

D.3 04 01

## CONCLUSION

MEL is in alignment because requirement(s) in the Fisheries Management Standard (version 2.0) and indicator(s) in the Fisheries Management Standard: Guidelines for Auditors - Indicators of Conformity - (version 2.1) state as follows;

## Requirement 2.5 in the Fisheries Management Standard (version 2.0)

There shall be publicly-defined target and limit reference points, or proxies for the stock under consideration set on the basis of the best scientific evidence available, in order to maintain or recover the stock at levels consistent with achieving Maximum Sustainable Yields (MSY) or a suitable proxy. Indicator(s) 2.5 (a) in the Fisheries Management Standard: Guidelines for Auditors - Indicators of Conformity - (version 2.1) Whether stock under consideration and "limit reference point" or a suitable proxy are defined with precautionary approach and based on the best scientific evidence available in the management objectives. In addition, whether the "target reference point" is set to achieve the MSY or a suitable proxy in average and the "limit reference point" is defined to avoid recruitment overfishing and irreversible or very slowly reversible influence. Existence of the appropriate definitions of stock under consideration and limit reference target reference point or those substitute proxies under the management objectives

## Requirement 2.7 in the Fisheries Management Standard (version 2.0)

The stock under consideration is not overfished. In the event that the status of the stock drops below levels at which remedial actions should be undertaken, necessary measures shall be implemented in a timely manner in order to avoid recruitment overfishing. Indicator(s) 2.7 (c) in the Fisheries Management Standard: Guidelines for Auditors - Indicators of Conformity - (version 2.1)(c) Whether management measures specify the actions to be taken in the event that the status of the stock under consideration drops below levels consistent with achieving management objectives that allow for the restoration of the stock to such levels within a reasonable time frame. This consideration is required to pertain to species introductions or translocations that have occurred historically and which have become established as part of the natural ecosystem.

- Preparation of management measures specify the actions to be taken in the event that the status of the stock under consideration drops below levels consistent with achieving management objectives (including those equivalent thereto). Additional information for the above requirement(s) and indicator(s) can be found in the Guidelines for Auditors of the Fisheries Management Standard: Guidelines for Auditors - Indicators of Conformity - (version 2.1); Requirements 2.5; Indicators 2.5 (a), p. 28, Requirements 2.7; Indicators 2.7 (c), p. 34-36. Examples of the requirement(s) in use can be found in the Assessment Report Fisheries Management Standard (Salmon, Hokkaido); Summary Evidence and Evidence 2.7 (c), p. 75.

MOCA 2021 Update: MEL-J continues to be in alignment with this GSSI essential component. There have been no changes in the MEL-J Fisheries Management Standard (version 2.0), 2018, or its Fisheries Management Standard: Guidelines for Auditors - Indicators of Conformity - (version 2.1). The following MEL-J assessment and audit reports now provide evidence or examples of implementation consistent with this GSSI component. In particular, the MEL's CAB JFRCA has revised its determination in the Kii Channel Anchovy Seine Net Fishery Certification. The original report included the stocks of anchovy in two populations: Seto Inland Sea population and Pacific population, as the stock under consideration. In the original report, while the stock status of anchovy of Seto Inland Sea was stable, that of Pacific showed below the limited reference point (Blimit). Based on the GSSI Desktop Review & Benchmark Committee Review of the Pacific Anchovy determination, MEL and JFRCA have now decided that because the Pacific anchovy stock is below its Blimit reference point, that stock cannot be considered sustainable, and cannot be certified, under the MEL version standard. As a result, the anchovy Pacific population was removed from the certified stocks and evaluated as the effect of landed bycatch. The detail is described in the revised assessment report, which has just been released and shown on the JFRACA webpage as well, (Certification Number: JFRCA 20F5700011 [http://fish-jfrca.jp/04/progress\\_and\\_results.html](http://fish-jfrca.jp/04/progress_and_results.html)).

Additionally, in the Osaka Bay Anchovy and Sand Lance Seine Net Fishery Certification, the stocks under consideration were the Japanese sardine anchovy Seto Inland Sea population, Japanese sardine Pacific population and Japanese sand lance Eastern Seto Inland Sea population. The sand lance resource, the stock status has been at historically low level since 2017. Although the fishery has been managing the fishery considering proactively the available scientific information such as forecasts and recommendations based on pre-season spawning surveys from Fishery Research Centers of Osaka and Hyogo prefectures, and implementing close-to-banning measures. Nonetheless, in the annual surveillance audit conducted in June 2021, it was confirmed that the stock status remained at low level and recovery could not be seen in the reasonable time frame. Thus, JFRCA, the certification body for MEL Japan, has determined to suspend the certification of sand lance stock. The provisional "Notice of Judgment Result of Annual Assessment" has been shared internally. These recent determinations demonstrate MEL's commitment to follow its standard and guidelines in particular with respect the MEL-J requirements 2.5, regarding the use of best available science in fisheries management, and 2.7, regarding the certification of only stocks that are not considered overfished. These reports demonstrate that MEL-J's standard and guidance in fact are in alignment with GSSI EC D.3.04, that states: "The standard requires that management measures specify the actions to be taken in the event that the status of the stock under consideration drops below levels consistent with achieving management objectives that allow for the restoration of the stock to such levels within a reasonable time frame".

## REFERENCES

## D.3

## Evidence of alignment with applicable GSSI Essential Components for Fisheries Certification Standards

### MANAGEMENT APPROACHES, STRATEGIES AND PLANS

#### D.3 05 ENHANCED FISHERIES

##### GSSI ESSENTIAL COMPONENT

The standard requires, in the case of enhanced fisheries, management measures designed to achieve management objectives (see D.2.06) seeking to avoid significant negative impacts of enhancement activities on the natural reproductive stock components of the stock under consideration and any other wild stocks from which the organisms for stocking are being removed.

##### GUIDANCE

This Essential Component addresses the need for standards to require management measures to achieve the management objectives in Essential Component D.2.06. It refers to Enhanced Fisheries, hence it may be regarded as not applicable if the Scheme/Standard explicitly excludes enhanced fisheries (see also Guidance for D.2.06). The term natural reproductive stock components is explained in the Glossary. The term “significant negative impacts” is used in the Inland Guidelines. This was not intended to be equivalent to severe adverse impacts (on dependent predators). The consultation that resulted in the drafting of the Inland Guidelines considered that avoidance of “severe adverse impacts” only would not be consistent with a management obligation to manage enhancement in ways that would not impact the productivity and abundance of the natural reproductive stock component of the stock under consideration.

In the case where organisms for stocking originate from wild stocks other than the stock under consideration, those stocks should be managed according to the provisions of Article 7 of the CCRF. In particular, those stocks should be within biologically based limits, or if outside those limits, the removal of organisms for stocking purposes does not hinder recovery and rebuilding of those stocks.

Standards that apply to enhanced components of the stock under consideration require that stocking of enhanced fisheries, whether sourced from aquaculture facilities or wild stocks, is undertaken in such a way as to maintain inter alia:

- i) The integrity of the environment; ii) The conservation of genetic diversity; iii) Disease control; iv) Quality of stocking material, and v) The donor wild stocks.

##### CONCLUSION

##### REFERENCES

## D.3

## Evidence of alignment with applicable GSSI Essential Components for Fisheries Certification Standards

## MANAGEMENT APPROACHES, STRATEGIES AND PLANS

## ► ECOSYSTEM EFFECTS OF FISHING

## D.3 06 NON-TARGET CATCHES

## GSSI ESSENTIAL COMPONENT

The standard requires that management measures are designed to achieve management objectives (see D.2.07) seeking to ensure that non-target catches and discards by the unit of certification of stocks other than the stock under consideration and any associated culture and enhancement activity do not threaten those non-target stocks with recruitment overfishing or other impacts that are likely to be irreversible or very slowly reversible.

## GUIDANCE

This is the partner Essential Component of D.2.07. Non-target catches and discards refers to species/stocks that are taken by the unit of certification other than the stock for which certification is being sought (see Glossary). Examples of irreversible or very slowly reversible effects on bycatch species include recruitment overfishing or excessive depletion of very long-lived organisms. Management measures should mitigate effects that are likely to be irreversible or very slowly reversible by making those effects less severe such that they are no longer likely to be irreversible or very slowly reversible.

## RELATED SUPPLEMENTARY COMPONENTS



## CONCLUSION

MEL is in alignment because requirement(s) in the Fisheries Management Standard (version 2.0) and indicator(s) in the Guidelines for Auditors of the Fisheries Management Standard state as follows;

Requirement 3.1.2 in the Fisheries Management Standard (version 2.0)

The unit of certification shall be operated in ways to minimize adverse impacts on non-target stocks and ecosystem, taking into account the assessment results of above 3.1.1(a) (1) - (5). Indicator(s) 3.1.2 (a) (1) in the Fisheries Management Standard: Guidelines for Auditors - Indicators of Conformity - (version 2.1)

(a) Whether the unit of certification operates the fishery with consideration to avoid, minimize or mitigate the adverse impacts on non-target stocks, endangered species and ecosystem with following management objectives and outcome indicators (including those equivalent thereto), taking into account the assessment results of 3.1.1.

(1) Management objectives that seek to ensure that non-target catches and discards by the unit of certification of stocks other than the stock under consideration does not threaten those non-target stocks with recruitment overfishing or other impacts that are likely to be irreversible or very slowly reversible and outcome indicators consistent with achieving the management objectives.

- Existence of management objectives and outcome indicators above including those equivalent thereto (information/data on non-target species, ecosystem)

Indicator(s) 3.1.2 (b) in the Fisheries Management Standard: Guidelines for Auditors - Indicators of Conformity - (version 2.1)

Whether management measures designed to achieve the management objectives referred in 3.1.2 (a) (1) - (5) and management measures that minimize unwanted catch and discards, where appropriate, and reduce post-released mortality where incidental catch is unavoidable exist.

- Existence of appropriate management measures above.

Standard 3.2 particularly requires the consideration of ecosystem in the associated fish farming and resource enhancement.

Requirement 3.2.3 in the Fisheries Management Standard (version 2.0)

(In case of the associated fish farming and resource enhancement,) There shall be continuous monitoring of the state of the stock under consideration and its habitat, and measures shall be implemented in order to avoid significant adverse impacts of enhancement activities on the natural reproductive stock components of the stock under consideration and ecosystem.

Indicator(s) 3.2.3 (c) (1) in the Fisheries Management Standard: Guidelines for Auditors - Indicators of Conformity - (version 2.1)

(c) Whether following management objectives, management measures and outcome indicators (including those equivalent thereto) exist to avoid severe adverse impacts of release of artificial seedling on the natural reproduction of the stock under consideration and on the ecosystem:

(1) Management objectives that seek to ensure that non-target catches and discards by associated culture and enhancement activity do not threaten those non-target stocks with recruitment overfishing or other impacts that are likely to be irreversible or very slowly reversible and management measures designed to achieve the management objectives.

- Existence of management objectives, management measures and outcome indicators (including those equivalent thereto) referred in (1) - (3) above Additional information for the above requirement(s) and indicator(s) can be found in the Fisheries Management Standard: Guidelines for Auditors - Indicators of Conformity - (version 2.1): Requirements 3.1.2, 3.2.3; Indicators 3.1.2 (a) (1), p. 41-44. and (b), 3.2.3 (c) (1), P. 53-56. Examples of the requirement(s) in use can be found in the Assessment Report Fisheries Management Standard (Salmon, Hokkaido): Summary Evidence and Evidence 3.1.2 (a), p. 82-83, 3.1.2 (b), p. 84 and 3.2.3 (c), p. 104-105

MOCA 2021 Update: MEL-J continues to be in alignment with this GSSI essential component because there have been no changes in its Fisheries Management Standard (version 2.0), 2018, or its Fisheries Management Standard: Guidelines for Auditors - Indicators of Conformity - (version 2.1), 2019. Additionally, the following MEL-J assessment and audit reports provide evidence or examples of alignment with this GSSI component:

1. Initial Assessment Report. Fukushima Federation of Fisheries Cooperative Associations, Mackerel Purse Seine Net Fishery. Certification No.: JFRCA 20F2800011. Summary Evidence and Evidence, Indicator 3.1.2(a)(1), p. 82-84 and Indicator 3.1.2(b), p. 85-86.

2. Initial Assessment Report. Munakata Fisheries Cooperative Association, Japanese Pufferfish Longline Fishery. Certification No.: JFRCA 20F6900011. Summary Evidence and Evidence, Indicator 3.1.2(a)(1), p. 80-83, Indicator 3.1.2(b), p. 84 and Indicator 3.2.3(c)(1), p. 103.

## REFERENCES

## D.3

*Evidence of alignment with applicable GSSI Essential Components for Fisheries Certification Standards***MANAGEMENT APPROACHES, STRATEGIES AND PLANS****D.3 07 NON-TARGET CATCHES****GSSI ESSENTIAL COMPONENT**

The standard requires the existence of management measures that minimize unwanted catch and discards, where appropriate, and reduce post-released mortality where incidental catch is unavoidable.

**GUIDANCE**

This Essential Component is related to D.3.06 in that minimizing unwanted catch and discards and reducing post-released mortality can help to reduce the impact of non-target catches and discards by the unit of certification. Under the CCRF, users of aquatic ecosystems should minimize waste and catch of non-target species, both fish and non-fish species. Non-target catches and discards refer to species/stocks that are taken by the unit of certification other than the stock for which certification is being sought (see Glossary).

The words “where appropriate” give a scheme the flexibility not to require a fishery to have bycatch avoidance if there is no risk of bycatch in the fishery.

**RELATED SUPPLEMENTARY COMPONENTS**

**D.3 07 01**   **D.3 07 02**   **D.3 07 03**

**CONCLUSION****REFERENCES**

## D.3

## Evidence of alignment with applicable GSSI Essential Components for Fisheries Certification Standards

## MANAGEMENT APPROACHES, STRATEGIES AND PLANS

## D.3 08 ENDANGERED SPECIES

## GSSI ESSENTIAL COMPONENT

The standard requires the existence of management measures, as necessary, designed to achieve the management objectives (D.2.08) that seek to ensure that endangered species are protected from adverse impacts resulting from interactions with the unit of certification and any associated culture or enhancement activity, including recruitment overfishing or other impacts that are likely to be irreversible or very slowly reversible.

## GUIDANCE

The context of this Essential Component is Endangered Species. Endangered species are defined in the Glossary. These species are already adversely impacted at the population level, by definition, and are susceptible to further adverse impacts at this level from which they need to be protected. Where “adverse impacts” is used in relation to Endangered Species in the FAO Guidelines there is no further qualification provided (i.e. no “significant” or “severe”). Elsewhere in the Guidelines, the term “adverse impacts” is qualified, but in each case this is in a very specific context. For example the term “significant negative impacts” is used in the FAO Ecolabelling Guidelines only in relation to enhanced fisheries and “severe adverse impacts” is used only in relation to dependent predators. The term “significant adverse impacts” occurs only in the Deep Sea Guidelines with respect to VMEs.

The FAO Guidelines acknowledge that much greater scientific uncertainty is to be expected in assessing possible adverse ecosystem impacts of fisheries than in assessing the state of target stocks (paragraph 31 (41)), hence the management measures to meet the objectives to protect endangered species should take into account risk and uncertainty.

## RELATED SUPPLEMENTARY COMPONENTS

D.3 08 01

## CONCLUSION

MEL is in alignment because requirement(s) in the Fisheries Management Standard (version 2.0) and indicator(s) in the Fisheries Management Standard: Guidelines for Auditors - Indicators of Conformity - (version 2.1) state as follows;

Requirement 3.1.2 in the Fisheries Management Standard (version 2.0)

The unit of certification shall be operated in ways to minimize adverse impacts on non-target stocks and ecosystem, taking into account the assessment results of above 3.1.1(a) (1) - (5).

Indicator(s) 3.1.2 (a) (2) in the Fisheries Management Standard: Guidelines for Auditors - Indicators of Conformity - (version 2.1)

(a) Whether the unit of certification operates the fishery with consideration to avoid, minimize or mitigate the adverse impacts on non-target stocks, endangered species and ecosystem with following management objectives and outcome indicators (including those equivalent thereto), taking into account the assessment results of 3.1.1.

(2) Management objectives that seek to ensure that endangered species are protected from adverse impacts resulting from interactions with the unit of certification, including recruitment overfishing or other impacts that are likely to be irreversible or very slowly reversible and outcome indicators consistent with the achieving management objectives. - Existence of management objectives and outcome indicators above including those equivalent thereto (information/data on non-target species, ecosystem)

Indicator(s) 3.1.2 (b) in the Fisheries Management Standard: Guidelines for Auditors - Indicators of Conformity - (version 2.1)

Whether management measures designed to achieve the management objectives referred in 3.1.2 (a) (1) - (5) and management measures that minimize unwanted catch and discards, where appropriate, and reduce post-released mortality where incidental catch is unavoidable exist. - Existence of appropriate management measures above.

Standard 3.2 particularly requires the consideration of ecosystem in the associated fish farming and resource enhancement.

Requirement 3.2.3 in the Fisheries Management Standard (version 2.0)

(In case of the associated fish farming and resource enhancement,) There shall be continuous monitoring of the state of the stock under consideration and its habitat, and measures shall be implemented in order to avoid significant adverse impacts of enhancement activities on the natural reproductive stock components of the stock under consideration and ecosystem.

Indicator(s) 3.2.3 (c) (2) in the Fisheries Management Standard: Guidelines for Auditors - Indicators of Conformity - (version 2.1)

(c) Whether following management objectives, management measures and outcome indicators (including those equivalent thereto) exist to avoid severe adverse impacts of release of artificial seedling on the natural reproduction of the stock under consideration and on the ecosystem:

(2) Management objectives that seek to ensure that endangered species are protected from adverse impacts resulting from interactions with associated culture or enhancement activity, including recruitment overfishing or other impacts that are likely to be irreversible or very slowly reversible, outcome indicators consistent with achieving the management objectives and management measures, as necessary, designed to achieve the management objectives. - Existence of management objectives, management measures and outcome indicators (including those equivalent thereto) referred in (1) - (3) above Additional information for the above requirement(s) and indicator(s) can be found in the Fisheries Management Standard: Guidelines for Auditors - Indicators of Conformity - (version 2.1): Requirements 3.1.2, 3.2.3; Indicators 3.1.2 (a) (2), p. 41-44. and (b), 3.2.3 (c) (2), p. 53-56. Examples of the requirement(s) in use can be found in the Assessment Report Fisheries Management Standard (Salmon, Hokkaido): Summary Evidence and Evidence 3.1.2 (a), p. 82-83. and 3.2.3 (c), p. 104-105.

MOCA 2021 Update: MEL-J continues to be in alignment with this GSSI essential component because there have been no changes in its Fisheries Management Standard (version 2.0), 2018, or its Fisheries Management Standard: Guidelines for Auditors - Indicators of Conformity - (version 2.1), 2019. Additionally, the following MEL-J assessment and audit reports provide evidence or examples of alignment with this GSSI component:

1. Initial Assessment Report. Fukushima Federation of Fisheries Cooperative Associations, Mackerel Purse Seine Net Fishery. Certification No.: JFRCA 20F2800011. Summary Evidence and Evidence, Indicator 3.1.2(a)(2), p. 82-84 and Indicator 3.1.2(b), p. 85-86.

2. Initial Assessment Report. Munakata Fisheries Cooperative Association, Japanese Pufferfish Longline Fishery. Certification No.: JFRCA 20F6900011. Summary Evidence and Evidence, Indicator 3.1.2(a)(2), p. 80-83, Indicator 3.1.2(b), p.84. and Indicator 3.2.3(c)(2), p. 103.

3. Initial Assessment Report. Kii Channel Central Motor Vessel Boat Seine Cooperatives, Shirasu Boat Seine Net Fishery. Certification No.: JFRCA 20F5700011. Summary Evidence and Evidence, Indicator 3.1.2(a)(2), p. 90-93 and Indicator 3.1.2(b), p. 94-95.

## REFERENCES

## D.3

## Evidence of alignment with applicable GSSI Essential Components for Fisheries Certification Standards

## MANAGEMENT APPROACHES, STRATEGIES AND PLANS

## D.3 09 HABITAT

## GSSI ESSENTIAL COMPONENT

The standard requires the existence of management measures, as necessary, designed to achieve the management objectives (D.2.09) seeking to avoid, minimize or mitigate impacts of the unit of certification on essential habitats for the “stock under consideration” and on habitats that are highly vulnerable to damage by the fishing gear of the unit of certification. In assessing fishery impacts, the Standard requires consideration of the full spatial range of the relevant habitat, not just that part of the spatial range that is potentially affected by fishing.

## GUIDANCE

Essential habitats are described in the Glossary. There is no reason to regard them as being significantly different from the “critical fisheries habitats in marine and fresh water ecosystems” referred to in the CCRF (Article 6.8), which include wetlands, mangroves, reefs, lagoons, nursery and spawning areas. Examples of impacts on habitat that should be avoided include those listed in this paragraph: destruction, degradation, pollution and other significant impacts. The purpose of the requirement to consider the full spatial range of the relevant habitat in assessing fishery impacts may be to consider both the degree to which the habitat is rare, or common, and also that there may be impacts on the same habitat in other parts of its spatial range.

## RELATED SUPPLEMENTARY COMPONENTS

## D.3 09 01

## CONCLUSION

MEL is in alignment because requirement(s) in the Fisheries Management Standard (version 2.0) and indicator(s) in the Fisheries Management Standard: Guidelines for Auditors - Indicators of Conformity - (version 2.1) state as follows;

Requirement 3.1.1 in the Fisheries Management Standard (version 2.0)

Data and/or other information based on the best scientific evidence available covering the following factors shall be collected and maintained in order to assess the impacts of the unit of certification on non-target stocks and ecosystem:

- (1) Catches and discard of non-target stocks
- (2) Impacts of the unit of certification on endangered species, and efforts to conserve and protect those species as well as to avoid by-catch of those species
- (3) Information on essential habitat for stock under consideration (e.g. spawning and nursery)
- (4) Impacts of fishing gear used by the unit of certification on ecosystem (including the seabed)
- (5) Prey-predator relationship of the stock under consideration in the food-web
- (6) Balance of whole ecosystem (i.e. whether there is any severe disturbance by the unit of certification on ecosystem)

Indicator(s) 3.1.1 (a) (3) in the Fisheries Management Standard: Guidelines for Auditors - Indicators of Conformity - (version 2.1)

(a) Whether adequate, reliable and current data and/or other information of followings exist:

(3) Assessment of the impacts of the unit of certification on essential habitats for the stock under consideration and on habitats that are highly vulnerable to damage by the fishing gear of the unit of certification in the full spatial range of the relevant habitat, not just that part of the spatial range that is potentially affected by fishing with appropriate related data/information.

- Existence of collected and maintained information referred in (1) - (5) above.

Requirement 3.1.2 in the Fisheries Management Standard (version 2.0)

The unit of certification shall be operated in ways to minimize adverse impacts on non-target stocks and ecosystem, taking into account the assessment results of above 3.1.1(a)

(1) - (5).

Indicator(s) 3.1.2 (a) (3) in the Fisheries Management Standard: Guidelines for Auditors - Indicators of Conformity - (version 2.1)

(a) Whether the unit of certification operates the fishery with consideration to avoid, minimize or mitigate the adverse impacts on non-target stocks, endangered species and ecosystem with following management objectives and outcome indicators (including those equivalent thereto), taking into account the assessment results of 3.1.1.

(3) Management objectives seeking to avoid, minimize or mitigate impacts of the unit of certification on essential habitats for the stock under consideration and on habitats that are highly vulnerable to damage by the fishing gear of the unit of certification and outcome indicators consistent with achieving the management objectives.

- Existence of management objectives and outcome indicators above including those equivalent thereto (information/data on non-target species, ecosystem)

Indicator(s) 3.1.2 (b) in the Fisheries Management Standard: Guidelines for Auditors - Indicators of Conformity - (version 2.1)

Whether management measures designed to achieve the management objectives referred in 3.1.2 (a) (1) - (5) and management measures that minimize unwanted catch and discards, where appropriate, and reduce post-released mortality where incidental catch is unavoidable exist.

- Existence of appropriate management measures above.

Additional information for the above requirement(s) and indicator(s) can be found in the Fisheries Management Standard: Guidelines for Auditors - Indicators of Conformity - (version 2.1): Requirements 3.1.1 and 3.1.2; Indicators 3.1.1 (a) (3), p. 37-40, 3.1.2 (a) (3) and 3.1.2 (b), p. 41-44.

Examples of the requirement(s) in use can be found in the Assessment Report Fisheries Management Standard (Salmon, Hokkaido): Summary Evidence and Evidence 3.1.1 (a), p. 76-81. and 3.1.2 (b), p. 84.

MOCA 2021 Update: MEL-J continues to be in alignment with this GSSI essential component because there have been no changes in its Fisheries Management Standard (version 2.0), 2018, or its Fisheries Management Standard: Guidelines for Auditors - Indicators of Conformity - (version 2.1), 2019. Additionally, the following MEL-J assessment and audit reports provide evidence or examples of alignment with this GSSI component:

- 1. Initial Assessment Report. Fukushima Federation of Fisheries Cooperative Associations, Mackerel Purse Seine Net Fishery. Certification No.: JFRCA 20F2800011. Summary Evidence and Evidence, Indicator 3.1.1(a)(3), p. 76-81, Indicator 3.1.2(a)(3), p. 82-84, and Indicator 3.1.2(b), p. 85-86.

- 2. Initial Assessment Report. Munakata Fisheries Cooperative Association, Japanese Pufferfish Longline Fishery. Certification No.: JFRCA 20F6900011. Summary Evidence and Evidence, Indicator 3.1.1(a)(3), p. 75-79, Indicator 3.1.2(a)(3), p.80-83, and Indicator 3.1.2(b), p.84.

- 3. Initial Assessment Report. Kii Channel Central Motor Vessel Boat Seine Cooperatives, Shirasu Boat Seine Net Fishery. Certification No.: JFRCA 20F5700011. Summary Evidence and Evidence, Indicator 3.1.1(a)(3), p. 83-89, Indicator 3.1.2(a)(3), p. 90-93, and Indicator 3.1.2(b), p. 94-95.

## REFERENCES

## D.3

*Evidence of alignment with applicable GSSI Essential Components for Fisheries Certification Standards***MANAGEMENT APPROACHES, STRATEGIES AND PLANS****D.3 10 DEPENDANT PREDATORS****GSSI ESSENTIAL COMPONENT**

The standard requires the existence of management measures, as necessary, designed to meet the objectives (D.2.10) that seek to avoid severe adverse impacts on dependent predators resulting from fishing on a stock under consideration that is a key prey species.

**GUIDANCE**

This is the partner Essential Component of D.2.10. Where the stock under consideration is a key prey species, the standard must require that fishing mortality on that species/stock is managed so as not to result in severe adverse impacts on Dependent Predators. The FAO Guidelines require that all sources of fishing mortality on the stock under consideration are taken into account (whether or not it is a prey species) in assessing the state of the stock under consideration, including discards, unobserved mortality, incidental mortality, unreported catches and catches in other fisheries. Severe adverse impacts are mentioned in the Essential Components only in relation to dependent predators. This is in line with the Ecolabelling Guidelines. The severity of adverse impacts is related to their potential reversibility. Severe adverse impacts can be regarded as those that are likely to be irreversible or very slowly reversible, which is described in the Glossary.

**CONCLUSION****REFERENCES**

## D.3

## Evidence of alignment with applicable GSSI Essential Components for Fisheries Certification Standards

## MANAGEMENT APPROACHES, STRATEGIES AND PLANS

## D.3 11 ECOSYSTEM STRUCTURE, PROCESSES AND FUNCTION

## GSSI ESSENTIAL COMPONENT

The standard requires the existence of management measures, as necessary, designed to achieve the management objectives (D.2.09) that seek to minimize adverse impacts of the unit of certification, including any associated enhancement activities, on the structure, processes and functions of aquatic ecosystems that are likely to be irreversible or very slowly reversible.

## GUIDANCE

Ecosystem structure, processes and function are described in the Glossary. This language is in accordance with Section 4.1.4.1 of the FAO Ecosystem Approach to Fisheries, which suggests one of the broad management objectives for fisheries could be to keep impact on the structure, processes and functions of the ecosystem at an acceptable level.

Adverse impacts that are likely to be irreversible or very slowly reversible are discussed in the Glossary. These may include genetic modification and changed ecological role.

An earlier version of the requirements included an Essential Component on the conservation of biodiversity. Conservation of biodiversity is not mentioned separately in the Guidelines, but it is included in the CCRF Article 7.2.2 (d), which requires that States and sub-regional or regional fisheries management organizations and arrangements should adopt appropriate measures, based on the best scientific evidence available to provide that inter alia biodiversity of aquatic habitats and ecosystems is conserved. The structure processes and function of aquatic ecosystems includes biodiversity, hence this is considered to be included in this Essential Component.

## RELATED SUPPLEMENTARY COMPONENTS

D.3 11 01

D.3 11 02

## CONCLUSION

MEL is in alignment because requirement(s) in the Fisheries Management Standard (version 2.0) and indicator(s) in the Fisheries Management Standard: Guidelines for Auditors - Indicators of Conformity - (version 2.1) state as follows;

Requirement 3.1.2 in the Fisheries Management Standard (version 2.0)

The unit of certification shall be operated in ways to minimize adverse impacts on non-target stocks and ecosystem, taking into account the assessment results of above 3.1.1(a) (1) - (5). Indicator(s) 3.1.2 (a) (5) in the Fisheries Management Standard: Guidelines for Auditors - Indicators of Conformity - (version 2.1)

(a) Whether the unit of certification operates the fishery with consideration to avoid, minimize or mitigate the adverse impacts on non-target stocks, endangered species and ecosystem with following management objectives and outcome indicators (including those equivalent thereto), taking into account the assessment results of 3.1.1.

(5) Management objectives that seek to minimize adverse impacts of the unit of certification on the structure, processes and function of aquatic ecosystems that are likely to be irreversible or very slowly reversible and outcome indicators consistent with achieving management objectives.

- Existence of management objectives and outcome indicators above including those equivalent thereto (information/data on non-target species, ecosystem)

Indicator(s) 3.1.2 (b) in the Fisheries Management Standard: Guidelines for Auditors - Indicators of Conformity - (version 2.1)

Whether management measures designed to achieve the management objectives referred in 3.1.2 (a) (1) - (5) and management measures that minimize unwanted catch and discards, where appropriate, and reduce post-released mortality where incidental catch is unavoidable exist.

- Existence of appropriate management measures above.

Standard 3.2 particularly requires the consideration of ecosystem in the associated fish farming and resource enhancement.

Requirement 3.2.3 in the Fisheries Management Standard (version 2.0)

(In case of the associated fish farming and resource enhancement,) There shall be continuous monitoring of the state of the stock under consideration and its habitat, and measures shall be implemented in order to avoid significant adverse impacts of enhancement activities on the natural reproductive stock components of the stock under consideration and ecosystem.

Indicator(s) 3.2.3 (c) (3) in the Fisheries Management Standard: Guidelines for Auditors - Indicators of Conformity - (version 2.1)

(c) Whether following management objectives, management measures and outcome indicators (including those equivalent thereto) exist to avoid severe adverse impacts of release of artificial seedling on the natural reproduction of the stock under consideration and on the ecosystem:

(3) Management objectives that seek to minimize adverse impacts of associated enhancement activities if applicable, on the structure, processes and function of aquatic ecosystems that are likely to be irreversible or very slowly reversible, outcome indicators consistent with achieving the management objectives and management measures, as necessary, designed to achieve the management objectives.

- Existence of management objectives, management measures and outcome indicators (including those equivalent thereto) referred in (1) - (3) above Additional information for the above requirement(s) and indicator(s) can be found in the Fisheries Management Standard: Guidelines for Auditors - Indicators of Conformity - (version 2.1): Requirements 3.1.2, 3.2.3; Indicators 3.1.2 (a) (5) and (b), p. 41-44 and 3.2.3 (c) (3), p. 53-56. Examples of the requirement(s) in use can be found in the Assessment Report Fisheries Management Standard (Salmon, Hokkaido): Summary Evidence and Evidence 3.1.2 (a), p. 82-83 and 3.2.3 (c), p. 104-105.

MOCA 2021 Update: MEL-J continues to be in alignment with this GSSI essential component because there have been no changes in its Fisheries Management Standard (version 2.0), 2018, or its Fisheries Management Standard: Guidelines for Auditors - Indicators of Conformity - (version 2.1), 2019. Additionally, the following MEL-J assessment and audit reports provide evidence or examples of alignment with this GSSI component:

1. Initial Assessment Report. Fukushima Federation of Fisheries Cooperative Associations, Mackerel Purse Seine Net Fishery. Certification No.: JFRCA 20F2800011. Summary Evidence and Evidence, Indicator 3.1.2(a)(5), p. 82-84 and Indicator 3.1.2(b), p. 85-86.
2. Initial Assessment Report. Munakata Fisheries Cooperative Association, Japanese Pufferfish Longline Fishery. Certification No.: JFRCA 20F6900011. Summary Evidence and Evidence, Indicator 3.1.2(a)(5), p. 80-83, Indicator 3.1.2(b), p. 84, and Indicator 3.2.3(c)(3), p. 103.
3. Initial Assessment Report. Kii Channel Central Motor Vessel Boat Seine Cooperatives, Shirasu Boat Seine Net Fishery. Certification No.: JFRCA 20F5700011. Summary Evidence and Evidence, Indicator 3.1.2(a)(5), p. 90-93 and Indicator 3.1.2(b), p. 94-95.

## REFERENCES

## D.3

## Evidence of alignment with applicable GSSI Essential Components for Fisheries Certification Standards

## MANAGEMENT APPROACHES, STRATEGIES AND PLANS

## ► MANAGEMENT UNDER UNCERTAINTY

## D.3 12 PRECAUTIONARY APPROACH

## GSSI ESSENTIAL COMPONENT

The standard requires that the precautionary approach is applied widely through the management system to the conservation, management and exploitation of living aquatic resources in order to protect them and preserve the aquatic environment.

## GUIDANCE

The General Principles and Article 6.5 of the CCRF prescribe a precautionary approach to all fisheries, in all aquatic systems, regardless of their jurisdictional nature, recognizing that most problems affecting the fishing sector result from insufficiency of precaution in management regimes when faced with high levels of uncertainty.

The precautionary approach referred to in this Essential Component is that elaborated in the FAO Document: Precautionary approach to capture fisheries and species introductions, FAO Technical Guidelines for Responsible Fisheries. No. 2. Rome, FAO. 1996.

To meet this Essential Component, the standard must require inter alia that the management system uses a suitable method of risk management to take into account relevant uncertainties in the status of the stock under consideration and the impacts of the unit of certification on that stock and the ecosystem, including those associated with the use of introduced or translocated species. Where the application of less quantitative and data demanding approaches results in greater uncertainty, the management system should apply more precaution, which may necessitate lower levels of utilization of the resource.

The FAO Guidelines (Paragraph 29.6) state that the absence of adequate scientific information should not be used as a reason for postponing or failing to take conservation and management measures.

The FAO Guidelines (Paragraph 31) note that much greater scientific uncertainty is to be expected in assessing possible adverse ecosystem impacts of fisheries than in assessing the state of target stocks. This issue can be addressed by taking a risk assessment/risk management approach (see also D.5.07).

The FAO Guidelines (Paragraph 32) also note that a past record of good management performance could be considered as supporting evidence of the adequacy of the management measures and the management system.

The suitability of the method of risk management applied should be assessed by the technical team undertaking the assessment for certification.

## CONCLUSION

MEL is in alignment because requirement(s) in the Fisheries Management Standard (version 2.0) and indicator(s) in the Guidelines for Auditors of the Fisheries Management Standard state as follows;

Requirement 1.2.6 in the Fisheries Management Standard (version 2.0)

Taking due account of various uncertainty inherent in fisheries stocks, ecosystem and stock management, precautionary fisheries management is undertaken. There shall be a mechanism to change and improve management measures in an adaptive manner depending on the status of the stock under consideration and of the ecosystem.

Indicator(s) 1.2.6 (a) in the Guidelines for Auditors of the Fisheries Management Standard

(a) Whether a mechanism exists in order to change and improve management measures in an adaptive manner to unexpected changes of the situation on the stock under consideration and relative matters due to environmental changes, etc.

- Existence of the mechanism of precautionary measures and adaptive management Additional information for the above requirement(s) and indicator(s) can be found in the Guidelines for Auditors of the Fisheries Management Standard: Requirements 1.2.6; Indicators 1.2.6 (a).

Examples of the requirement(s) in use can be found in the Assessment Report Fisheries Management Standard (Salmon, Hokkaido): Comments from Auditor and Evidences 1.2.6

Requirement 3.1.2 in the Fisheries Management Standard (version 2.0)

The unit of certification shall be operated in ways to minimize adverse impacts on non-target stocks and ecosystem, taking into account the assessment results of above 3.1.1(a) (1) - (5). Indicator(s) 3.1.2 (a) (4) in the Fisheries Management Standard: Guidelines for Auditors - Indicators of Conformity - (version 2.1)

(a) Whether the unit of certification operates the fishery with consideration to avoid, minimize or mitigate the adverse impacts on non-target stocks, endangered species and ecosystem with following management objectives and outcome indicators (including those equivalent thereto), taking into account the assessment results of 3.1.1.

(4) Management objectives that seek to avoid severe adverse impacts on dependent predators resulting from fishing on a stock under consideration that is a key prey species and outcome indicators consistent with achieving the management objectives.

- Existence of management objectives and outcome indicators above including those equivalent thereto (information/data on non-target species, ecosystem) Indicator(s) 3.1.2 (b) in the Fisheries Management Standard: Guidelines for Auditors - Indicators of Conformity - (version 2.1)

Whether management measures designed to achieve the management objectives referred in 3.1.2 (a) (1) - (5) and management measures that minimize unwanted catch and discards, where appropriate, and reduce post-released mortality where incidental catch is unavoidable exist.

- Existence of appropriate management measures above.

Additional information for the above requirement(s) and indicator(s) can be found in the Fisheries Management Standard: Guidelines for Auditors R Indicators of Conformity R (version 2.1): Requirements 3.1.2; Indicators 3.1.2 (a) (4) and (b). p. 41-44. Examples of the requirement(s) in use can be found in the Assessment Report Fisheries Management Standard (Salmon, Hokkaido): Summary Evidence and Evidence 3.1.2

(a). p. 82-83 and 3.1.2 (b). p. 84.

MOCA 2021 Update: MEL-J continues to be in alignment with this GSSI essential component because there have been no changes in its Fisheries Management Standard (version 2.0), 2018, or its Fisheries Management Standard: Guidelines for Auditors - Indicators of Conformity - (version 2.1), 2019. Additionally, the following MEL-J assessment and audit reports provide evidence or examples of alignment with this GSSI component:

1. Initial Assessment Report. Fukushima Federation of Fisheries Cooperative Associations, Mackerel Purse Seine Net Fishery. Certification No.: JFRCA 20F2800011. Summary Evidence and Evidence, Indicator 1.2.6(a), p. 36 and Indicator 2.5(a), p. 63.

2. Initial Assessment Report. Kii Channel Central Motor Vessel Boat Seine Cooperatives, Shirasu Boat Seine Net Fishery. Certification No.: JFRCA 20F5700011. Summary Evidence and Evidence, Indicator 1.2.6(a), p. 29-30 and Indicator 2.5(a), p. 64-66.

## REFERENCES

## D.3

## Evidence of alignment with applicable GSSI Essential Components for Fisheries Certification Standards

### MANAGEMENT APPROACHES, STRATEGIES AND PLANS

#### ► FISHERY MANAGEMENT DOCUMENTATION

#### D.3 13 CONTINUOUS REVIEW

##### GSSI ESSENTIAL COMPONENT

The standard requires that the efficacy of management measures and their possible interactions is kept under continuous review, taking into account the multipurpose nature of the use patterns in inland and marine waters.

##### GUIDANCE

The purpose of continuous review of the efficacy of conservation and management measures and their possible interactions is to ensure that there is a well based expectation that management will be successful, taking into account uncertainty and imprecision. “Management measures” in this Essential Component are the measures referred to in the other Essential Components in this Performance Area. They are regarded as being synonymous with the “conservation and management measures” referred to in CCRF Article 7.6.8.

The expression “taking into account the multipurpose nature of the use patterns in inland and marine waters” refers to the uncertainty arising from other (non-fishery) impacts on the fishery. For example, if there are other users from other sectors, fishery management, although not being able to control those sectors, should take their impacts into account when devising the strategy for achieving management objectives. This is akin to taking into account all sources of mortality on the fish stock, from fishing and non-fishing sources. For example, if water is abstracted from rivers at certain times of the year and this has an adverse impact on the fish stock, management of the fishery should address that fact (perhaps by reducing fishing or having a closed season at this time), although not being able to influence when and to what extent the water is abstracted. In a coastal context, the fishery management should be integrated with coastal zone management to the extent necessary to account for non-fishing impacts.

##### RELATED SUPPLEMENTARY COMPONENTS

D.3 13 01    D.3 13 02    D.3 13 03

##### CONCLUSION

##### REFERENCES

## D.3

*Evidence of alignment with applicable GSSI Essential Components for Fisheries Certification Standards***MANAGEMENT APPROACHES, STRATEGIES AND PLANS****D.3 14 CONTINUOUS REVIEW****GSSI ESSENTIAL COMPONENT**

The Standard requires that the methodology and results of assessments of the current status and trends of the stock under consideration are made publicly available in a timely manner, respecting confidentiality where appropriate.

**GUIDANCE**

This Essential Component is included under the Element of continuous review, but is essentially about transparency. It is linked with Essential Component D. 1.05 that addressed Participatory Management. To meet that Essential Component, the standard must require the fisheries management organization or arrangement to make information and advice used in its decision-making publicly available. The methodology and results of assessments of the current status and trends of the stock under consideration is part of the information and advice used in this decision-making. The publication of this information may be constrained by legitimate rules governing confidentiality.

**CONCLUSION****REFERENCES**

## D.3

*Evidence of alignment with applicable GSSI Essential Components for Fisheries Certification Standards***MANAGEMENT APPROACHES, STRATEGIES AND PLANS****D.3 15 CONTINUOUS REVIEW****GSSI ESSENTIAL COMPONENT**

The Standard requires that the methodology and results of the analysis of the most probable adverse impacts of the unit of certification and any associated culture and enhancement activity on the ecosystem are made publicly available in a timely manner, respecting confidentiality where appropriate.

**GUIDANCE**

This Essential Component is included under the Element of continuous review, but is essentially about transparency. It is linked with Essential Component D. 1.05 that addressed Participatory Management. To meet that Essential Component, the standard must require the fisheries management organization or arrangement to make information and advice used in its decision-making publicly available. The methodology and results of the analysis of the most probable adverse impacts of the unit of certification and any associated culture and enhancement activity on the ecosystem is part of the information and advice used in this decision-making. The publication of this information may be constrained by legitimate rules governing confidentiality.

**CONCLUSION****REFERENCES**

## D.4

## Evidence of alignment with applicable GSSI Essential Components for Fisheries Certification Standards

## DATA AND INFORMATION

## ► STOCK UNDER CONSIDERATION

## D.4 01 TARGET STOCK STATUS

## GSSI ESSENTIAL COMPONENT

The standard requires the collection and maintenance of adequate, reliable and current data and/or other information about the state and trends of the stock under consideration in accordance with applicable international standards and practices.

## GUIDANCE

Adequate, reliable and current data and/or other information are those which are commensurate with the development and delivery of the best scientific evidence available. In this case, the requirement for data collection is focussed on the assessment of the status and trends of stock under consideration (see Essential Components D.5.01-D.5.03). Adequate, reliable and current data and/or other information can include relevant traditional, fisher or community knowledge, provided its validity can be objectively verified.

Some fisheries and/or fish stock are hard to monitor for various reasons, including remoteness of operation/distribution and complexity of fishing operations, posing particular challenges with the collection and maintenance of adequate, reliable and current data and/or other information. To meet this Essential Component the standard must require the fishery to acknowledge and explain these challenges and data collection and maintenance to cover all stages of fishery development, in accordance with applicable international standards and practices.

Applicable international standards and practices include the output of the Coordinating Working Party on Fishery Statistics (CWP) and the FAO Guidelines for the routine collection of capture fishery data (1998) FAO Fisheries Technical Paper. No. 382.

## RELATED SUPPLEMENTARY COMPONENTS

D.4 01 01

## CONCLUSION

MEL is in alignment because requirement(s) in the Fisheries Management Standard (version 2.0) and indicator(s) in the Fisheries Management Standard: Guidelines for Auditors - Indicators of Conformity - (version 2.1) state as follows;

Requirement 1.1.3 in the Fisheries Management Standard (version 2.0)

There should be knowledge and documentation of the current state of the unit of certification this includes the following

(a) Outline of the unit of certification (b) Fishing gears and fishing methods (c) Catch volume and fishing effort (d) Type of business and its business condition

Indicator(s) 1.1.3 (c) in the Fisheries Management Standard: Guidelines for Auditors - Indicators of Conformity - (version 2.1)

(c) Catch amount and fishing effort

- Collected and maintained information on catch amount and fishing efforts

Requirement 2.2 in the Fisheries Management Standard (version 2.0)

Data and information based on the best scientific evidence available shall be collected and maintained in order to assess the current status and trends of the stock under consideration.

Indicator(s) 2.2 (a) in the Fisheries Management Standard: Guidelines for Auditors - Indicators of Conformity - (version 2.1)

(a) Whether the following scientific evidence data are collected and maintained for the management of the stock under consideration, based on international standards such as FAO Guidelines for the routine collection of capture fishery data (hereinafter referred to as FAO Guidelines).

- Existence of collected and maintained data on the catch volume
- Existence of collected and maintained data on the fishing effort
- Existence of collected and maintained other data necessary for the assessment of the stock under consideration

Additional information for the above requirement(s) and indicator(s) can be found in the Fisheries Management Standard: Guidelines for Auditors - Indicators of Conformity - (version 2.1): Requirements 1.1.3, 2.2; Indicators 1.1.3 (c). p. 6-7 and 2.2 (a) p. 21-22. Examples of the requirement(s) in use can be found in the Assessment Report Fisheries Management Standard (Salmon, Hokkaido): Summary Evidence and Evidence 1.1.3 (c). p. 19. and 2.2 (a). p. 49-52.

MOCA 2021 Update: MEL-J continues to be in alignment with this GSSI essential component because there have been no changes in its Fisheries Management Standard (version 2.0), 2018, or its Fisheries Management Standard: Guidelines for Auditors - Indicators of Conformity - (version 2.1), 2019. Additionally, the following MEL-J assessment and audit reports provide evidence or examples of alignment with this GSSI component:

1. Initial Assessment Report. Fukushima Federation of Fisheries Cooperative Associations, Mackerel Purse Seine Net Fishery. Certification No.: JFRCA 20F2800011. Summary Evidence and Evidence, Indicator 1.1.3(c), p. 17-19 and Indicator 2.2(a), p. 49-53.
2. Initial Assessment Report. Munakata Fisheries Cooperative Association, Japanese Pufferfish Longline Fishery. Certification No.: JFRCA 20F6900011. Summary Evidence and Evidence, Indicator 1.1.3(c), p. 19 and Indicator 2.2(a), p. 45-50.

## REFERENCES

## D.4

## Evidence of alignment with applicable GSSI Essential Components for Fisheries Certification Standards

## DATA AND INFORMATION

## ► ECOSYSTEM EFFECTS OF FISHING

## D.4 02 ECOSYSTEM STRUCTURE, PROCESSES AND FUNCTION

## GSSI ESSENTIAL COMPONENT

The standard requires the collection and maintenance of adequate, reliable and current data and/or other information about the effects of the unit of certification, including any associated enhancement activities, on ecosystem structure, processes and function in accordance with applicable international standards and practices.

## GUIDANCE

Adequate, reliable and current data and/or other information are described in the Glossary. In general these are data which are commensurate with the development and delivery of the best scientific evidence available. The requirements for data collection are focussed on the effects of the unit of certification on the ecosystem, including direct and indirect effects. The adequacy of data relates primarily to the quantity and type of data collected (including sampling coverage) and depends crucially on the nature of the systems being monitored and purposes to which the data are being put. Some analysis of the precision resulting from sampling coverage would normally be part of an assessment of adequacy and reliability. The currency of data is important *inter alia* because its capacity for supporting reliable assessment of current status and trends declines as it gets older. Adequate, reliable and current data and/or other information can include relevant traditional, fisher or community knowledge, provided its validity can be objectively verified (i.e. the knowledge has been collected and analysed through a systematic, objective and well-designed process, and is not just hearsay).

The requirements for data collection are focussed on the effects of the unit of certification on the ecosystem structure, processes and function. The component relating to enhancement activities may be "not applicable" to schemes that explicitly do not cover enhanced fisheries.

Ecosystem structure, processes and function are described in the Glossary. This language is in accordance with Section 4.1.4.1 of the FAO Ecosystem Approach to Fisheries, which suggests one of the broad management objectives for fisheries could be to keep impact on the structure, processes and functions of the ecosystem at an acceptable level.

Applicable international standards and practices include the output of the Coordinating Working Party on Fishery Statistics (CWP) and the FAO Guidelines for the routine collection of capture fishery data (1998) FAO Fisheries Technical Paper. No. 382.

## RELATED SUPPLEMENTARY COMPONENTS

D.4 02 01

D.4 02 02

## CONCLUSION

MEL is in alignment because requirement(s) in the Fisheries Management Standard (version 2.0) and indicator(s) in the Fisheries Management Standard: Guidelines for Auditors - Indicators of Conformity - (version 2.1) state as follows:

Requirement 3.1.1 in the Fisheries Management Standard (version 2.0)

Data and/or other information based on the best scientific evidence available covering the following factors shall be collected and maintained in order to assess the impacts of the unit of certification on non-target stocks and ecosystem:

- (1) Catches and discard of non-target stocks
- (2) Impacts of the unit of certification on endangered species, and efforts to conserve and protect those species as well as to avoid by-catch of those species
- (3) Information on the essential habitat for stock under consideration (e.g. spawning and nursery sites)
- (4) Impacts of fishing gear used by the unit of certification on ecosystem (including the seabed)
- (5) Prey-predator relationship of the stock under consideration in the food-web
- (6) Balance of whole ecosystem (i.e. whether there is any severe disturbance by the unit of certification on ecosystem)

Indicator(s) 3.1.1 (a) (5) in the Fisheries Management Standard: Guidelines for Auditors - Indicators of Conformity - (version 2.1)

(a) Whether adequate, reliable and current data and/or other information of followings exist:

- (5) Analysis of the effects of the unit of certification on ecosystem structure, processes and function to develop timely scientific advice on the likelihood and magnitude of impacts with appropriate related data/information in accordance with applicable international standards and practices.
- Existence of collected and maintained information referred in (1) - (5) above.

Standard 3.2 particularly requires the consideration of ecosystem in the associated fish farming and resource enhancement.

Requirement 3.2.3 in the Fisheries Management Standard (version 2.0)

(In case of the associated fish farming and resource enhancement) There shall be continuous monitoring of the state of the stock under consideration and its habitat, and measures shall be implemented in order to avoid significant adverse impacts of enhancement activities on the natural reproductive stock components of the stock under consideration and ecosystem.

Indicator(s) 3.2.3 (b) (4) in the Fisheries Management Standard: Guidelines for Auditors - Indicators of Conformity - (version 2.1)

(b) Whether following information about the impacts of release of artificial seedling on other species and the ecosystem exists:

- (4) Analysis of the effects of associated culture and enhancement activities on ecosystem structure, processes and function to develop timely scientific advice on the likelihood and magnitude of impacts with appropriate related data/information in accordance with applicable international standards and practices.
- Existence of information about the distributional area of seedling and growth after the seedling is released, including information to confirm that the natural reproductive stock component of enhanced stocks is not substantially displaced by stocked components.
- Existence of information about impacts on other species and the ecosystem referred in (1) - (4) above.

MOCA 2021 Update: MEL-J continues to be in alignment with this GSSI essential component because there have been no changes in its Fisheries Management Standard (version 2.0), 2018, or its Fisheries Management Standard: Guidelines for Auditors - Indicators of Conformity - (version 2.1), 2019. Additionally, the following MEL-J assessment and audit reports provide evidence or examples of alignment with this GSSI component:

1. Initial Assessment Report. Fukushima Federation of Fisheries Cooperative Associations, Mackerel Purse Seine Net Fishery. Certification No.: JFRCA 20F2800011. Summary Evidence and Evidence, Indicator 3.1.1(a)(5), p. 76-81.
2. Initial Assessment Report. Munakata Fisheries Cooperative Association, Japanese Pufferfish Longline Fishery. Certification No.: JFRCA 20F6900011. Summary Evidence and Evidence, Indicator 3.1.1(a)(5), p. 75-79 and Indicator 3.2.3(b), p. 101-102.
3. Initial Assessment Report. Kii Channel Central Motor Vessel Boat Seine Cooperatives, Shirasu Boat Seine Net Fishery. Certification No.: JFRCA 20F5700011. Summary Evidence and Evidence, Indicator 3.1.1(a)(5), p. 83-89.

## REFERENCES

- 1) Fisheries Management Standard (version 2.0), 2018: Requirement(s) 3.1.1, p. 8, and 3.2.3, p. 9. <https://melj.jp/eng/wp-content/uploads/2019/04/Fisheries-Management-StandardFMSver.2.0.pdf>
  - 2) Fisheries Management Standard: Guidelines for Auditors - Indicators of Conformity - (version 2.1), 2019: Indicator(s) 3.1.1 (a) (5), p. 37-40 and 3.2.3 (b) (4), p. 53-56. <https://melj.jp/eng/wp-content/uploads/2019/04/Fisheries-Management-Standard-Guidelines-for-Auditors-Indicators-of-Conformity-Version.-2.1.pdf>
  - 3) Assessment Report Fisheries Management Standard (Salmon, Hokkaido), 2019: Summary Evidence and Evidence 3.1.1 (a), p. 76-81 and 3.2.3 (b), p. 102-103.
  - 4) First Annual Surveillance Report. Hokkaido Federation of Fisheries Cooperative Association Chum Salmon Set-net Fishery Certification No.: JFRCA 20F2200011 Date certified: February 28, 2019. Report Prepared: August 2019. On site assessment July 21, 2019.
- Additional MOCA 2021 References:
- 5) 1. Fisheries Management Standard (version 2.0), 2018, <https://melj.jp/eng/wp-content/uploads/2019/04/Fisheries-Management-StandardFMSver.2.0.pdf>
  - 6) 2. Fisheries Management Standard: Guidelines for Auditors - Indicators of Conformity - (version 2.1), 2019, <https://melj.jp/eng/wp-content/uploads/2019/04/Fisheries-Management-Standard-Guidelines-for-Auditors-Indicators-of-Conformity-Version.-2.1.pdf>
  - 7) 3. Initial Assessment Report. Fukushima Federation of Fisheries Cooperative Associations, Mackerel Purse Seine Net Fishery. Certification No.: JFRCA 20F2800011. Available online: [http://www.fish-jfrca.jp/04/pdf/mel/capture\\_fisheries\\_JFRCA20F2800011.pdf](http://www.fish-jfrca.jp/04/pdf/mel/capture_fisheries_JFRCA20F2800011.pdf)
  - 8) 4. Initial Assessment Report. Munakata Fisheries Cooperative Association, Japanese Pufferfish Longline Fishery. Certification No.: JFRCA 20F6900011. Available online: [http://www.fish-jfrca.jp/04/pdf/mel/capture\\_fisheries\\_JFRCA20F6900011.pdf](http://www.fish-jfrca.jp/04/pdf/mel/capture_fisheries_JFRCA20F6900011.pdf)
  - 9) 5. Initial Assessment Report. Kii Channel Central Motor Vessel Boat Seine Cooperatives, Shirasu Boat Seine Net Fishery. Certification No.: JFRCA 20F5700011. Available online: [http://www.fish-jfrca.jp/04/pdf/mel/capture\\_fisheries\\_JFRCA20F5700011.pdf](http://www.fish-jfrca.jp/04/pdf/mel/capture_fisheries_JFRCA20F5700011.pdf)

## D.4

## Evidence of alignment with applicable GSSI Essential Components for Fisheries Certification Standards

## DATA AND INFORMATION

## D.4 03 NON-TARGET CATCHES

## GSSI ESSENTIAL COMPONENT

The standard requires the collection and maintenance of adequate, reliable and current data and/or other information on non-target catches and discards in the unit of certification.

## GUIDANCE

Adequate, reliable and current data and/or other information are described in the Glossary. In general these are data which are commensurate with the development and delivery of the best scientific evidence available. The requirements for data collection are focussed on the need to assess the effects of the unit of certification on non-target stocks. Non-target catches and discards refer to species/stocks that are taken by the unit of certification other than the stock for which certification is being sought (see Glossary).

The adequacy of data relates primarily to the quantity and type of data collected (including sampling coverage) and depends crucially on the nature of the systems being monitored and purposes to which the data are being put. Some analysis of the precision resulting from sampling coverage would normally be part of an assessment of adequacy and reliability. The currency of data is important *inter alia* because its capacity for supporting reliable assessment of current status and trends declines as it gets older. Adequate, reliable and current data and/or other information can include relevant traditional, fisher or community knowledge, provided its validity can be objectively verified (i.e. the knowledge has been collected and analysed through a systematic, objective and well-designed process, and is not just hearsay).

The requirements for data collection in this Essential Component are focussed on the effects of the unit of certification on non-target species/stocks. Non-target catches/stocks are described in the Glossary. Catches of Endangered species are covered in Essential Component D.4.04.

Applicable international standards and practices include the output of the Coordinating Working Party on Fishery Statistics (CWP) and the FAO Guidelines for the routine collection of capture fishery data (1998) FAO Fisheries Technical Paper. No. 382.

## RELATED SUPPLEMENTARY COMPONENTS



## CONCLUSION

MEL is in alignment because requirement(s) in the Fisheries Management Standard (version 2.0) and indicator(s) in the Fisheries Management Standard: Guidelines for Auditors - Indicators of Conformity - (version 2.1) state as follows;

Requirement 3.1.1 in the Fisheries Management Standard (version 2.0)

Data and/or other information based on the best scientific evidence available covering the following factors shall be collected and maintained in order to assess the impacts of the unit of certification on non-target stocks and ecosystem:

- (1) Catches and discard of non-target stocks
- (2) Impacts of the unit of certification on endangered species, and efforts to conserve and protect those species as well as to avoid by-catch of those species
- (3) Information on the essential habitat for stock under consideration (e.g. spawning and nursery sites)
- (4) Impacts of fishing gear used by the unit of certification on ecosystem (including the seabed)
- (5) Prey-predator relationship of the stock under consideration in the food-web
- (6) Balance of whole ecosystem (i.e. whether there is any severe disturbance by the unit of certification on ecosystem)

Indicator(s) 3.1.1 (a) (1) in the Fisheries Management Standard: Guidelines for Auditors - Indicators of Conformity - (version 2.1)

(a) Whether adequate, reliable and current data and/or other information of followings exist:

- (1) Assessment of the extent to which non-target catches and discards by the unit of certification of stocks other than the stock under consideration threaten those non-target stocks with recruitment overfishing or other impacts that are likely to be irreversible or very slowly reversible with appropriate related data/information.

- Existence of collected and maintained information referred in (1) - (5) above.

Additional information for the above requirement(s) and indicator(s) can be found in the Fisheries Management Standard: Guidelines for Auditors - Indicators of Conformity - (version 2.1): Requirements 3.1.1; Indicators 3.1.1 (a) (1). p. 37-40.

Examples of the requirement(s) in use can be found in the Assessment Report Fisheries Management Standard (Salmon, Hokkaido): Summary Evidence and Evidence 3.1.1 (a). p. 76-81.

MOCA 2021 Update: MEL-J continues to be in alignment with this GSSI essential component because there have been no changes in its Fisheries Management Standard (version 2.0), 2018, or its Fisheries Management Standard: Guidelines for Auditors – Indicators of Conformity – (version 2.1), 2019. Additionally, the following MEL-J assessment and audit reports provide evidence or examples of alignment with this GSSI component:

1. Initial Assessment Report. Fukushima Federation of Fisheries Cooperative Associations, Mackerel Purse Seine Net Fishery. Certification No.: JFRCA 20F2800011. Summary Evidence and Evidence, Indicator 3.1.1(a)(1), p. 76-81.
2. Initial Assessment Report. Munakata Fisheries Cooperative Association, Japanese Pufferfish Longline Fishery. Certification No.: JFRCA 20F6900011. Summary Evidence and Evidence, Indicator 3.1.1(a)(1), p. 75-79.
3. Initial Assessment Report. Kii Channel Central Motor Vessel Boat Seine Cooperatives, Shirasu Boat Seine Net Fishery. Certification No.: JFRCA 20F5700011. Summary Evidence and Evidence, Indicator 3.1.1(a)(1), p. 83-89.

- 1) Fisheries Management Standard (version 2.0), 2018: Requirement(s) 3.1.1. p. 8. <https://mel.jp/eng/wp-content/uploads/2019/04/Fisheries-Management-StandardFMSver.2.0.pdf>
  - 2) Fisheries Management Standard: Guidelines for Auditors - Indicators of Conformity - (version 2.1), 2019: Indicator(s) 3.1.1 (a) (1). p. 37-40. <https://mel.jp/eng/wp-content/uploads/2019/04/Fisheries-Management-Standard-Guidelines-for-Auditors-Indicators-of-Conformity-Version.-2.1.pdf>
  - 3) Assessment Report Fisheries Management Standard (Salmon, Hokkaido), 2019: Summary Evidence and Evidence 3.1.1 (a). p. 76-81.
  - 4) First Annual Surveillance Report. Hokkaido Federation of Fisheries Cooperative Association Chum Salmon Set-net Fishery Certification No.: JFRCA 20F2200011 Date certified: February 28, 2019. Report Prepared: August 2019. On site assessment July 21, 2019.
- MOCA 2021 Additional References:
- 5) 1. Fisheries Management Standard (version 2.0), 2018, <https://mel.jp/eng/wp-content/uploads/2019/04/Fisheries-Management-StandardFMSver.2.0.pdf>
  - 6) 2. Fisheries Management Standard: Guidelines for Auditors - Indicators of Conformity - (version 2.1), 2019, <https://mel.jp/eng/wp-content/uploads/2019/04/Fisheries-Management-Standard-Guidelines-for-Auditors-Indicators-of-Conformity-Version.-2.1.pdf>
  - 7) 3. Initial Assessment Report. Fukushima Federation of Fisheries Cooperative Associations, Mackerel Purse Seine Net Fishery. Certification No.: JFRCA 20F2800011. Available online: [http://www.fish-jfrca.jp/04/pdf/mel/capture\\_fisheries\\_JFRCA20F2800011.pdf](http://www.fish-jfrca.jp/04/pdf/mel/capture_fisheries_JFRCA20F2800011.pdf)
  - 8) 4. Initial Assessment Report. Munakata Fisheries Cooperative Association, Japanese Pufferfish Longline Fishery. Certification No.: JFRCA 20F6900011. Available online: [http://www.fish-jfrca.jp/04/pdf/mel/capture\\_fisheries\\_JFRCA20F6900011.pdf](http://www.fish-jfrca.jp/04/pdf/mel/capture_fisheries_JFRCA20F6900011.pdf)
  - 9) 5. Initial Assessment Report. Kii Channel Central Motor Vessel Boat Seine Cooperatives, Shirasu Boat Seine Net Fishery. Certification No.: JFRCA 20F5700011. Available online: [http://www.fish-jfrca.jp/04/pdf/mel/capture\\_fisheries\\_JFRCA20F5700011.pdf](http://www.fish-jfrca.jp/04/pdf/mel/capture_fisheries_JFRCA20F5700011.pdf)

## D.4

## Evidence of alignment with applicable GSSI Essential Components for Fisheries Certification Standards

## DATA AND INFORMATION

## D.4 04 ENDANGERED SPECIES

## GSSI ESSENTIAL COMPONENT

The standard requires the collection and maintenance of adequate, reliable and current data and/or other information about the effects of the unit of certification, including any associated enhancement activities, on endangered species in accordance with applicable international standards and practices.

## GUIDANCE

Adequate, reliable and current data and/or other information is described in the Glossary. In general these are data which are commensurate with the development and delivery of the best scientific evidence available. The requirements for data collection are focussed on the effects of the unit of certification on the ecosystem, including direct and indirect effects. The adequacy of data relates primarily to the quantity and type of data collected (including sampling coverage) and depends crucially on the nature of the systems being monitored and purposes to which the data are being put. Some analysis of the precision resulting from sampling coverage would normally be part of an assessment of adequacy and reliability. The currency of data is important *inter alia* because its capacity for supporting reliable assessment of current status and trends declines as it gets older. Adequate, reliable and current data and/or other information can include relevant traditional, fisher or community knowledge, provided its validity can be objectively verified (i.e. the knowledge has been collected and analysed through a systematic, objective and well-designed process, and is not just hearsay).

The requirements for data collection are focussed on the effects of the unit of certification on endangered species. The component relating to enhancement activities may be "not applicable" to schemes that explicitly do not cover enhanced fisheries. Endangered species are described in the Glossary.

Applicable international standards and practices include the output of the Coordinating Working Party on Fishery Statistics (CWP) and the FAO Guidelines for the routine collection of capture fishery data (1998) FAO Fisheries Technical Paper. No. 382.

## CONCLUSION

MEL is in alignment because requirement(s) in the Fisheries Management Standard (version 2.0) and indicator(s) in the Fisheries Management Standard: Guidelines for Auditors - Indicators of Conformity - (version 2.1) state as follows;

Requirement 3.1.1 in the Fisheries Management Standard (version 2.0)

Data and/or other information based on the best scientific evidence available covering the following factors shall be collected and maintained in order to assess the impacts of the unit of certification on non-target stocks and ecosystem:

- (1) Catches and discard of non-target stocks
- (2) Impacts of the unit of certification on endangered species, and efforts to conserve and protect those species as well as to avoid by-catch of those species
- (3) Information on the essential habitat for stock under consideration (e.g. spawning and nursery sites)
- (4) Impacts of fishing gear used by the unit of certification on ecosystem (including the seabed)
- (5) Prey-predator relationship of the stock under consideration in the food-web
- (6) Balance of whole ecosystem (i.e. whether there is any severe disturbance by the unit of certification on ecosystem)

Indicator(s) 3.1.1 (a) (2) in the Fisheries Management Standard: Guidelines for Auditors - Indicators of Conformity - (version 2.1)

(a) Whether adequate, reliable and current data and/or other information of followings exist:

(2) Assessment of the impacts of the unit of certification on endangered species with appropriate related data/information collected in accordance with applicable international standards and practices.

- Existence of collected and maintained information referred in (1) - (5) above. Standard 3.2 particularly requires the consideration of ecosystem in the associated fish farming and resource enhancement.

Requirement 3.2.3 in the Fisheries Management Standard (version 2.0)

(In case of the associated fish farming and resource enhancement.) There shall be continuous monitoring of the state of the stock under consideration and its habitat, and measures shall be implemented in order to avoid significant adverse impacts of enhancement activities on the natural reproductive stock components of the stock under consideration and ecosystem.

Indicator(s) 3.2.3 (b) (2) in the Fisheries Management Standard: Guidelines for Auditors- Indicators of Conformity - (version 2.1)

(b) Whether following information about the impacts of release of artificial seedling on other species and the ecosystem exists:

(2) Assessment of the impacts of associated culture and enhancement activities on endangered species with appropriate related data/information collected in accordance with applicable international standards and practices.

- Existence of information about the distributional area of seedling and growth after the seedling is released, including information to confirm that the natural reproductive stock component of enhanced stocks is not substantially displaced by stocked components.

- Existence of information about impacts on other species and the ecosystem referred in (1) - (4) above.

Additional information for the above requirement(s) and indicator(s) can be found in the Fisheries Management Standard: Guidelines for Auditors - Indicators of Conformity - (version 2.1):

Requirements 3.1.1, 3.2.3; Indicators 3.1.1 (a) (2), p. 37-40 and 3.2.3 (b) (2), p. 53-55.

Examples of the requirement(s) in use can be found in the Assessment Report Fisheries Management Standard (Salmon, Hokkaido): Summary Evidence and Evidence 3.1.1 (a), p. 76-81. and 3.2.3 (b), p. 102-103.

MOCA 2021 Update: MEL-J continues to be in alignment with this GSSI essential component because there have been no changes in its Fisheries Management Standard (version 2.0),

2018, or its Fisheries Management Standard: Guidelines for Auditors - Indicators of Conformity - (version 2.1), 2019. Additionally, the following MEL-J assessment and audit reports

provide evidence or examples of alignment with this GSSI component:

- 1. Initial Assessment Report. Fukushima Federation of Fisheries Cooperative Associations, Mackerel Purse Seine Net Fishery. Certification No.: JFRCA 20F2800011. Summary Evidence and Evidence, Indicator 3.1.1(a)(2), p. 76-81.
- 2. Initial Assessment Report. Munakata Fisheries Cooperative Association, Japanese Pufferfish Longline Fishery. Certification No.: JFRCA 20F6900011. Summary Evidence and Evidence, Indicator 3.1.1(a)(2), p. 75-79 and Indicator 3.2.3(b), p. 101-102.
- 3. Initial Assessment Report. Kii Channel Central Motor Vessel Boat Seine Cooperatives, Shirasu Boat Seine Net Fishery. Certification No.: JFRCA 20F5700011. Summary Evidence and Evidence, Indicator 3.1.1(a)(2), p. 83-89.

## REFERENCES

## D.4

## Evidence of alignment with applicable GSSI Essential Components for Fisheries Certification Standards

### DATA AND INFORMATION

#### D.4 05 HABITAT

##### GSSI ESSENTIAL COMPONENT

The standard requires that there is knowledge within the fishery management system of the essential habitats for the stock under consideration and habitats that are highly vulnerable to damage by the fishing gear of the unit of certification. This includes knowledge of the full spatial range of the relevant habitat, not just that part of the spatial range that is potentially affected by fishing.

##### GUIDANCE

The level of knowledge of the essential habitats for the stock under consideration and habitats that are highly vulnerable to damage by the fishing gear of the unit of certification should provide sufficient understanding to enable impacts of the unit of certification on those habitats to be avoided, minimized or mitigated; i.e. for the management objective with respect to habitat (D.2.09) to be achieved. The achievement of this Essential Component should be considered alongside D.5.08 and D.6.07. In particular, the FAO Ecolabelling Guidelines acknowledge the importance of a “risk assessment/risk management approach” to address the issue of greater scientific uncertainty associated with ecosystem impacts; also that the most probable adverse impacts should be considered, taking into account available scientific information, and traditional, fisher or community knowledge provided that its validity can be objectively verified. The knowledge of the habitats in question can therefore include relevant traditional, fisher or community knowledge, provided its validity can be objectively verified (i.e. the knowledge has been collected and analysed through a systematic, objective and well-designed process, and is not just hearsay).

##### RELATED SUPPLEMENTARY COMPONENTS

D.4 05 01    D.4 05 02    D.4 05 03

##### CONCLUSION

##### REFERENCES

## D.4

*Evidence of alignment with applicable GSSI Essential Components for Fisheries Certification Standards*

## DATA AND INFORMATION

## D.4 06 DEPENDENT PREDATORS

## GSSI ESSENTIAL COMPONENT

The standard requires that data and information are collected on the role of the stock under consideration in the food-web to enable determination of whether it is a key prey species in the ecosystem, and if so whether fishing on that stock might result in severe adverse impacts on dependent predators.

## GUIDANCE

The data and information collected must be sufficient to provide adequate knowledge of the role of the stock under consideration in the food-web to determine whether it is a key prey species and, if so, whether fishing on that stock under consideration might result in severe adverse impacts on dependent predators. Where the stock under consideration is a key prey species, the standard must require that fishing mortality on that species/stock is managed so as not to result in severe adverse impacts on Dependent Predators. The FAO Guidelines require that all sources of fishing mortality on the stock under consideration are taken into account (whether or not it is a prey species) in assessing the state of the stock under consideration, including discards, unobserved mortality, incidental mortality, unreported catches and catches in other fisheries.

Data and information on the role of the stock under consideration in the food-web can include relevant traditional, fisher or community knowledge, provided its validity can be objectively verified (i.e. the knowledge has been collected and analysed through a systematic, objective and well-designed process, and is not just hearsay).

## CONCLUSION

## REFERENCES

## D.4

*Evidence of alignment with applicable GSSI Essential Components for Fisheries Certification Standards***DATA AND INFORMATION**► **TRADITIONAL, FISHER OR COMMUNITY KNOWLEDGE****D.4 07 TRADITIONAL, FISHER OR COMMUNITY KNOWLEDGE****GSSI ESSENTIAL COMPONENT**

The standard requires that any traditional, fisher or community knowledge used within the management system can be objectively verified.

**GUIDANCE**

The methods by which traditional, fisher or community knowledge can be objectively verified will vary between fisheries, and will need to be assessed by the auditors. Elsewhere in the Benchmark there is the general suggestion that the knowledge should be collected and analysed through a systematic, objective and well-designed process, and is not be just hearsay. Scientific uncertainty associated with the use of traditional, fisher or community knowledge can be assessed using a risk assessment/risk management approach, as specified in the Guidelines. In all cases, the management measures implemented by the management system must be based on the best scientific evidence available (Essential Component D.3.02).

**CONCLUSION****REFERENCES**

## D.5

## Evidence of alignment with applicable GSSI Essential Components for Fisheries Certification Standards

## ASSESSMENT METHODOLOGIES

## ► STOCK UNDER CONSIDERATION

## D.5 01 STOCK ASSESSMENT

## GSSI ESSENTIAL COMPONENT

The standard requires management decisions by the fishery management organization or arrangement (D.1.02) to be based on an assessment of the current status and trends of the stock under consideration, using adequate, reliable and current data and/or other information. Other information may include generic evidence based on similar stocks, when specific information on the stock under consideration is not available, providing there is low risk to the stock under consideration in accordance with the Precautionary Approach.

## GUIDANCE

This is a partner Essential Component to D.4.01 which covers the collection and maintenance of the data to be used in the stock assessment referred to in this Essential Component. The purpose of the stock assessment is to contribute to the best scientific evidence available which is used by the fishery management organization or arrangement (D.1.02) to establish management objectives for the stock under consideration (D.2), management measures (D.3) to meet those objectives and evidence regarding outcome status (D.6) - i.e. whether the objectives have been met.

The Ecolabelling Guidelines provide additional guidance on the use of data in the stock assessment. Specifically, in the absence of specific information on the stock under consideration, generic evidence based on similar stocks can be used for fisheries with low risk to that stock under consideration. The language of the Essential Component aligns with this text, however, it raises a concern that this approach could be used inappropriately in cases where the risk to the stock under consideration is not "low". The greater the risk, the more specific evidence is necessary to assess sustainability. In principle, 'generic evidence based on similar stocks' should not suffice, but it may be adequate where there is low risk to the stock under consideration. In general, "Low risk to the stock under consideration" would suggest that there is very little chance of the stock becoming overfished, for example where the exploitation rate is very low and the resilience of the stock is high (see Essential Component D.5.03). However, the Standard should make it clear that the evidence for low risk and the justification for using surrogate data must come from the stock assessment itself.

The aim of this Essential Component, in conjunction with Essential Component D.5.04, is to avoid the use of less elaborate methods of stock assessment automatically precluding fisheries from potential certification. Nevertheless, to the extent that the application of such methods results in greater uncertainty about the state of the stock under consideration, more precaution must be applied in managing fisheries on such stocks. This may, for example, necessitate lower levels of utilization of the resource than would be possible with lower levels of uncertainty, in accordance with the Essential Components covering the Precautionary Approach (D.3.12) and the Best Scientific Evidence Available (D.2.02 and D.3.02).

## RELATED SUPPLEMENTARY COMPONENTS

D.5 01 01

## CONCLUSION

MEL is in alignment because requirement(s) in the Fisheries Management Standard (version 2.0) and indicator(s) in the Fisheries Management Standard: Guidelines for Auditors - Indicators of Conformity - (version 2.1) state as follows;

Requirement 1.2.6 in the Fisheries Management Standard (version 2.0)

Taking due account of various uncertainty inherent in fisheries stocks, ecosystem and stock management, precautionary fisheries management is undertaken. There shall be a mechanism to change and improve management measures in an adaptive manner depending on the status of the stock under consideration and of the ecosystem.

Indicator(s) 1.2.6 (a) in the Fisheries Management Standard: Guidelines for Auditors - Indicators of Conformity - (version 2.1)

(a) Whether a mechanism exists in order to change and improve management measures in an adaptive manner to unexpected changes of the situation on the stock under consideration and relative matters due to environmental changes, etc.

- Existence of the mechanism of precautionary measures and adaptive management

Requirement 2.4 in the Fisheries Management Standard (version 2.0)

Assessment of the current status and trends of the stock under consideration shall be conducted based on the data and information collected, and management decisions shall be made accordingly taking into account the assessment results. The methodology and results of the assessment shall be made publicly available in a timely manner.

Indicator(s) 2.4 (a) and (b) in the Fisheries Management Standard: Guidelines for Auditors - Indicators of Conformity - (version 2.1)

(a) Whether an assessment is conducted with the best scientific evidence available. Further, whether an adaptive management with precautionary approach is implemented with regard to the result of the assessment.

- Implementation of an assessment with the best scientific evidence available

- Implementation of the adaptive management with precautionary approach based on the assessment above

(b) Whether the assessment is reflected in decision-making process to formulate a stock management guideline and a stock management plan.

- Existence of a report or minutes showing the reflection

Additional information for the above requirement(s) and indicator(s) can be found in the Fisheries Management Standard: Guidelines for Auditors - Indicators of Conformity - (version 2.1): Requirements 1.2.6 and 2.4; Indicators 1.2.6 (a), p. 16, and 2.4 (a) (b), p. 25-27. Examples of the requirement(s) in use can be found in the Assessment Report Fisheries Management Standard (Salmon, Hokkaido): Summary Evidence and Evidence 1.2.6 (a), p. 37-38, 2.4 (a) p. 57-58, and 2.4 (b), p. 59-60.

MOCA 2021 Update: MEL-J continues to be in alignment with this GSSI essential component because there have been no changes in its Fisheries Management Standard (version 2.0), 2018, or its Fisheries Management Standard: Guidelines for Auditors - Indicators of Conformity - (version 2.1), 2019. Additionally, the following MEL-J assessment and audit reports provide evidence or examples of alignment with this GSSI component:

1. Initial Assessment Report. Fukushima Federation of Fisheries Cooperative Associations, Mackerel Purse Seine Net Fishery. Certification No.: JFRC A 20F2800011. Summary Evidence and Evidence, Indicator 1.2.6(a), p. 36, Indicator 2.4(a), p. 57, and Indicator 2.4(b), p. 58.

2. Initial Assessment Report. Mankato Fisheries Cooperative Association, Japanese Pufferfish Longline Fishery. Certification No.: JFRC A 20F6900011. Summary Evidence and Evidence, Indicator 1.2.6(a), p. 36-38, Indicator 2.4(a), p. 55-57, and Indicator 2.4(b), p. 58.

3. Initial Assessment Report. Kii Channel Central Motor Vessel Boat Seine Cooperatives, Shirasu Boat Seine Net Fishery. Certification No.: JFRC A 20F5700011. Summary Evidence and Evidence, Indicator 1.2.6(a), p. 29-30, Indicator 2.4(a), p. 51-57, and Indicator 2.4(b), p. 58-59.

## REFERENCES

## D.5

*Evidence of alignment with applicable GSSI Essential Components for Fisheries Certification Standards***ASSESSMENT METHODOLOGIES****D.5 02 STOCK ASSESSMENT****GSSI ESSENTIAL COMPONENT**

The standard requires that the assessment of the current status and trends of the stock under consideration considers total fishing mortality on that stock from all sources including discards, unobserved mortality, incidental mortality, unreported catches and catches in all fisheries over its entire area of distribution.

**GUIDANCE**

This is a partner Essential Component to D.3.03. Management measures for the stock under consideration must be based on an assessment of that stock which takes account of all removals from the stock over its entire area of distribution, i.e. not just by the unit of certification but by all fisheries that utilize that stock, including bycatch, discards, unobserved mortality, incidental mortality, unreported catches, and catches taken outside of the unit of certification. Note that these terms are not defined here, or in the Glossary. They are used collectively in this context to cover all possible descriptions of fishery removals of the stock under consideration. See also Essential Component D.1.09 covering the effective and suitable monitoring, surveillance, control and enforcement of the fishery of which the unit of certification is a part.

Area of Distribution is described in the Glossary based on a CITES reference for species, but in the context of fish and fisheries, this can be used for stocks.

**CONCLUSION****REFERENCES**

# D.5

## *Evidence of alignment with applicable GSSI Essential Components for Fisheries Certification Standards*

### ASSESSMENT METHODOLOGIES

#### **D.5** **03** STOCK ASSESSMENT

##### GSSI ESSENTIAL COMPONENT

The standard requires that the assessment of the current status and trends of the stock under consideration takes into account the structure and composition of that stock which contribute to its resilience.

##### GUIDANCE

Resilience is described in the Glossary. Understanding the resilience of a stock (i.e. its ability to recover from a disturbance) is an important part of assessing that stock's status and trends and contributes to an assessment of the level of risk to that stock (see Essential Component D.5.01).

##### CONCLUSION

##### REFERENCES

## D.5

## Evidence of alignment with applicable GSSI Essential Components for Fisheries Certification Standards

### ASSESSMENT METHODOLOGIES

#### D.5 04 ENHANCED FISHERIES

##### GSSI ESSENTIAL COMPONENT

In the case of enhanced fisheries, the standard requires that the assessment of current status and trends of the stock under consideration includes an evaluation of whether there are significant negative impacts of enhancement activities on the naturally reproductive component of the stock under consideration.

##### GUIDANCE

This Essential Component addresses the need for standards to require an assessment to support the achievement of management objectives specified in Essential Component D.2.06. It refers to Enhanced Fisheries, hence it may be regarded as not applicable if the Scheme/Standard explicitly excludes enhanced fisheries (see also Guidance for D.2.06). The term natural reproductive stock components is explained in the Glossary. The term “significant negative impacts” is used in the Inland Guidelines. This was not intended to be equivalent to severe adverse impacts (on dependent predators). The consultation that resulted in the drafting of the Inland Guidelines considered that avoidance of “severe adverse impacts” only would not be consistent with a management obligation to manage enhancement in ways that would not impact the productivity and abundance of the natural reproductive stock component of the stock under consideration.

The Guidelines specifically require that naturally reproductive components of enhanced stocks are not substantially displaced by stocked components. In particular, displacement must not result in a reduction of the natural reproductive stock component below abundance-based target reference points (or their proxies). With respect to aquaculture production of organisms for stocking, there should be an advance evaluation of the effects of aquaculture development on genetic diversity and ecosystem integrity, based on the best scientific information available.

##### CONCLUSION

##### REFERENCES

# D.5

## *Evidence of alignment with applicable GSSI Essential Components for Fisheries Certification Standards*

### ASSESSMENT METHODOLOGIES

#### **D.5** **05** ENHANCED FISHERIES

##### GSSI ESSENTIAL COMPONENT

In the case of fisheries that are enhanced through aquaculture inputs, the standard requires that the stock assessment of the stock under consideration must consider the separate contributions from aquaculture and natural production.

##### GUIDANCE

This is a technical requirement applicable to stock assessments of fisheries that are enhanced through aquaculture inputs. If fisheries that are enhanced through aquaculture inputs are explicitly out of scope for the scheme, then this Essential Component is not applicable.

##### CONCLUSION

##### REFERENCES

## D.5

## Evidence of alignment with applicable GSSI Essential Components for Fisheries Certification Standards

## ASSESSMENT METHODOLOGIES

## ► ECOSYSTEM EFFECTS OF FISHING

## D.5 06 NON-TARGET CATCHES

## GSSI ESSENTIAL COMPONENT

The standard requires an assessment of the extent to which non-target catches and discards by the unit of certification of stocks other than the stock under consideration and any associated culture and enhancement activities threaten those non-target stocks with recruitment overfishing or other impacts that are likely to be irreversible or very slowly reversible.

## GUIDANCE

This is the partner Essential Component of D.4.03 that requires the collection and maintenance of adequate, reliable and current data and/or other information on non-target catches and discards in the unit of certification. Non-target catches and discards refers to species/stocks that are taken by the unit of certification other than the stock for which certification is being sought (see Glossary).

This Essential Component addresses the need for standards to require an assessment to support the achievement of management objectives specified in Essential Component D.2.07. This Essential Component is explicitly and deliberately confined to the effects of non-target catches and discards by the unit of certification on those non-target species/stocks. Cumulative effects on non-target species/stocks are not included in the Ecolabelling Guidelines. They are not part of the Essential Components, but they are covered in the Supplemental Components. The component relating to enhancement activity may be “not applicable” to schemes that explicitly do not cover enhanced fisheries. Non-target catches/stocks are described in the Glossary.

Examples of irreversible or very slowly reversible effects on bycatch species include excessive depletion of very long-lived organisms (see Glossary).

## RELATED SUPPLEMENTARY COMPONENTS

D.5 06 01      D.5 06 02

## CONCLUSION

MEL is in alignment because requirement(s) in the Fisheries Management Standard (version 2.0) and indicator(s) in the Fisheries Management Standard: Guidelines for Auditors - Indicators of Conformity - (version 2.1) state as follows;

Requirement 3.1.1 in the Fisheries Management Standard (version 2.0)

Data and/or other information based on the best scientific evidence available covering the following factors shall be collected and maintained in order to assess the impacts of the unit of certification on non-target stocks and ecosystem:

- (1) Catches and discard of non-target stocks
- (2) Impacts of the unit of certification on endangered species, and efforts to conserve and protect those species as well as to avoid by-catch of those species
- (3) Information on the essential habitat for stock under consideration (e.g. spawning and nursery sites)
- (4) Impacts of fishing gear used by the unit of certification on ecosystem (including the seabed)
- (5) Prey-predator relationship of the stock under consideration in the food-web
- (6) Balance of whole ecosystem (i.e. whether there is any severe disturbance by the unit of certification on ecosystem)

Indicator(s) 3.1.1 (a) (1) in the Fisheries Management Standard: Guidelines for Auditors - Indicators of Conformity - (version 2.1)

(a) Whether adequate, reliable and current data and/or other information of followings exist:

(1) Assessment of the extent to which non-target catches and discards by the unit of certification of stocks other than the stock under consideration threaten those non-target stocks with recruitment overfishing or other impacts that are likely to be irreversible or very slowly reversible with appropriate related data/information. - Existence of collected and maintained information referred in (1) - (5) above.

Standard 3.2 particularly requires the consideration of ecosystem in the associated fish farming and resource enhancement.

Requirement 3.2.3 in the Fisheries Management Standard (version 2.0)

(In case of the associated fish farming and resource enhancement.) There shall be continuous monitoring of the state of the stock under consideration and its habitat, and measures shall be implemented in order to avoid significant adverse impacts of enhancement activities on the natural reproductive stock components of the stock under consideration and ecosystem. Indicator(s) 3.2.3 (b) (1) in the Fisheries Management Standard: Guidelines for Auditors - Indicators of Conformity - (version 2.1)

(b) Whether following information about the impacts of release of artificial seedling on other species and the ecosystem exists:

(1) Assessment of the extent to which non-target catches and discards by associated culture and enhancement activities threaten those non-target stocks with recruitment overfishing or other impacts that are likely to be irreversible or very slowly reversible.

- Existence of information about impacts on other species and the ecosystem referred in (1) - (4) above.

- Existence of information about the distributional area of seedling and growth after the seedling is released, including information to confirm that the natural reproductive stock component of enhanced stocks is not substantially displaced by stocked components.

Additional information for the above requirement(s) and indicator(s) can be found in the Fisheries Management Standard: Guidelines for Auditors - Indicators of Conformity - (version 2.1):

Requirements 3.1.1 and 3.2.3; Indicators 3.1.1 (a) (1), p. 37-40. and 3.2.3 (b) (1), p. 53-56.

Examples of the requirement(s) in use can be found in the Assessment Report Fisheries Management Standard (Salmon, Hokkaido): Summary Evidence and Evidence 3.1.1 (a), p. 76-81. and 3.2.3 (b), p. 102-103.

MOCA 2021 Update: MEL-J continues to be in alignment with this GSSI essential component because there have been no changes in its Fisheries Management Standard (version 2.0), 2018, or its Fisheries Management Standard: Guidelines for Auditors – Indicators of Conformity – (version 2.1), 2019. Additionally, the following MEL-J assessment and audit reports provide evidence or examples of alignment with this GSSI component:

- 1. Initial Assessment Report. Fukushima Federation of Fisheries Cooperative Associations, Mackerel Purse Seine Net Fishery. Certification No.: JFRCA 20F2800011. Summary Evidence and Evidence, Indicator 3.1.1(a)(1), p. 76-81.

- 2. Initial Assessment Report. Munakata Fisheries Cooperative Association, Japanese Pufferfish Longline Fishery. Certification No.: JFRCA 20F6900011. Summary Evidence and Evidence, Indicator 3.1.1(a)(1), p. 75-79 and Indicator 3.2.3(b)(1), p. 101-102.

- 3. Initial Assessment Report. Kii Channel Central Motor Vessel Boat Seine Cooperatives, Shirasu Boat Seine Net Fishery. Certification No.: JFRCA 20F5700011. Summary Evidence, Indicator 3.1.1(a)

(1), p. 83-89.

## REFERENCES

## D.5

## Evidence of alignment with applicable GSSI Essential Components for Fisheries Certification Standards

## ASSESSMENT METHODOLOGIES

D.5

07

## ECOSYSTEM STRUCTURE, PROCESSES AND FUNCTION

## GSSI ESSENTIAL COMPONENT

The standard requires an analysis of the effects of the unit of certification, including any associated enhancement activities where applicable, on ecosystem structure, processes and function to develop timely scientific advice on the likelihood and magnitude of impacts.

## GUIDANCE

This is the partner Essential Component of D.4.02 that requires the collection and maintenance of adequate, reliable and current data and/or other information about the effects of the unit of certification, including any enhancement activities, on ecosystem structure, processes and function. The component relating to enhancement activity may be “not applicable” to schemes that explicitly do not cover enhanced fisheries. Ecosystem structure, processes and function are described in the Glossary. This language is in accordance with Section 4.1.4.1 of the FAO Ecosystem Approach to Fisheries, which suggests one of the broad management objectives for fisheries could be to keep impact on the structure, processes and functions of the ecosystem at an acceptable level.

This requirement is about the analysis of these data to develop the best scientific evidence available regarding the ecosystem effects of fishing, which is used by the fishery management organization or arrangement (D.1.02) to establish management objectives (D.2) and management measures (D.3) to meet those objectives.

The data and analysis may include local, traditional or indigenous knowledge and research, providing its validity can be objectively verified.

As expressed in the Guidance relating to the Essential Component on the precautionary approach (D.3.12), much greater scientific uncertainty is to be expected in assessing possible adverse ecosystem impacts of fisheries than in assessing the state of target stocks. This issue can be addressed by taking a risk assessment/risk management approach. Note that some ecosystem impacts such as those on bycatch species are often more readily quantifiable than others, such as those on habitat. While a risk assessment approach may mitigate a lack of quantitative information, the management system must still ensure adequate mitigation of adverse impacts.

## CONCLUSION

MEL is in alignment because requirement(s) in the Fisheries Management Standard (version 2.0) and indicator(s) in the Fisheries Management Standard: Guidelines for Auditors - Indicators of Conformity - (version 2.1) state as follows;

Requirement 3.1.1 in the Fisheries Management Standard (version 2.0)

Data and/or other information based on the best scientific evidence available covering the following factors shall be collected and maintained in order to assess the impacts of the unit of certification on non-target stocks and ecosystem:

- (1) Catches and discard of non-target stocks
- (2) Impacts of the unit of certification on endangered species, and efforts to conserve and protect those species as well as to avoid by-catch of those species
- (3) Information on the essential habitat for stock under consideration (e.g. spawning and nursery sites)
- (4) Impacts of fishing gear used by the unit of certification on ecosystem (including the seabed)
- (5) Prey-predator relationship of the stock under consideration in the food-web
- (6) Balance of whole ecosystem (i.e. whether there is any severe disturbance by the unit of certification on ecosystem)

Indicator(s) 3.1.1 (a) (5) in the Fisheries Management Standard: Guidelines for Auditors - Indicators of Conformity - (version 2.1)

(a) Whether adequate, reliable and current data and/or other information of followings exist:

(5) Analysis of the effects of the unit of certification on ecosystem structure, processes and function to develop timely scientific advice on the likelihood and magnitude of impacts with appropriate related data/information in accordance with applicable international standards and practices.

- Existence of collected and maintained information referred in (1) - (5) above.

Standard 3.2 particularly requires the consideration of ecosystem in the associated fish farming and resource enhancement.

Requirement 3.2.3 in the Fisheries Management Standard (version 2.0)

(In case of the associated fish farming and resource enhancement.) There shall be continuous monitoring of the state of the stock under consideration and its habitat, and measures shall be implemented in order to avoid significant adverse impacts of enhancement activities on the natural reproductive stock components of the stock under consideration and ecosystem.

Indicator(s) 3.2.3 (b) (4) in the Fisheries Management Standard: Guidelines for Auditors - Indicators of Conformity - (version 2.1)

(b) Whether following information about the impacts of release of artificial seedling on other species and the ecosystem exists:

(4) Analysis of the effects of associated culture and enhancement activities on ecosystem structure, processes and function to develop timely scientific advice on the likelihood and magnitude of impacts with appropriate related data/information in accordance with applicable international standards and practices.

- Existence of information about the distributional area of seedling and growth after the seedling is released, including information to confirm that the natural reproductive stock component of

enhanced stocks is not substantially displaced by stocked components.

- Existence of information about impacts on other species and the ecosystem referred in (1) - (4) above.

Additional information for the above requirement(s) and indicator(s) can be found in the Fisheries Management Standard: Guidelines for Auditors - Indicators of Conformity - (version 2.1): Requirements 3.1.1, 3.2.3; indicators 3.1.1 (a) (5), p. 37-40 and 3.2.3 (b) (4), p. 53-56. Examples of the requirement(s) in use can be found in the Assessment Report Fisheries Management Standard (Salmon, Hokkaido): Summary Evidence and Evidence 3.1.1 (a), p. 76-81, and 3.2.3 (b), p. 102-103.

MOCA 2021 Update: MEL-J continues to be in alignment with this GSSI essential component because there have been no changes in its Fisheries Management Standard (version 2.0), 2018, or its Fisheries Management Standard: Guidelines for Auditors - Indicators of Conformity - (version 2.1), 2019. Additionally, the following MEL-J assessment and audit reports provide evidence or examples of alignment with this GSSI component:

1. Initial Assessment Report. Fukushima Federation of Fisheries Cooperative Associations, Mackerel Purse Seine Net Fishery. Certification No.: JFRCA 20F2800011. Summary Evidence and Evidence, Indicator 3.1.1(a)(5), p. 76-81.
2. Initial Assessment Report. Munakata Fisheries Cooperative Association, Japanese Pufferfish Longline Fishery. Certification No.: JFRCA 20F6900011. Summary Evidence and Evidence, Indicator 3.1.1(a)(5), p. 75-79 and Indicator 3.2.3(b)(4), p. 101-102.
3. Initial Assessment Report. Kii Channel Central Motor Vessel Boat Seine Cooperatives, Shirasu Boat Seine Net Fishery. Certification No.: JFRCA 20F5700011. Summary Evidence and Evidence, Indicator 3.1.1(a)(5), p. 83-89.

## REFERENCES

## D.5

## Evidence of alignment with applicable GSSI Essential Components for Fisheries Certification Standards

## ASSESSMENT METHODOLOGIES

## D.5 08 HABITAT

## GSSI ESSENTIAL COMPONENT

The standard requires an assessment of the impacts of the unit of certification, including any associated enhancement activities where applicable, on essential habitats for the stock under consideration and on habitats that are highly vulnerable to damage by the fishing gear of the unit of certification. The assessment should consider the full spatial range of the relevant habitat, not just that part of the spatial range that is potentially affected by fishing.

## GUIDANCE

This is the partner Essential Component of D.4.05 that requires knowledge within the fishery management system of the essential habitats for the stock under consideration and habitats that are highly vulnerable to damage by the fishing gear of the unit of certification. Under this Essential Component the standard must require an assessment of the impacts of the unit of certification on these habitats. The component relating to enhancement activity may be “not applicable” to schemes that explicitly do not cover enhanced fisheries. The results of the assessment should provide sufficient understanding of the relevant habitats and fishery impacts on them to enable those impacts to be avoided, minimized or mitigated; i.e. for the management objective with respect to habitat (D.2.09) to be achieved. The achievement of this Essential Component should be considered alongside D.4.05 and D.6.07. In particular, the FAO Ecolabelling Guidelines acknowledge the importance of a “risk assessment/risk management approach” to address the issue of greater scientific uncertainty; also that the most probable adverse impacts should be considered, taking into account available scientific information, and traditional, fisher or community knowledge provided that its validity can be objectively verified.

## CONCLUSION

MEL is in alignment because requirement(s) in the Fisheries Management Standard (version 2.0) and indicator(s) in the Fisheries Management Standard: Guidelines for Auditors - Indicators of Conformity - (version 2.1) state as follows:

Requirement 3.1.1 in the Fisheries Management Standard (version 2.0)

Data and/or other information based on the best scientific evidence available covering the following factors shall be collected and maintained in order to assess the impacts of the unit of certification on non-target stocks and ecosystem:

- (1) Catches and discard of non-target stocks
- (2) Impacts of the unit of certification on endangered species, and efforts to conserve and protect those species as well as to avoid by-catch of those species
- (3) Information on the essential habitat for stock under consideration (e.g. spawning and nursery sites)
- (4) Impacts of fishing gear used by the unit of certification on ecosystem (including the seabed)
- (5) Prey-predator relationship of the stock under consideration in the food-web
- (6) Balance of whole ecosystem (i.e. whether there is any severe disturbance by the unit of certification on ecosystem)

Indicator(s) 3.1.1 (a) (3) in the Fisheries Management Standard: Guidelines for Auditors - Indicators of Conformity - (version 2.1)

(a) Whether adequate, reliable and current data and/or other information of followings exist:

- (3) Assessment of the impacts of the unit of certification on essential habitats for the stock under consideration and on habitats that are highly vulnerable to damage by the fishing gear of the unit of certification in the full spatial range of the relevant habitat, not just that part of the spatial range that is potentially affected by fishing with appropriate related data/information.
- Existence of collected and maintained information referred in (1) - (5) above.

Standard 3.2 particularly requires the consideration of ecosystem in the associated fish farming and resource enhancement.

Requirement 3.2.3 in the Fisheries Management Standard (version 2.0)

(In case of the associated fish farming and resource enhancement,) There shall be continuous monitoring of the state of the stock under consideration and its habitat, and measures shall be implemented in order to avoid significant adverse impacts of enhancement activities on the natural reproductive stock components of the stock under consideration and ecosystem.

Indicator(s) 3.2.3 (b) (3) in the Fisheries Management Standard: Guidelines for Auditors - Indicators of Conformity - (version 2.1)

(b) Whether following information about the impacts of release of artificial seedling on other species and the ecosystem exists:

- (3) Assessment of the impacts of associated culture and enhancement activities on essential habitats for the stock under consideration and on habitats that are highly vulnerable to damage by the fishing gear of the unit of certification in the full spatial range of the relevant habitat, not just that part of the spatial range that is potentially affected by fishing

- Existence of information about the distributional area of seedling and growth after the seedling is released, including information to confirm that the natural reproductive stock component of enhanced stocks is not substantially displaced by stocked components.
- Existence of information about impacts on other species and the ecosystem referred in (1) - (4) above.

Additional information for the above requirement(s) and indicator(s) can be found in the Fisheries Management Standard: Guidelines for Auditors - Indicators of Conformity - (version 2.1):

Requirements 3.1.1 and 3.2.3; Indicators 3.1.1 (a) (3), p. 37-40 and 3.2.3 (b) (3), p. 53-56. Examples of the requirement(s) in use can be found in the Assessment Report Fisheries Management Standard (Salmon, Hokkaido): Summary Evidence and Evidence 3.1.1 (a), p. 76-81, and 3.2.3 (b), p. 102-103.

MOCA 2021 Update: MEL-J continues to be in alignment with this GSSI essential component because there have been no changes in its Fisheries Management Standard (version 2.0), 2018, or its Fisheries Management Standard: Guidelines for Auditors - Indicators of Conformity - (version 2.1), 2019. Additionally, the following MEL-J assessment and audit reports provide evidence or examples of alignment with this GSSI component:

1. Initial Assessment Report. Fukushima Federation of Fisheries Cooperative Associations, Mackerel Purse Seine Net Fishery. Certification No.: JFRCA 20F2800011. Summary Evidence and Evidence, Indicator 3.1.1(a)(3), p. 76-81.
2. Initial Assessment Report. Munakata Fisheries Cooperative Association, Japanese Pufferfish Longline Fishery. Certification No.: JFRCA 20F6900011. Summary Evidence and Evidence, Indicator 3.1.1(a)(3), p. 75-79 and Indicator 3.2.3(b)(3), p. 101-102.
3. Initial Assessment Report. Kii Channel Central Motor Vessel Boat Seine Cooperatives, Shirasu Boat Seine Net Fishery. Certification No.: JFRCA 20F5700011. Summary Evidence and Evidence, Indicator 3.1.1(a)(3), p. 83-89.

## D.5

*Evidence of alignment with applicable GSSI Essential Components for Fisheries Certification Standards***ASSESSMENT METHODOLOGIES****D.5 09 DEPENDANT PREDATORS****GSSI ESSENTIAL COMPONENT**

The standard requires that data and information on the role of the stock under consideration in the food-web are assessed to determine whether it is a key prey species in the ecosystem, and if so whether fishing on that stock might result in severe adverse impacts on dependent predators.

**GUIDANCE**

The purpose of assessing the data and information is to provide adequate knowledge of the role of the stock under consideration in the food-web. Adequate knowledge means there is enough understanding of the role of the stock under consideration in the food-web to determine whether it is a key prey species and, if so, whether fishing on that stock under consideration might result in severe adverse impacts on dependent predators.

**CONCLUSION****REFERENCES**

## D.5

## Evidence of alignment with applicable GSSI Essential Components for Fisheries Certification Standards

## ASSESSMENT METHODOLOGIES

## D.5 10 ENDANGERED SPECIES

## GSSI ESSENTIAL COMPONENT

The standard requires an assessment of the impacts of the unit of certification, including any associated enhancement activities where applicable, on endangered species.

## GUIDANCE

This is the partner Essential Component of D.4.04 that requires the collection and maintenance of adequate, reliable and current data and/or other information about the effects of the unit of certification, including any enhancement activities, on endangered species. Under this Essential Component the standard must require and assessment of the impacts of the unit of certification on these species. The component relating to enhancement activity may be “not applicable” to schemes that explicitly do not cover enhanced fisheries. The results of the assessment should provide sufficient understanding of the relevant endangered species and fishery impacts on them to enable their protection from those impacts; i.e. for the management objective with respect to endangered species (D.2.08) to be achieved.

The achievement of this Essential Component should be considered alongside D.4.04 and D.6.06. In particular, the FAO Guidelines acknowledge the importance of a “risk assessment/risk management approach” to address the issue of greater scientific uncertainty associated with ecosystem impacts; also that the most probable adverse impacts should be considered, taking into account available scientific information, and traditional, fisher or community knowledge provided that its validity can be objectively verified.

## CONCLUSION

MEL is in alignment because requirement(s) in the Fisheries Management Standard (version 2.0) and indicator(s) in the Fisheries Management Standard: Guidelines for Auditors - Indicators of Conformity - (version 2.1) state as follows:

Requirement 3.1.1 in the Fisheries Management Standard (version 2.0)

Data and/or other information based on the best scientific evidence available covering the following factors shall be collected and maintained in order to assess the impacts of the unit of certification on non-target stocks and ecosystem:

- (1) Catches and discard of non-target stocks
- (2) Impacts of the unit of certification on endangered species, and efforts to conserve and protect those species as well as to avoid by-catch of those species
- (3) Information on the essential habitat for stock under consideration (e.g. spawning and nursery sites)
- (4) Impacts of fishing gear used by the unit of certification on ecosystem (including the seabed)
- (5) Prey-predator relationship of the stock under consideration in the food-web
- (6) Balance of whole ecosystem (i.e. whether there is any severe disturbance by the unit of certification on ecosystem)

Indicator(s) 3.1.1 (a) (2) in the Fisheries Management Standard: Guidelines for Auditors - Indicators of Conformity - (version 2.1)

(a) Whether adequate, reliable and current data and/or other information of followings exist:

- (2) Assessment of the impacts of the unit of certification on endangered species with appropriate related data/information collected in accordance with applicable international standards and practices.
- Existence of collected and maintained information referred in (1) - (5) above.

Standard 3.2 particularly requires the consideration of ecosystem in the associated fish farming and resource enhancement.

Requirement 3.2.3 in the Fisheries Management Standard (version 2.0)

(In case of the associated fish farming and resource enhancement,) There shall be continuous monitoring of the state of the stock under consideration and its habitat, and measures shall be implemented in order to avoid significant adverse impacts of enhancement activities on the natural reproductive stock components of the stock under consideration and ecosystem.

Indicator(s) 3.2.3 (b) (2) in the Fisheries Management Standard: Guidelines for Auditors - Indicators of Conformity - (version 2.1)

(b) Whether following information about the impacts of release of artificial seedling on other species and the ecosystem exists:

- (2) Assessment of the impacts of associated culture and enhancement activities on endangered species with appropriate related data/information collected in accordance with applicable international standards and practices.

- Existence of information about the distributional area of seedling and growth after the seedling is released, including information to confirm that the natural reproductive stock component of enhanced stocks is not substantially displaced by stocked components.
- Existence of information about impacts on other species and the ecosystem referred in (1) - (4) above.

Additional information for the above requirement(s) and indicator(s) can be found in the Fisheries Management Standard: Guidelines for Auditors - Indicators of Conformity - (version 2.1): Requirements 3.1.1, 3.2.3; Indicators 3.1.1 (a) (2), p. 37-40, and 3.2.3 (b) (2), p. 53-56. Examples of the requirement(s) in use can be found in the Assessment Report Fisheries Management Standard (Salmon, Hokkaido): Summary Evidence and Evidence 3.1.1 (a), p. 76-81, and 3.2.3 (b), p. 102-103.

MOCA 2021 Update: MEL-J continues to be in alignment with this GSSI essential component because there have been no changes in its Fisheries Management Standard (version 2.0), 2018, or its Fisheries Management Standard: Guidelines for Auditors – Indicators of Conformity – (version 2.1), 2019. Additionally, the following MEL-J assessment and audit reports provide evidence or examples of alignment with this GSSI component:

1. Initial Assessment Report. Fukushima Federation of Fisheries Cooperative Associations, Mackerel Purse Seine Net Fishery. Certification No.: JFRCA 20F2800011. Summary Evidence and Evidence, Indicator 3.1.1(a)(2), p. 76-81.
2. Initial Assessment Report. Munakata Fisheries Cooperative Association, Japanese Pufferfish Longline Fishery. Certification No.: JFRCA 20F6900011. Summary Evidence and Evidence, Indicator 3.1.1(a)(2), p. 75-79 and Indicator 3.2.3(b)(2), p. 101-102.
3. Initial Assessment Report. Kii Channel Central Motor Vessel Boat Seine Cooperatives, Shirasu Boat Seine Net Fishery. Certification No.: JFRCA 20F5700011. Summary Evidence and Evidence, Indicator 3.1.1(a)(2), p. 83-89.

## REFERENCES

## D.6

*Evidence of alignment with applicable GSSI Essential Components for Fisheries Certification Standards***STOCK AND ECOSYSTEM STATUS AND OUTCOMES****► STOCK UNDER CONSIDERATION****D.6 01 TARGET STOCK STATUS****GSSI ESSENTIAL COMPONENT**

The standard requires that the stock under consideration is not overfished.

**GUIDANCE**

The stock under consideration is considered to be overfished if its stock size is below its limit reference point (or its proxy). Decision rules should avoid stocks falling below Blim but sometimes they do not for reasons that may or may not be wholly or partly due to the fishery and/or the management of the fishery. Nevertheless, the language in the Guidelines states that “the stock under consideration is not overfished, and is maintained at a level which promotes the objective of optimal utilization and maintains its availability for present and future generations.” If the stock under consideration of a certified fishery becomes overfished, the scheme should cause the certification of this fishery to be suspended or revoked.

**CONCLUSION****REFERENCES**

## D.6

*Evidence of alignment with applicable GSSI Essential Components for Fisheries Certification Standards***STOCK AND ECOSYSTEM STATUS AND OUTCOMES****D.6 02 TARGET STOCK STATUS****GSSI ESSENTIAL COMPONENT**

The standard requires the existence of outcome indicator(s) consistent with achieving management objectives for the stock under consideration (D.2.01, D.2.03, D.2.04).

**GUIDANCE**

The relevant management objectives are those referred to in Performance Area 2 and are for the whole of the stock under consideration. The outcome indicators should be consistent with demonstrating that the management objectives have been effectively achieved. Outcome indicators are required for all management objectives for the stock under consideration, which may include, for example, target reference points that take into account the requirements of dependent predators, where appropriate (D.2.10).

**CONCLUSION****REFERENCES**

## D.6

## Evidence of alignment with applicable GSSI Essential Components for Fisheries Certification Standards

## STOCK AND ECOSYSTEM STATUS AND OUTCOMES

## D.6 03 ENHANCED FISHERIES

## GSSI ESSENTIAL COMPONENT

The standard requires that the natural reproductive stock components of enhanced stocks are not overfished.

## GUIDANCE

All Essential Components that address Enhanced Fisheries can be “not applicable” to schemes that explicitly do not cover these fisheries. In the case of enhanced fisheries, the stock under consideration may comprise naturally reproductive components and components maintained by stocking. The natural reproductive stock component of enhanced stocks is described in the Glossary. In the context of avoiding significant negative impacts of enhancement activities on the natural reproductive components of the stock under consideration, the Inland Ecolabelling Guidelines state that displacement [of the naturally reproductive components of enhanced stocks by stocked components] must not result in a reduction of the natural reproductive stock component below abundance-based target reference points (or their proxies).

Decision rules (D.3.05) should avoid stocks falling below Blim but sometimes they do not for reasons that may or may not be wholly or partly due to the fishery and/or the management of the fishery. Nevertheless, the language in the Guidelines states that both the stock under consideration and the naturally reproductive components of enhanced stocks are not overfished. In addition, naturally reproductive components of enhanced stocks are not substantially displaced by stocked components. If the stock under consideration of a certified fishery becomes overfished, the scheme should cause the certification of this fishery to be suspended or revoked.

## CONCLUSION

MEL is in alignment because requirement(s) in the Fisheries Management Standard (version 2.0) and indicator(s) in the Fisheries Management Standard: Guidelines for Auditors - Indicators of Conformity - (version 2.1) state as follows;

Requirement 2.7 in the Fisheries Management Standard (version 2.0)

The stock under consideration is not overfished. In the event that the status of the stock drops below levels at which remedial actions should be undertaken, necessary measures shall be implemented in a timely manner in order to avoid recruitment overfishing.

Indicator(s) 2.7 (b) in the Fisheries Management Standard: Guidelines for Auditors - Indicators of Conformity - (version 2.1)

(b) Whether the stock under consideration is not overfished.

- Status of the stock under consideration

Standard 3.2 particularly requires the consideration of ecosystem in the associated fish farming and resource enhancement. Requirement 3.2.2 in the Fisheries Management Standard (version 2.0) (In case of the associated fish farming and resource enhancement.) Management objectives shall be developed to maintain the natural reproductive stock components of the stock under consideration at a sustainable level, and management measures shall be implemented that are consistent with achieving these management objectives.

Indicator(s) 3.2.2 (b) in the Fisheries Management Standard: Guidelines for Auditors - Indicators of Conformity - (version 2.1)

(b) Whether management objectives for avoiding significant negative impacts of enhancement activities on the natural reproductive stock component of the stock under consideration and any other wild stocks from which the organisms for stocking are being removed and management measures designed to achieve the management objectives exist.

- Existence of management objectives, management measures (including those equivalent thereto)

Additional information for the above requirement(s) and indicator(s) can be found in the Fisheries Management Standard: Guidelines for Auditors - Indicators of Conformity - (version 2.1); Requirements 2.7 and 3.2.2; Indicators 2.7 (b), p. 34-36 and 3.2.2 (b), p. 50-52. Examples of the requirement(s) in use can be found in the Assessment Report Fisheries Management Standard (Salmon, Hokkaido); Summary Evidence and Evidence 2.7 (b), p. 73-74. and 3.2.2 (b), p. 98-99.

MOCA 2021 Update: MEL-J continues to be in alignment with this GSSI essential component because there have been no changes in its Fisheries Management Standard (version 2.0), 2018, or its Fisheries Management Standard: Guidelines for Auditors - Indicators of Conformity - (version 2.1), 2019. Additionally, the following MEL-J assessment and audit reports provide evidence or examples of alignment with this GSSI component:

1. Initial Assessment Report. Mankato Fisheries Cooperative Association, Japanese Pufferfish Longline Fishery. Certification No.: JFRCA 20F6900011. Summary Evidence and Evidence, Indicators 3.2.2(a)-(c), p. 93-98.
2. First Annual Surveillance Report. Hokkaido Federation of Fisheries Cooperative Associations, Chum Salmon Set-net Fishery. Certification No.: JFRCA 20F2200011. Summary Evidence and Evidence, Indicators 3.2.2(a)-(c), p. 117-120.

## REFERENCES

## D.6

## Evidence of alignment with applicable GSSI Essential Components for Fisheries Certification Standards

## STOCK AND ECOSYSTEM STATUS AND OUTCOMES

## D.6 04 ENHANCED FISHERIES

## GSSI ESSENTIAL COMPONENT

In the case of enhanced fisheries, the standard requires that the natural reproductive stock component of enhanced stocks is not substantially displaced by stocked components.

## GUIDANCE

All Essential Components that address Enhanced Fisheries can be “not applicable” to schemes that explicitly do not cover these fisheries. In the case of enhanced fisheries, the stock under consideration may comprise naturally reproductive components and components maintained by stocking. The natural reproductive stock component of enhanced stocks is described in the Glossary.

With respect to “substantially displaced”, in particular, displacement must not result in a reduction of the natural reproductive stock component below abundance-based target reference points (or their proxies).

## CONCLUSION

MEL is in alignment because requirement(s) in the Fisheries Management Standard (version 2.0) and indicator(s) in the Fisheries Management Standard: Guidelines for Auditors - Indicators of Conformity - (version 2.1) state as follows;

Standard 3.2 particularly requires the consideration of ecosystem in the associated fish farming and resource enhancement. Requirement 3.2.3 in the Fisheries Management Standard (version 2.0)

(In case of the associated fish farming and resource enhancement,) There shall be continuous monitoring of the state of the stock under consideration and its habitat, and measures shall be implemented in order to avoid significant adverse impacts of enhancement activities on the natural reproductive stock components of the stock under consideration and ecosystem.

Indicator(s) 3.2.3 (b) in the Fisheries Management Standard: Guidelines for Auditors - Indicators of Conformity - (version 2.1)

(a) Whether following information about the impacts of release of artificial seedling on other species and the ecosystem exists:

- (1) Assessment of the extent to which non-target catches and discards by associated culture and enhancement activities threaten those non-target stocks with recruitment overfishing or other impacts that are likely to be irreversible or very slowly reversible.
- (2) Assessment of the impacts of associated culture and enhancement activities on endangered species with appropriate related data/information collected in accordance with applicable international standards and practices.
- (3) Assessment of the impacts of associated culture and enhancement activities on essential habitats for the stock under consideration and on habitats that are highly vulnerable to damage by the fishing gear of the unit of certification in the full spatial range of the relevant habitat, not just that part of the spatial range that is potentially affected by fishing.
- (4) Analysis of the effects of associated culture and enhancement activities on ecosystem structure, processes and function to develop timely scientific advice on the likelihood and magnitude of impacts with appropriate related data/information in accordance with applicable international standards and practices.

- Existence of information about impacts on other species and the ecosystem referred in (1) - (4) above.

- Existence of information about the distributional area of seedling and growth after the seedling is released, including information to confirm that the natural reproductive stock component of enhanced stocks is not substantially displaced by stocked components.

Additional information for the above requirement(s) and indicator(s) can be found in the Fisheries Management Standard: Guidelines for Auditors - Indicators of Conformity - (version 2.1); Requirements 3.2.3; Indicators 3.2.3 (b). p. 53-56 Examples of the requirement(s) in use can be found in the Assessment Report Fisheries Management Standard (Salmon, Hokkaido): Summary Evidence and Evidence 3.2.3 (b). p. 102-103.

MOCA 2021 Update: MEL-J continues to be in alignment with this GSSI essential component because there have been no changes in its Fisheries Management Standard (version 2.0), 2018, or its Fisheries Management Standard: Guidelines for Auditors - Indicators of Conformity - (version 2.1), 2019. Additionally, the following MEL-J assessment and audit reports provide evidence or examples of alignment with this GSSI component:

1. Initial Assessment Report. Munakata Fisheries Cooperative Association, Japanese Pufferfish Longline Fishery. Certification No.: JFRCA 20F6900011. Summary Evidence and Evidence, Indicators 3.2.2(a)-(c), p. 93-98.
2. First Annual Surveillance Report. Hokkaido Federation of Fisheries Cooperative Associations, Chum Salmon Set-net Fishery. Certification No.: JFRCA 20F2200011. Summary Evidence and Evidence, Indicators 3.2.2(a)-(c), p. 117-120.

## REFERENCES

## D.6

*Evidence of alignment with applicable GSSI Essential Components for Fisheries Certification Standards***STOCK AND ECOSYSTEM STATUS AND OUTCOMES**► **ECOSYSTEM EFFECTS OF FISHING****D.6 05 NON-TARGET CATCHES****GSSI ESSENTIAL COMPONENT**

The standard requires the existence of outcome indicator(s) consistent with achieving management objectives for non-target stocks (D.2.05).

**GUIDANCE**

The relevant management objectives are those referred to in Performance Area 2 and are for non-target species/stocks. The outcome indicators should be consistent with demonstrating that the management objectives (D.2.07) have been effectively achieved. Non-target stocks refer to species/stocks that are taken by the unit of certification other than the stock for which certification is being sought (see Glossary).

Examples of irreversible or very slowly reversible effects on bycatch species include excessive depletion of very long-lived organisms (see Glossary). To mitigate effects that are likely to be irreversible or very slowly reversible requires those effects to be made less severe such that they are no longer likely to be irreversible or very slowly reversible.

**CONCLUSION****REFERENCES**

## D.6

*Evidence of alignment with applicable GSSI Essential Components for Fisheries Certification Standards***STOCK AND ECOSYSTEM STATUS AND OUTCOMES****D.6 06 ENDANGERED SPECIES****GSSI ESSENTIAL COMPONENT**

The standard requires the existence of outcome indicator(s) consistent with achieving management objectives (D.2.08) that seek to ensure that Endangered species are protected from adverse impacts resulting from interactions with the unit of certification and any associated culture or enhancement activity, including recruitment overfishing or other impacts that are likely to be irreversible or very slowly reversible.

**GUIDANCE**

The context of this Essential Component is Endangered Species. Endangered species are defined in the Glossary. These species are already adversely impacted at the population level, by definition, and are susceptible to further adverse impacts at this level from which they need to be protected. Where “adverse impacts” is used in relation to Endangered Species in the FAO Guidelines there is no further qualification provided (i.e. no “significant” or “severe”). Elsewhere in the Guidelines, the term “adverse impacts” is qualified, but in each case this is in a very specific context. For example, the term “significant negative impacts” is used in the FAO Ecolabelling Guidelines only in relation to enhanced fisheries and “severe adverse impacts” is used only in relation to dependent predators. The term “significant adverse impacts” occurs only in the Deep Sea Guidelines with respect to VMEs.

The outcome indicators required by the standard should be consistent with demonstrating that the management objectives for Endangered Species (D.2.08) have been effectively achieved. The actual outcome would be measures by an assessment required under D.5.10.

The FAO Ecolabelling Guidelines acknowledge that much greater scientific uncertainty is to be expected in assessing possible adverse ecosystem impacts of fisheries than in assessing the state of target stocks (paragraph 31 (41)), hence the outcome indicators necessary to meet this Essential Component should take into account risk and uncertainty.

**CONCLUSION****REFERENCES**

## D.6

*Evidence of alignment with applicable GSSI Essential Components for Fisheries Certification Standards***STOCK AND ECOSYSTEM STATUS AND OUTCOMES****D.6 07 HABITAT****GSSI ESSENTIAL COMPONENT**

The standard requires the existence of outcome indicator(s) consistent with achieving management objectives (D.2.09) for avoiding, minimizing or mitigating the impacts of the unit of certification on essential habitats for the “stock under consideration” and on habitats that are highly vulnerable to damage by the fishing gear of the unit of certification.

**GUIDANCE**

The outcome indicators should be consistent with demonstrating that the management objectives have been effectively achieved for habitat (D.2.09).

Essential habitats are described in the Glossary. Examples of impacts on habitat that should be avoided include the destruction or severe modification of rare and/or vulnerable habitats. In assessing fishery impacts, the full spatial range of the relevant habitat should be considered, not just that part of the spatial range that is potentially affected by fishing.

The FAO Guidelines acknowledge that much greater scientific uncertainty is to be expected in assessing possible adverse ecosystem impacts of fisheries than in assessing the state of target stocks (paragraph 31 (41)), hence the outcome indicators necessary to meet this Essential Component should take into consideration risk and uncertainty.

**RELATED SUPPLEMENTARY COMPONENTS**

D.6 07 01

**CONCLUSION****REFERENCES**

## D.6

*Evidence of alignment with applicable GSSI Essential Components for Fisheries Certification Standards***STOCK AND ECOSYSTEM STATUS AND OUTCOMES****D.6 08 DEPENDANT PREDATORS****GSSI ESSENTIAL COMPONENT**

The standard includes outcome indicator(s) consistent with achieving management objectives (D.2.10) that seek to avoid severe adverse impacts on dependent predators resulting from fishing on a stock under consideration that is a key prey species.

**GUIDANCE**

The outcome indicators should be consistent with demonstrating that the management objectives have been effectively achieved for dependent predators (D.2.10). Dependent predators are described in the Glossary.

The FAO Guidelines acknowledge that much greater scientific uncertainty is to be expected in assessing possible adverse ecosystem impacts of fisheries than in assessing the state of target stocks (paragraph 31 (41)), hence the outcome indicators should take into account risk and uncertainty.

**CONCLUSION****REFERENCES**

## D.6

*Evidence of alignment with applicable GSSI Essential Components for Fisheries Certification Standards***STOCK AND ECOSYSTEM STATUS AND OUTCOMES****D.6 09 ECOSYSTEM STRUCTURE, PROCESSES AND FUNCTION****GSSI ESSENTIAL COMPONENT**

The standard requires the existence of outcome indicator(s) consistent with achieving management objectives (D.2.11) that seek to minimize adverse impacts of the unit of certification, including any enhancement activities, on the structure, processes and function of aquatic ecosystems that are likely to be irreversible or very slowly reversible. Any modifications to the habitat for enhancing the stock under consideration must be reversible and not cause serious or irreversible harm to the natural ecosystem's structure, processes and function.

**GUIDANCE**

The outcome indicators should be consistent with demonstrating that the management objectives for impacts on the structure, processes and function of aquatic ecosystems (D.2.11) have been effectively achieved. The component relating to enhancement activity may be "not applicable" to schemes that explicitly do not cover enhanced fisheries.

Ecosystem structure, processes and function are described in the Glossary. This language is in accordance with Section 4.1.4.1 of the FAO Ecosystem Approach to Fisheries, which suggests one of the broad management objectives for fisheries could be to keep impact on the structure, processes and functions of the ecosystem at an acceptable level.

The FAO Guidelines acknowledge that much greater scientific uncertainty is to be expected in assessing possible adverse ecosystem impacts of fisheries than in assessing the state of target stocks (paragraph 31 (41)), hence the outcome indicators necessary to meet this Essential Component should take into account risk and uncertainty.

**RELATED SUPPLEMENTARY COMPONENTS**

D.6 09 01

**CONCLUSION****REFERENCES**

# GLOSSARY AND REFERENCE DOCUMENTS

## GSSI GLOSSARY

TERM	SECTION				DEFINITION	REFERENCE
	A	B	C	D		
<b>Accreditation</b>	●	●			A process by which an authoritative body gives formal recognition of the competence of a certification body to provide certification services against an international standard.	GFSI (2013) Guidance Document Version 6.3 Part IV: Glossary of Terms.
<b>Accreditation body</b>	●	●			An agency having jurisdiction to formally recognise the competence of a certification body to provide certification services.	GFSI (2013) Guidance Document Version 6.3 Part IV: Glossary of Terms
<b>Accreditation remediation procedure</b>	●	●			A process which is in place to specify how certification bodies are required to address non-compliances.	GFSI (2013) Guidance Document Version 6.3 Part IV: Glossary of Terms
<b>Accreditation system</b>	●	●			System that has its own rules of procedure and management for carrying out accreditation.	FAO (2011) Technical Guidelines for Aquaculture Certification Paragraph 12. (ISO Guide 2, 17.1)
<b>Adverse Impact</b>				●	<p>The term “adverse impacts” is used in the FAO Ecolabelling Guidelines in a general sense (e.g. “adverse impacts of the fishery on the ecosystem”) but also in the specific context of dependent predators, where it is qualified as “severe adverse impacts”. The severity of adverse impacts is related to their potential reversibility. Severe adverse impacts can be regarded as those that are likely to be irreversible or very slowly reversible (see separate entry in this Glossary).</p> <p>The term “significant adverse impacts” (note: “significant” not “severe”) is used in the FAO Deep Sea Guidelines with respect to Vulnerable Marine Ecosystems (VMEs). Significant adverse impacts are those that compromise ecosystem integrity (i.e. ecosystem structure or function) in a manner that: (i) impairs the ability of affected populations to replace themselves; (ii) degrades the long-term natural productivity of habitats; or (iii) causes, on more than a temporary basis, significant loss of species richness, habitat or community types. Impacts should be evaluated individually, in combination and cumulatively.</p> <p>When determining the scale and significance of an impact, the following six factors should be considered:</p> <ol style="list-style-type: none"> <li>i. the intensity or severity of the impact at the specific site being affected;</li> <li>ii. the spatial extent of the impact relative to the availability of the habitat type affected;</li> <li>iii. the sensitivity/vulnerability of the ecosystem to the impact;</li> <li>iv. the ability of an ecosystem to recover from harm, and the rate of such recovery;</li> </ol> <ol style="list-style-type: none"> <li>i. the extent to which ecosystem functions may be altered by the impact; and</li> <li>ii. the timing and duration of the impact relative to the period in which a species needs the habitat during one or more of its lifehistory stages.</li> </ol>	GSSI; FAO International Guidelines for the Management of Deep Sea Fisheries in the High Seas (adopted 2008)

(continued on next page)

## GSSI GLOSSARY

TERM	SECTION				DEFINITION	REFERENCE
	A	B	C	D		
<b>Adverse Impact</b> <i>(continued from previous page)</i>					● The term “significant negative impacts” (note: “negative” rather than “adverse”) is used in the FAO Ecolabelling Guidelines only in relation to enhanced fisheries. This was specifically intended to be different from “severe adverse impacts” on dependent predators (see above). The FAO consultation that resulted in the drafting of the Inland Guidelines considered that avoidance of only “severe adverse impacts” only would not be consistent with a management obligation to manage enhancement in ways that would not impact the productivity and abundance of the natural reproductive stock component of the stock under consideration, hence the term “significant negative impacts” was used to capture more than just “severe adverse impacts”.	
<b>Agreement</b>	●	●			An arrangement between parties as to the proposed course of action.	GSSI
<b>Alignment</b>	●	●			An arrangement in having similar relative positions.	GSSI
<b>Appeal</b>	●	●			A request by a scheme owner for reconsideration of a decision made by the GSSI Steering Board, GSSI employee or person contracted to GSSI. (adapted from GFSI)	GFSI (2013) Guidance Document Version 6.3 Part IV: Glossary of Terms
<b>Allowable Zone of Effect (AZE)</b>			●		The area of sea-bed or volume of the receiving water body in which competent authority allow the use of specific Environmental Quality Standards (EQSs) for aquaculture, without irreversibly compromising the basic environmental services provided by the ecosystem.  The utility of AZE is to define the boundary of impact of responsible aquaculture activities in order to permit the free and safe use of marine space for the other stakeholders outside the AZE. The use of AZE gives some responsibility to farms for good practices.	General Fisheries Commission for The Mediterranean.  <a href="http://www.faosipam.org/GfcmWebSite/CAQ/WGSC/2011/SHoCMed_AZE/GFCM-CAQ-WGSC-2011-SHoCMed_AZE-Report.pdf">www.faosipam.org/GfcmWebSite/CAQ/WGSC/2011/SHoCMed_AZE/GFCM-CAQ-WGSC-2011-SHoCMed_AZE-Report.pdf</a>
<b>Application</b>	●	●			A document confirming a scheme owner’s intention to seek recognition by the GSSI for a scope of recognition.	GSSI
<b>Antimicrobial</b>			●		A naturally occurring, semi-synthetic or synthetic substance that at in vivo concentrations exhibits antimicrobial activity (kill or inhibit the growth of micro-organisms). Parasiticides, anthelmintics and substances classed as disinfectants or antiseptics are excluded from this definition. (Adapted from OIE)	OIE Aquatic Animal Health Code ( <a href="http://www.oie.int/index.php?id=171&amp;L=0&amp;htmlfile=glossaire.htm">www.oie.int/index.php?id=171&amp;L=0&amp;htmlfile=glossaire.htm</a> )
<b>Aquaculture</b>			●		The farming of aquatic organisms including fish, molluscs, crustaceans and aquatic plants. Farming implies some sort of intervention in the rearing process to enhance production, such as regular stocking, feeding, protection from predators, etc. Farming also implies individual or corporate ownership of the stock being cultivated, the planning, development and operation of aquaculture systems, sites, facilities and practices, and the production and transport.	FAO (2010) Technical Consultation on the Technical Guidelines on Aquaculture Certification. Rome, FAO, Page 2
<b>Aquaculture byproducts</b>			●		See fishery byproducts; the primary difference being a) aquaculture byproducts must be from the processing waste of aquacultured fish and crustaceans that were destined for human consumptions, and b) can be of both marine and freshwater aquaculture origin.	GSSI

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## GSSI GLOSSARY

TERM	SECTION				DEFINITION	REFERENCE
	A	B	C	D		
<b>Aquaculture facility</b>			●		The physical site where aquatic animals are grown-out to market size. Usually the unit of certification for aquaculture standards.	GSSI
<b>Aquatic animal health professional</b>			●		A person who, for the purposes of the Aquatic Code, is authorised by the Competent Authority to carry out the actions identified in Prudent Use of Antibiotics section of the OIE Aquatic Animal Health Code 2014 (or latest version) including identifying, preventing and treating aquatic animal diseases, as well as the promotion of sound animal husbandry methods, hygiene procedures, vaccination and other alternative strategies to minimise the need for antimicrobial use in aquatic animals. They are authorised to prescribe veterinary medicines should only prescribe, dispense or administer a specific course of treatment with an antimicrobial agent for aquatic animals under their care.  (Adapted from the OIE Aquatic Animal Health Code. 2014).	OIE Aquatic Animal Health Code <a href="http://www.oie.int/index.php?id=171&amp;L=0&amp;htmfile=chapitre_antibio_resp_prudent_use.htm">www.oie.int/index.php?id=171&amp;L=0&amp;htmfile=chapitre_antibio_resp_prudent_use.htm</a>
<b>Aquatic animals</b>			●		All life stages (including eggs and gametes) of fish, molluscs, crustaceans and amphibians originating from aquaculture establishments or removed from the wild, for farming purposes, for release into the environment, for human consumption or for ornamental purposes.	OIE Aquatic Animal Health Code <a href="http://www.oie.int/index.php?id=171&amp;L=0&amp;htmfile=glossaire.htm">www.oie.int/index.php?id=171&amp;L=0&amp;htmfile=glossaire.htm</a>
<b>Area of distribution (of a species or stock)</b>			●		Area of distribution is defined (by CITES) as the area contained within the shortest continuous imaginary boundary which can be drawn to encompass all the known, inferred or projected sites of occurrence, excluding cases of vagrancy (though inferring and projecting area of occurrence should be undertaken carefully, and in a precautionary manner) . The area should, however, exclude significant areas where the species does not occur, and account should be taken of discontinuities or disjunctions in the spatial distribution of species. For migratory species, the area of distribution is the smallest area essential at any stage for the survival of that species (e.g. colonial nesting sites, feeding sites for migratory taxa, etc.).	CITES (1994): Criteria for amendment of Appendices I and II. Conference Resolution 9.24 Adopted at the 9th Conference of the Parties, Fort Lauderdale (USA).
<b>Area management system (AMS)</b>			●		A contractual or legally enforceable agreement for shared activities by aquaculture establishments (and possibly other polluting industries) within a defined area or zone. The AMS boundary must be defined to meet the objectives of the AMS. Alternative terms include zonal management agreement, area management agreements, single bay management.	GSSI
<b>Arrangement</b>	●	●			A cooperative mechanism established by two or more parties be they governmental, private or non-governmental entities.	GSSI
<b>Assessment</b>	●	●			The act of judging or deciding the amount, value, quality, or importance of something, or the judgment or decision that is made.	Cambridge dictionaries online <a href="http://dictionary.cambridge.org">http://dictionary.cambridge.org</a>

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## GSSI GLOSSARY

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<b>Audit</b>	●	●			A systematic and functionally independent examination to determine whether activities and related results comply with a conforming scheme.	FAO (2011) Technical Guidelines for Aquaculture Certification Paragraph 12.  (Codex Alimentarius, Principles for Food Import and Export Certification and Inspection, CAC/GL 20)
<b>Auditor</b>	●	●			A person qualified to carry out audits for or on behalf of a certification body.	GSSI
<b>Balanced decision-making</b>	●	●			A decision making process which ensures proportionate representation of interested parties in the standard development, revision and approval process.	GSSI
<b>Balanced participation</b>	●	●			The participation by proportionate representation of interested parties in the standard development, revision and approval process.	GSSI
<b>Benchmark committee</b>	●	●			A team of technical experts who have been appointed by GSSI to undertake the benchmarking process of a seafood certification scheme applying for recognition.	GFSI (2013) Guidance Document Version 6.3 Part IV: Glossary of Terms
<b>Benchmark committee member</b>	●	●			A person who has the required qualifications and experience and has undergone selection for the membership of a Benchmark Committee.	GFSI (2013) Guidance Document Version 6.3 Part IV: Glossary of Terms
<b>Benchmark process</b>	●	●			A mechanism by which a seafood certification scheme can be objectively assessed, against a series of defined requirements laid down in the GSSI Framework Document, to determine if formal recognition by the GSSI Steering Board can be gained.	GSSI
<b>Best scientific evidence available</b> <i>(continued on next page)</i>				●	(1) The “best scientific evidence available” is required by UNCLOS as the basis for management decision-making, including for the application of the precautionary approach.  In the context of the GSSI Benchmark, the “best scientific evidence available” can include traditional, fisher or community knowledge, provided its validity can be objectively verified. Objective verification of validity implies that the knowledge has been collected and analysed through a systematic, objective and well-designed process, and is not simply hearsay. Publication of results in the peer-reviewed literature could be one form of objective verification.	(1) GSSI  (2) Sullivan et. al. (2006) Defining and Implementing Best Available Science for Fisheries and Environmental Science, Policy, and Management Fisheries Vol 31, No 9 September 2006  (3) NRC (2004) Improving the Use of the “Best Scientific Information Available” Standard, National Academies Press

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<b>Best scientific evidence available</b> <i>(continued from previous page)</i>					<ul style="list-style-type: none"> <li>● What is actually the best scientific evidence available in any given fishery or for any given stock under consideration will vary between fisheries and stocks and will also vary over time and information levels fluctuate. What is important, therefore, is that the management system is designed in such a way that the mechanism by which it commissions science and solicits scientific advice results in it receiving the best scientific evidence available. Achieving the best scientific evidence available requires inter alia: <ul style="list-style-type: none"> <li>– questions to be clearly stated,</li> <li>– scientific investigation to be well designed, and</li> <li>– results to be analysed logically, documented clearly, and subjected to peer review.</li> </ul> </li> </ul> <p>Even science that has been developed through an open, transparent, and well-communicated process may not be fully adequate for addressing management issues. Scientists must often rely on incomplete information in offering their best expert advice.</p> <ul style="list-style-type: none"> <li>iii. Objectivity. Scientific information should be accurate, with a known degree of precision, without addressable bias, and presented in an accurate, clear, complete, and balanced manner. Scientific processes should be free of undue nonscientific influences and considerations.</li> <li>iv. Transparency and openness. There should be broad public and stakeholder access to the fishery conservation and management process, including access to the scientific information upon which the process and management measures are based. Public comment should be solicited at appropriate times during the review of scientific information. Communication with the public should be structured to foster understanding of the scientific process.</li> </ul>	
<b>Better management practice(s) (bmp(s))</b>					<ul style="list-style-type: none"> <li>● Management practices aimed at improving the quantity, safety and quality of products taking into consideration animal health and welfare, food safety, environmental and socio-economical sustainability. BMP implementation is generally voluntary. The term “better” is preferred rather than “best” because aquaculture practices are continuously improving (today’s ‘best’ is tomorrow’s ‘norm’).</li> </ul>	FAO. (2010) Technical Consultation on the Technical Guidelines on Aquaculture Certification. Rome, FAO, Page 4
<b>Biosecurity</b>					<ul style="list-style-type: none"> <li>● A set of management and physical measures designed to reduce the risk of introduction, establishment and spread of pathogenic agents to, from and within an aquatic animal population.</li> </ul>	OIE Aquatic Animal Health Code ( <a href="http://www.oie.int/index.php?id=171&amp;L=0&amp;htmfile=glossaire.htm">www.oie.int/index.php?id=171&amp;L=0&amp;htmfile=glossaire.htm</a> )
<b>Broodstock</b>					<ul style="list-style-type: none"> <li>● Sexually mature specimens of both sexes kept for the purpose of controlled reproduction (independent of whether a first or subsequent generation is produced) as well as younger specimens destined to be used for the same purpose.</li> </ul>	FAO Term Portal

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<b>Broodstock facility</b>			●		The physical site where broodstock are held. This could be part of a hatchery or a separate facility only for broodstock.	GSSI
<b>CCRF</b>	●	●	●	●	FAO Code of Conduct for Responsible Fisheries	FAO(1995)
<b>Central focal point</b>	●	●			A person, location or address that is put in place to ensure standards-related enquiries and for submission of comments are gathered.	GSSI
<b>Certification</b>	●	●			Procedure by which certification body or entity gives written or equivalent assurance that a product, process or service conforms to specified requirements. Certification may be, as appropriate, based on a range of audit activities that may include continuous audit in the production chain.	FAO (2011) Technical Guidelines for Aquaculture Certification Paragraph 12. (Modified from ISO Guide 2, 15.1.2; Principles for Food Import and Export Certification and Inspection, CAC/GL 20; Ecolabelling Guidelines)
<b>Certification body</b>	●	●			A provider of certification services, accredited to do so by an accreditation body.	GFSI (2013) Guidance Document Version 6.3 Part IV: Glossary of Terms Page 135
<b>Certification decision</b>	●	●			The granting, continuing , expanding the scope of, reducing the scope of, suspending, restoring, withdrawing or refusing of certification by a certification body.	GFSI (2013) Guidance Document Version 6.3 Part IV: Glossary of Terms Page 135
<b>(Seafood) Certification Scheme</b>	●	●			An organisation in the seafood sector, which is responsible for the processes, systems, procedures and activities related to standard setting, accreditation and implementation of certification.	Adapted from FAO (2011) Technical Guidelines for Aquaculture Certification Paragraph 12. (Adapted from the Report of the First Expert Workshop on Aquaculture Certification held in Bangkok, Thailand. March 2007)
<b>Chain of custody</b>	●	●			The set of measures that verify that a certified product originates from a certified aquaculture production chain, and is not mixed with non-certified products. Chain of custody verification measures should cover the tracking/ traceability of the product all along the production, processing, distribution and marketing chain, the tracking of documentation, and the quantity concerned.	FAO. (2005a) Guidelines for the Ecolabelling of Fish and Fishery Products from Marine Capture Fisheries. Rome, FAO, Page 90
<b>Chemicals</b>			●		In food technology: any substance either natural or synthetic, which can affect live fish, its pathogens, water, equipment used for production or at land within the aquaculture establishment. Includes antifoulant treatments used on nets in marine cage aquaculture.	FAO/WHO Codex Alimentarius Commission (2004) Code of Practice for Fish and Fishery Products. Aquaculture. ( <a href="ftp://ftp.fao.org/codexalnorm04/al04_18e.pdf">ftp://ftp.fao.org/codexalnorm04/al04_18e.pdf</a> )
<b>Competence</b>	●	●			The demonstrated ability to apply knowledge and skills to achieve intended results.	GFSI (2013) Guidance Document Version 6.3 Part IV: Glossary of Terms Page 135

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<b>Competent authority</b>			●		Means the Veterinary Authority or other Governmental Authority of a country having the responsibility and competence for ensuring or supervising the implementation of animal health and welfare measures, international veterinary certification and other standards and recommendations in the OIE Aquatic Animal Health Code in the region. Adapted from the OIE.	OIE Aquatic Animal Health Code ( <a href="http://www.oie.int/index.php?id=171&amp;L=0&amp;htmfile=glossaire.htm">www.oie.int/index.php?id=171&amp;L=0&amp;htmfile=glossaire.htm</a> )
<b>Complaint</b>	●	●			Expression of dissatisfaction, other than appeal (6.4), by any person or organization to a conformity assessment body (2.5) or accreditation body (2.6), relating to the activities of that body, where a response is expected	ISO/IEC 17000:2004 6.5
<b>Conflict of interest</b>	●	●			Where either a Certification Body or an individual is in a position of trust requiring them to exercise judgement on behalf of others and also have interests or obligations (whether financial or otherwise) of the sort that might interfere with the exercise of that judgment.	GFSI (2013) Guidance Document Version 6.3 Part IV: Glossary of Terms Page 135
<b>Conformity assessment</b>	●	●			Demonstration that specified requirements (3.1) relating to a product (3.3), process, system, person or body are fulfilled.	ISO/IEC 17000:2005 2.1
<b>Conformity assessment program</b>	●	●	●	●	A defined and documented program by which the Scheme Owner monitors the performance of Accreditation Bodies, Certification Bodies and participating organisations against defined criteria.	GSSI
<b>Consensus</b>	●	●			General agreement, characterised by the absence of sustained opposition to substantial issues by any important concerned party and by a process that involves seeking to take into account the views of all parties concerned and to reconcile any conflicting arguments. Consensus need not imply unanimity. (adapted from ISO)	ISO/IEC Guide 2:2004.
<b>Contingency plan</b>			●		Means a documented work plan designed to ensure that all needed actions, requirements and resources are provided in order to eradicate or bring under control outbreaks of specified diseases of aquatic animals.	OIE Aquatic Animal Health Code ( <a href="http://www.oie.int/index">http://www.oie.int/index</a> ).
<b>Corrective action</b>	●	●			An action to eliminate the cause of a detected non conformity or other undesirable matters.	GFSI (2013) Guidance Document Version 6.3 Part IV: Glossary of Terms
<b>Culture practices</b>			●		Concept comprising not only the production facilities but also a description of the husbandry practices applied.	GSSI

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## GSSI GLOSSARY

TERM	SECTION				DEFINITION	REFERENCE
	A	B	C	D		
<b>Data (information): adequate, reliable, current</b>				●	<p>(1) Data are facts that result from measurements or observations.</p> <p>(2) In the context of the GSSI Benchmark, assessment of the adequacy of data for different purposes would generally be part of an assessment against the certification standard. Adequate, reliable and current data and/or other information are those which are fit for purpose and commensurate with the development and delivery of the best scientific evidence available. This may include traditional, fisher or community knowledge, provided that their validity can be objectively verified.</p> <p>Applicable international standards and practices for fisheries data and statistics include the output of the Coordinating Working Party on Fishery Statistics (CWP): <a href="http://www.fao.org/fishery/cwp/en">http://www.fao.org/fishery/cwp/en</a> and the FAO Guidelines for the routine collection of capture fishery data (1998) FAO Fisheries Technical Paper. No. 382.</p> <p>The adequacy of data relates primarily to the quantity and type of data collected (including sampling coverage) and depends crucially on the nature of the systems being monitored and purposes to which the data are being put. Some analysis of the precision resulting from sampling coverage would normally be part of an assessment of adequacy.</p> <p>The reliability of data relates to the quality of the data collected, and also the level and representativeness of sampling coverage. Inadequate sampling can lead to high uncertainty and hence poor reliability, however, high sampling coverage does not necessarily mean the data collected are of high quality and hence reliable. Bias can result from a poorly designed survey plan (e.g. if the gear and seasons of a fishery are not well sampled). Reliability depends on the design and execution of an effective data collection program.</p> <p>The currency of data relates to how recently the data were collected relative to the application of the conclusions that are being drawn from them. Catch data generally need to be of the highest currency in order for management to function effectively (e.g. to close fisheries when catch limits are reached) and for assessments to provide a reliable estimate of current stock size. A survey conducted several years in the past for assessing abundance of a short lived species with highly variable stock size may not be regarded as current. Data from surveys of longer lived species with less variability may have greater longevity for drawing conclusions about current abundance.</p> <p>(3) The FAO has recently developed the Quality Assurance Framework for the FAO Statistics system (FAO SQAF). It consists of a quality framework and a mechanism to ensure the compliance of FAO statistics to the quality framework itself. The document includes the FAO SQAF definition of Quality, including accuracy, reliability and comparability.</p>	<p>(1) FAO (1998): Guidelines for the routine collection of capture fishery data. FAO Fish. Tech. Pap. 382: 113 p.</p> <p>(2) GSSI</p> <p>(3) FAO (2014) The FAO Statistics Quality Assurance Framework. <a href="http://www.fao.org/docrep/019/i3664e/i3664e.pdf">http://www.fao.org/docrep/019/i3664e/i3664e.pdf</a></p>
<i>(continued on next page)</i>						

## GSSI GLOSSARY

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<b>Data (information): adequate, reliable, current</b> <i>(continued from previous page)</i>				●	<p>FAO SQAF definition of Quality</p> <p>Quality is a multi-faceted and subjective concept. The International Organisation for Standardization (ISO) defines quality as “the totality of features and characteristics of a product or service that bears on its ability to satisfy stated or implied needs” (ISO No 8402; 1986, 3.1).</p> <p>The most important quality characteristics depend on user perspectives, needs and priorities, which vary across groups of users. For this reason the major challenge is to achieve a compromise among the needs of the various possible users (current and potential) in order to produce and disseminate statistical outputs that satisfy the most important needs given constraints concerning available resources.</p> <p>Taking stock of the work already done by several international organizations<sup>3</sup> (Eurostat, ECB, IMF and OECD) in this area, the definition of quality in statistics, which has been tailored to the FAO framework, encompasses five quality dimensions, as described below.</p> <p>FAO defines quality in statistics as the degree to which its statistical outputs fulfill requirements and the following quality dimensions are taken into account:</p> <ul style="list-style-type: none"> <li>• Relevance - degree to which statistics meet the current and potential user needs.</li> <li>• Accuracy and Reliability – refers to the closeness of estimates, to the true values that statistics were intended to measure.</li> <li>• Reliability – refers to the closeness of the initial estimates to the subsequent or final estimates.</li> <li>• Timeliness – the speed of dissemination of statistical outputs – i.e. the lapse of time between the end of a reference period (or a reference date) and the dissemination of the statistical outputs.</li> <li>• Punctuality – refers to the possible time lag existing between the actual delivery date of statistical outputs and the target date when they should have been delivered, for instance, with reference to dates announced in an official release calendar or previously agreed among partners.</li> <li>• Coherence – the adequacy of the statistical outputs to be meaningfully combined in different ways and for various uses.</li> <li>• Comparability – refers to the extent to which differences between different geographical areas, non-geographical domains, or over time, can be attributed to differences between the true values of the statistical characteristics.</li> <li>• Accessibility – defined as the ease, the set of conditions and the modalities by which users can obtain data.</li> </ul>	
<i>(continued on following page)</i>						

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TERM	SECTION				DEFINITION	REFERENCE
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<b>Data (information): adequate, reliable, current</b> <i>(continued from previous page)</i>				●	<ul style="list-style-type: none"> <li>Clarity – refers to the availability of adequate documentation: whether data are accompanied with appropriate metadata, illustrations such as graphs and maps, whether information on their quality are also available (including limitation in use), and the extent to which additional assistance is provided.</li> </ul>	
<b>Data limited fishery</b>					<p>(1) Data-limited fishery – A fishery where limited data are available to inform management, e.g. fisheries for species where baseline biological data such as size at maturity, fishing mortality and growth rates are unknown.</p> <p>(2) Data limited fisheries are those fisheries where stock assessments are not feasible, yet they provide continuing yields for fisheries.</p> <p>(3) Data limited fisheries assessment:</p> <ul style="list-style-type: none"> <li>Inputs – Approximate catches, some life history information</li> <li>Outputs – Incomplete, imprecise status and some MRPs; often as broad probability distributions, with no clear answer</li> </ul> <p>(4) The extracts above (1) to (4) refer only to biological data-limitations and stock assessment. The FAO EAF Guidelines highlight that data-limitation on the human and governance dimensions is also a constraint to management. The FAO EAF Guidelines use the term “data-poor” rather than “data limited” and, while they provide no definition, the text provides an indication of what is meant by the term; e.g. on Page 57: “the development of measures and decision rules should ideally be underpinned by rigorous data analyses, including modelling the dynamics of the system or sub-system. However, as stressed throughout (the EAF) guidelines, a lack of this capacity does not preclude the general approach. Even in data-poor situations, the best available information should be objectively analysed and considered. In such cases, an extrapolation based on better studied areas can be used to provide guidance on operational objectives and associated decision rules.”</p>	<p>(1) South Africa Department of Primary Industries.</p> <p>(2) Sea Fish Authority <a href="http://www.seafish.org/responsible-sourcing/conserving-fish-stocks/data-limited-fisheries">http://www.seafish.org/responsible-sourcing/conserving-fish-stocks/data-limited-fisheries</a></p> <p>(3) MacCall, A. NMFS / SWFSC Santa Cruz, CA <a href="http://www.fgc.ca.gov/meetings/subcommittees/052510mrcpresentationMacCallDataPoor.pdf">http://www.fgc.ca.gov/meetings/subcommittees/052510mrcpresentationMacCallDataPoor.pdf</a></p> <p>(4) FAO Technical Guidelines for Responsible Fisheries. 4. Fisheries management. 4.2.The ecosystem approach to fisheries (2003).</p>
<b>Dependent predators</b>				●	<p>A species within the food chain (e.g. a predator) which depends heavily on another (e.g. a prey species) for its maintenance.</p>	<p>FAO Term Portal (fisheries): <a href="http://www.fao.org/faoterm">www.fao.org/faoterm</a></p>
<b>Desktop review</b>	●	●			<p>An assessment carried out on documentation away from the location of the organisation being assessed.</p>	GSSI
<b>Detection Limit</b>			●		<p>Detection limit – is the lowest quantity of aquatic animals that can be distinguished from the stock within a stated confidence limit (often the limit of the counting equipment or method used).</p>	GSSI

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<b>Discards</b>					<ul style="list-style-type: none"> <li>(1) Discard – To release or return fish to the sea, dead or alive, whether or not such fish are brought fully on board a fishing vessel.</li> <li>(2) Discarded Catch – That portion of the catch returned to the sea as a result of economic, legal, or personal considerations.</li> </ul>	<p>(1) CCRF Technical Guide 4 Fisheries management</p> <p>(2) Alverson, D.L.; Freeberg, M.H.; Pope, J.G.; Murawski, S.A. A global assessment of fisheries bycatch and discards. FAO Fisheries Technical Paper. No. 339. Rome, FAO. 1994. 233p.</p>
<b>Ecosystem (structure, processes and function)</b>					<ul style="list-style-type: none"> <li>The FAO EAF Guidelines refer to ‘structure, processes and function’ in Section 4.1.4.1 and ‘ecosystem structure and functions’ in the Executive Summary. The three terms structure, processes and function are distinct and different, however, common usage suggests that in terms of the ecosystems features covered under these terms, ‘structure, processes and function’ is generally regarded to be the same as ‘structure and function’ and the latter is not intended to exclude processes. This is because ecosystem processes are often listed under the heading of ecosystem functions, as in the description below:  Ecosystem: An organizational unit consisting of an aggregation of plants, animals (including humans) and microorganisms, along with non-living components of the environment.  Ecosystem Function: An intrinsic ecosystem characteristic related to the set of conditions and processes whereby an ecosystem maintains its integrity (such as primary productivity, food chain, biogeochemical cycles). Ecosystem functions include such processes as decomposition, production, nutrient cycling, and fluxes of nutrients and energy.  Ecosystem Structure: Pattern of the interrelations of organisms in time and in spatial arrangements. Attributes related to the instantaneous physical state of an ecosystem; examples include species population density, species richness or evenness, and standing crop biomass.</li> </ul>	<p>FAO Technical Guidelines for Responsible Fisheries. The ecosystem approach to fisheries. No. 4, Suppl. 2. Rome, FAO. 2003. 112 p.</p>
<b>Ecosystem effects of fishing</b> <i>(continued on next page)</i>					<ul style="list-style-type: none"> <li>(1) “Ecosystem effects of fishing” is used as a Topic within the Fisheries component of the GSSI Benchmark Tool. It is an expression intended to cover all of the direct and indirect impacts of fishing operations on aquatic ecosystems. In the GSSI Benchmark Tool it is further broken down into five Elements: <ul style="list-style-type: none"> <li>• Non-target catches,</li> <li>• Endangered species;</li> <li>• Dependent predators;</li> <li>• Habitat; and</li> <li>• Ecosystem structure, processes and function</li> </ul> Measuring, understanding and managing the ecosystem effects of fishing are part of the implementation of the ecosystem approach to fisheries (EAF).</li> </ul>	<p>(1) GSSI</p> <p>(2) FAO Term Portal (fisheries) <a href="http://www.fao.org/faoterm">www.fao.org/faoterm</a></p>

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<b>Ecosystem effects of fishing</b> <i>(continued from previous page)</i>				●	<p>(2) “Ecosystem Approach” is described in the FAO Term Portal (fisheries) as a strategy for the integrated management of land, water, and living resources that promotes conservation and sustainable use in an equitable way. It is based on the application of appropriate scientific methodologies focused on levels of biological organization which encompass the essential processes, functions and interactions among organisms and their environment. It recognizes that humans, with their cultural diversity, are an integral component of ecosystems. The term is usually used in the form of “ecosystem approach to...” as for instance in the ecosystem approach to fisheries (EAF) or in ecosystem approach to environmental protection (Gonzalez 1996). In general, the approach is taken as requiring: (1) definition and scientific description of the ecosystem in terms of scale, extent, structure, functioning; (2) assessment of its state in terms of health or integrity as defined by what is acceptable to society; (3) assessment of threats; and (4) maintenance, protection, mitigation, rehabilitation, etc., using (5) adaptive management strategies.</p>	
<b>Endangered</b>			●		<p>Endangered species for Section “C” are expected to be defined in the Standard, with reference to general national listings (e.g., Red Data Books) or global listing organizations such as CITES (Appendix 1), IUCN Red List (Categories Critically Endangered (CR), Endangered (EN), Vulnerable (VU)).</p> <p>See <a href="http://www.iucnredlist.org">www.iucnredlist.org</a> and <a href="http://www.cities.org">www.cities.org</a> for more information.</p>	GSSI
<b>Endangered (Threatened with extinction)</b>				●	<p>(3) Threatened with extinction: A category of organisms listed in CITES Annex 1. The vulnerability of a species to threats of extinction depends on its population demographics, biological characteristics, such as body size, trophic level, life cycle, breeding structure or social structure requirements for successful reproduction, and vulnerability due to aggregating habits, natural fluctuations in population size (dimensions of time and magnitude), residency/migratory patterns. This makes it impossible to give numerical values for population size or area of distribution that are applicable to all taxa.</p> <p>“Protected” refers generally to any plant or animal that a government declares by law to warrant protection; most protected species are considered either threatened or endangered. A species that is recognised by national legislation, affording it legal protection due to its population decline in the wild. The decline could be as a result of human or other causes.</p>	<p>(1) GSSI</p> <p>(2) IUCN (1994): IUCN Red List Categories. IUCN Species Survival Commission. The World Conservation Union.</p> <p>(3) CITES (1994): Criteria for amendment of Appendices I and II. Conference Resolution 9.24 Adopted at the 9th Conference of the Parties, Fort Lauderdale (USA).</p>

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<b>Enhanced fisheries</b>				●	Fisheries that are supported by activities aimed at supplementing or sustaining the recruitment of one or more aquatic organisms and raising the total production or the production of selected elements of a fishery beyond a level which is sustainable by natural processes. Enhancement may entail stocking with material originating from aquaculture installations, translocations from the wild and habitat modification.	FAO Technical Guidelines for Responsible Fisheries. Inland fisheries. No. 6. Rome, FAO. 1997. 36p.
<b>Enhancement activities</b>				●	See Enhanced Fisheries	
<b>Environmental impacts</b>	●	●			A result of activity which has influence upon or changes the environment.	GSSI
<b>Environmental impact assessment (EIA)</b>			●		A set of activities designed to identify and predict the impacts of a proposed action on the biogeophysical environment and on man's health and wellbeing, and to interpret and communicate information about the impacts, including mitigation measures that are likely to eliminate the risks. In many countries, organizations planning new projects are required by law to conduct EIA. Usually it is carried out by three parties, the developer, the public authorities and the planning authorities.	FAO Term Portal – Aquaculture. ( <a href="http://www.fao.org/faoterm/en/">www.fao.org/faoterm/en/</a> ) Scialabba, N. (ed.) (1998) Integrated coastal area management and agriculture, forestry and fisheries. FAO Guidelines: 256p. Rome, FAO, Environment and Natural Resources Service. <a href="http://www.fao.org/docrep/W8440e/W8440e00.htm">http://www.fao.org/docrep/W8440e/W8440e00.htm</a>
<b>Environmental Quality Standard</b>			●		An Environmental Quality Standard is a value, generally defined by regulation, which specifies the maximum permissible concentration of a potentially hazardous chemical in an environmental sample, generally of air or water. (Sometimes also known as an ambient standard.)  Environmental Quality Standards (EQSs) for marine, freshwaters and sediments have been developed and although there are no global values many countries have their own standards which are used to assess pollution levels in the aquatic environment. EQS values vary from country to country and are often incomplete. Metal speciation directly impacts on toxicity but this is often ignored. Despite these omissions they are nevertheless invaluable in the interpretation of monitoring data. EQS are not available for many parts of the world. In the absence of regional standards it is still preferable to compare values obtained against an EQS to assess the extent of pollution and potential for ecological damage.	Joint Group of Experts on the Scientific Aspects of Marine Environmental Protection (GESAMP)
<b>Escapes</b>	●	●	●	●	A term used to describe specimens of cultured species, which escape from the rearing system into the ambient environment. There are potential impacts through interbreeding with wild conspecifics and through disease transfer. Also termed escapee.	FAO Term Portal – Aquaculture. ( <a href="http://www.fao.org/faoterm/en/">www.fao.org/faoterm/en/</a> )

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<b>Essential habitat (essential fish habitat)</b>				●	(1) Habitat for a fish is the environment in which it lives, including everything that surrounds and affects its life: e.g., water quality; bottom; vegetation; associated species (including food supplies). (2) Essential fish habitat (EFH) is those waters and substrate necessary to fish for spawning, breeding, feeding, or growth to maturity.”	(1) FAO Term Portal (fisheries) <a href="http://www.fao.org/faoterm">www.fao.org/faoterm</a> (2) Magnuson Stevens Fishery Conservation and Management Act.
<b>Evaluation</b>			●		An examination of production facilities or services in order to verify that they conform to requirements.	GFSI (2013) Guidance Document Version 6.3 Part IV: Glossary of Terms
<b>Exotic species</b>			●		Species not native to a particular area, which may pose a risk to endemic species.	FAO Term Portal – Aquaculture. ( <a href="http://www.fao.org/faoterm/en/">www.fao.org/faoterm/en/</a> )
<b>Expert</b>	●	●			A person appointed by GSSI who has demonstrable specific knowledge and expertise with respect to the subject at hand.	GFSI (2013) Guidance Document Version 6.3 Part IV: Glossary of Terms
<b>FAO</b>	●	●	●	●	Food and Agriculture Organization of the United Nations	FAO
<b>Feed</b>			●		Fodder intended for the aquatic animal in aquaculture establishments, in any form and of any composition. Adapted from FAO, 2010.	FAO (2010) Technical Consultation on the Technical Guidelines on Aquaculture Certification. Rome, FAO, page 2
<b>Feed additives</b>			●		Chemicals other than nutrients for fish that are approved for addition to their feed.	Codex Alimentarius Commission Code of Practice for Fishery and Fishery Products, First Edition, 2009. ( <a href="http://www.codexalimentarius.net/web/publications.jsp?lang=en">http://www.codexalimentarius.net/web/publications.jsp?lang=en</a> )
<b>Feed ingredients</b>			●		A component, part or constituent of any combination or mixture making up a feed, including feed additives, whether or not it has a nutritional value in the animal's diet. Ingredients may be of terrestrial or aquatic, plant or animal origin and may be organic or inorganic substances.	OIE Aquatic Animal Health Code ( <a href="http://www.oie.int/index.php?id=171&amp;L=0&amp;htmfile=glossaire.htm">www.oie.int/index.php?id=171&amp;L=0&amp;htmfile=glossaire.htm</a> )
<b>Field audit</b>	●	●			An audit carried out at the location of a participating organisation.	GSSI
<b>Fish in fish out ratio</b>			●		A calculation to determine the ratio of wild harvested marine ingredients used per unit mass of farmed aquatic animal, usually on a wet weight basis. Alternative terms include forage fish dependency ratio, or forage fish equivalency ratio.	GSSI
<b>Fish stock</b>				●	The living resources in the community or population from which catches are taken in a fishery. Use of the term fish stock usually implies that the particular population is more or less isolated from other stocks of the same species and hence self-sustaining. In a particular fishery, the fish stock may be one or several species of fish but here is also intended to include commercial invertebrates and plants.	FAO (1997): Fisheries management. FAO Technical Guidelines for Responsible Fisheries, 4: 82 p.)

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<b>Fishery</b>				●	A unit determined by an authority or other entity that is engaged in raising and/or harvesting fish. Typically, the unit is defined in terms of some or all of the following: people involved, species or type of fish, area of water or seabed, method of fishing, class of boats and purpose of the activities.	FAO Term Portal (fisheries): <a href="http://www.fao.org/faoterm">www.fao.org/faoterm</a>
<b>Fisheries management organisation or arrangement</b>				●	Institution responsible for fisheries management, including the formulation of the rules that govern fishing activities. The fishery management organization, and its subsidiary bodies, may also be responsible for all ancillary services, such as the collection of information, its analysis, stock assessment, monitoring, control and surveillance (MCS), consultation with interested parties, application and/or determination of the rules of access to the fishery, and resource allocation. Also called: Fishery management arrangement.	(FAO (1997): Fisheries management. FAO Technical Guidelines for Responsible Fisheries, 4: 82 p.
<b>Fishery Byproduct</b>				●	A byproduct is a useful and marketable product that is not the primary product being produced. A marketable by-product is from a process that can technically not be avoided. This includes materials that may be traditionally defined as waste such as industrial scrap that is subsequently used as a raw material in a different manufacturing process.  Fishery byproducts refers to commodities that are manufactured from fish, including shellfish, and crustaceans in a form that is different than conventional foods and which are intended for human consumption (either directly or as a food ingredient). They include but	Adapted from IFFO Marine Ingredients Organisation.
<i>(continued on next page)</i>						
<b>Fishery Byproduct</b> <i>(continued from previous page)</i>				●	are not limited to: by-products derived from fish, including fish cartilage, fish oils, and fish proteins; and byproducts derived from the carapaces of crustaceans; but do not include marine plants or marine plant products.  In addition, a whole fish which is rejected on an intrinsic quality ground e.g. does not meet the specification for Human Consumption due to physical damage or the quality is substandard. These whole fish shall in these cases be classified as a byproduct from the human consumption fishery, and can be used for fishmeal and fish oil production. A whole catch of fish that is rejected by a fish processing factory on economic grounds is not considered to be a fish by-product.  Adapted from IFFO Marine Ingredients Organisation.	
<b>Fishing mortality</b>				●	A mathematical expression of the part of the total rate of deaths of fish due to fishing. Fishing mortality is often expressed as a rate that indicates the percentage of the population caught in a year.	FAO Term Portal (fisheries) <a href="http://www.fao.org/faoterm">www.fao.org/faoterm</a>  Modified from Commonwealth of Australia (1997): <a href="http://www.brs.gov.au/fish/gloss.html">http://www.brs.gov.au/fish/gloss.html</a>
<b>Fit for purpose</b>				●	(Of an institution, facility, etc.) well equipped or well suited for its a designated role or purpose.	Oxford English Dictionary

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<b>Genetic drift</b>			●		Random changes in gene frequency caused by small effective population size, e.g. sampling error (shipment of fish from one station to another; broodstock selection). The ultimate effect of genetic drift is the loss of genetic variance. Genetic drift is inversely related to effective breeding number.	FAO Term Portal – Aquaculture. ( <a href="http://www.fao.org/faoterm/en/">www.fao.org/faoterm/en/</a> )
<b>Genetically modified organism (GMO)</b>			●		An organism that has been transformed by the insertion of one or more transgenes.	ICES (2004) Code of Practice on the Introductions and Transfers of marine Organisms. <a href="http://www.ices.dk/reports/general/2004/icescop2004.pdf">http://www.ices.dk/reports/general/2004/icescop2004.pdf</a>
<b>Grandfathered In</b>			●		A clause creating an exemption based on circumstances previously existing. A relevant aquaculture example includes historical conversion of mangrove forest into shrimp ponds and where Standards may prohibit aquaculture facilities from certification or require that restoration of losses occur prior to certification if the initial conversion occurred after the Ramsar Convention of 1999 but offering an exemption to facilities where mangrove loss occurred before the Ramsar agreement took place. Also termed a “grandfather clause”.	Merriam-Webster Dictionary.
<b>GSSI</b>	●	●		●	Global Sustainable Seafood Initiative	GSSI
<b>GSSI Essential Component</b>	●	●		●	Criteria grounded in the CCRF and the FAO Guidelines, which a seafood certification scheme needs to meet to be recognised by GSSI.	GSSI
<b>GSSI Supplementary Component</b>	●	●		●	Criteria grounded in the CCRF and related FAO documents, ISO normative standards and ISEAL codes. They show a seafood certification scheme’s diverse approach and help stakeholders understand where differences exist. A seafood certification scheme does not need to meet them for GSSI Recognition.	GSSI
<b>Habitat</b>			●		A specific place with its environmental conditions occupied by and covering the requirements of an organism, a population or a community.	Odum, E.P. (1959) Fundamentals in ecology. 2nd Edition, Philadelphia, Saunders Co: Page 53.
<b>Hatchery</b>			●		A facility used for the artificial and controlled breeding, hatching and rearing of aquatic organisms, on a commercial or experimental basis, through their early life stages. A hatchery is usually closely associated with a nursery facility where the cultured organism is grown to the appropriate size before being released to the wild or an on-growing structure. Adapted from FAO.	FAO Term Portal – Aquaculture. ( <a href="http://www.fao.org/faoterm/en/">www.fao.org/faoterm/en/</a> )
<b>Impartiality</b>	●	●			The actual and perceived presence of objectivity.	GFSI (2013) Guidance Document Version 6.3 Part IV: Glossary of Terms
<b>Inbreeding</b>			●		Mating or crossing of individuals more closely related than average pairs in the population.	FAO Term Portal – Aquaculture. ( <a href="http://www.fao.org/faoterm/en/">www.fao.org/faoterm/en/</a> )
<b>Inbreeding depression</b>			●		Declines in growth rate, fecundity, etc. and an increase in the percentage of deformed/abnormal fish that occur when inbreeding reaches certain levels.	FAO Term Portal – Aquaculture. ( <a href="http://www.fao.org/faoterm/en/">www.fao.org/faoterm/en/</a> )

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<b>Independence</b>	●	●			A state of being free from outside control and not subject to another's authority.	GSSI
<b>Independent Expert</b>	●	●			A competent trained person, appointed by GSSI, who is assigned to manage the benchmarking process for a specific scheme application.	GSSI
<b>Internal audit</b>	●	●			Internal audits, sometimes called first-party audits, are conducted by, or on behalf of, the organization itself for management review and other internal purposes, and may form the basis for an organization's self-declaration of conformity. In many cases, particularly in smaller organizations, independence can be demonstrated by the freedom from responsibility for the activity being audited.	ISO 19011:2002 3.1, Note 1
<b>Internal review</b>	●	●			An evaluation, undertaken on a regular basis by representatives of a company's management, to assess the suitability, adequacy and effectiveness of the company's management system and to identify improvement opportunities. The evaluation shall also be used to identify and assess any changes needed to policy, objectives, resource needs and improvement to product or services.	GSSI
<b>Introduction</b>			●		Of a fish species: intentional or accidental transport and release by humans into an environment beyond its present range.	FAO Term Portal – Aquaculture. ( <a href="http://www.fao.org/faoterm/en/">www.fao.org/faoterm/en/</a> )
<b>Introductions</b>			●		Species or races of fish and other aquatic organisms that are intentionally or accidentally transported and released by humans into an aquatic environment outside their natural range set by biogeographic barriers.	FAO (2012) Technical Guidelines for Responsible Fisheries. Recreational fisheries. No. 13. 176 pp.
<b>Invasive Species</b>			●		An non-native or introduced species (i.e., one that is not native to the region it's been farmed in) that causes negative impact to economic, environmental, socio-political or cultural values due to prolific growth and unmanaged population. Potential negative environmental impacts include habitat conversion/ damage, outcompeting native populations for food or habitats, and predation on native species.  For additional information see the Invasive Species Specialist Group website ( <a href="http://www.issg.org/">www.issg.org/</a> ).	Adapted from FAO Term Portal – Aquaculture. ( <a href="http://www.fao.org/faoterm/en/">www.fao.org/faoterm/en/</a> )

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<b>Irreversible or very slowly reversible</b>				●	<p>(1) Irreversibility is the quality of being impossible or difficult to return to, or to restore to, a former condition (see also Reasonable time frame (for restoration of stocks).</p> <p>(2) Examples of slowly reversible or irreversible effects of fishing are recruitment overfishing (reduced age structure with consequences to the quality of spawning), genetic modification, changed ecological role such as in food-web dynamics, and excessive depletion of very long-lived organisms.</p> <p>(3) Serious or Irreversible Harm: Impacts that compromise ecosystems integrity (i.e. ecosystem structure or function) in a manner that:</p> <ol style="list-style-type: none"> <li>i. impairs the ability of affected populations to replace themselves;</li> <li>ii. degrades the long-term natural productivity of habitats; or</li> <li>iii. causes, on more than a temporary basis, significant loss of species richness, habitat or community types.</li> </ol> <p>(4) "The 1980 Convention for the Conservation of Antarctic Marine Living Resources (CCAMLR) is usually considered a precursor of the ecosystem approach to fisheries. Its provisions require that any harvesting and associated activities must be conducted in accordance with the following principles of conservation: (i) prevention of decrease in the size of any harvested population to levels below those which ensure its stable recruitment, and for this purpose, size should not be allowed to fall below a level close to that which ensures the greatest net annual increment; (ii) maintenance of the ecological relationships between harvested, dependent and related populations of Antarctic marine living resources and the restoration of depleted populations to the levels defined in (i) above; and (iii) prevention of changes or minimization of the risk of changes in the marine ecosystem which are not potentially reversible over two or three decades, taking into account the state of available knowledge of the direct and indirect impact of harvesting, the effect of the introduction of alien species, the effects of associated activities on the marine ecosystem and of the effects of environmental changes, with the aim of making possible the sustained conservation of Antarctic marine living resources.</p>	<p>(1) Alcamo, J. et al. (2003) Ecosystem and human well-being. A framework for assessment. Millennium Ecosystem Assessment. Island Press, 245 p.</p> <p>(2) Sainsbury, K. (2008) Best Practice Reference Points for Australian Fisheries. Report to AFMA</p> <p>(3) Fisheries and Oceans Canada Ecological Risk Assessment Framework (ERAF) for Coldwater Corals and Sponge Dominated Communities. Sustainable Fisheries Framework (SFF): Policy to Manage the Impacts of Fishing on Sensitive Benthic Areas <a href="http://www.dfo-mpo.gc.ca/fm-gp/peches-fisheries/fish-ren-peche/sff-cpd/risk-ecolo-risque-eng.pdf">http://www.dfo-mpo.gc.ca/fm-gp/peches-fisheries/fish-ren-peche/sff-cpd/risk-ecolo-risque-eng.pdf</a></p> <p>(4) FAO Technical Guidelines for Responsible Fisheries. 4. Fisheries management. 4.2.The ecosystem approach to fisheries (2003) Annex 1. Institutional foundation to the ecosystem approach to fisheries</p>
<b>ISEAL Alliance</b>	●	●			Global membership association for sustainability standards	ISEAL
<b>Key performance indicators</b>	●	●			A series of criteria which are quantifiable measurements, agreed to beforehand, that reflect the critical success factors of an organization.	Crandall, W.J. (2010) Revenue Administration: Performance Measurement in Tax Administration; IMF

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<b>Key prey species</b>				●	A species within the food chain (e.g. a prey species) which is depended upon heavily for its maintenance by another (e.g. a predator species). A species within the food chain (e.g. a prey species) which is depended upon heavily for its maintenance by another (e.g. a predator species).	Adapted from 'Dependent Species' as defined in the FAO Term Portal (this being the corollary).
<b>Legal entity</b>	●	●			Any entity recognized by the law, including both juristic and natural persons.	GFSI (2013) Guidance Document Version 6.3 Part IV: Glossary of Terms.
<b>Legal framework (effective)</b>				●	A legal framework is defined as a broad system of rules that governs and regulates decision making, agreements, laws etc. It includes a set of rules, procedural steps, or test, often established through precedent in the common law, through which judgments can be determined in a given legal case. In a fisheries context this can be regarded as the framework of legal instruments required for the exercise of responsible fisheries and to formulate and implement appropriate measures. An "effective" legal framework can be regarded as one that enables outcomes for the fishery consistent with the requirements of the CCRF.	Compilation of dictionary definitions with added context for fisheries.
<b>Likely (likelihood)</b>				●	Likelihood, (see Table 1 from the IPCC report referenced), provides calibrated language for describing quantified uncertainty. It can be used to express a probabilistic estimate of the occurrence of a single event or of an outcome (e.g., a climate parameter, observed trend, or projected change lying in a given range). Likelihood may be based on statistical or modelling analyses, elicitation of expert views, or other quantitative analyses. The categories defined in Table 1 (see report) can be considered to have "fuzzy" boundaries. A statement that an outcome is "likely" means that the probability of this outcome can range from ≥66% (fuzzy boundaries implied) to 100% probability. May also be determined according to expert judgment and/or plausible argument.	Guidance Note for Lead Authors of the IPCC Fifth Assessment Report on Consistent Treatment of Uncertainties. IPCC Cross-Working Group Meeting on Consistent Treatment of Uncertainties Jasper Ridge, CA, USA 6-7 July 2010
<b>Local applicability</b>	●	●			The process of adaptation by a Scheme Owner of standards or rules for direct application at the national or regional level.	GSSI
<b>Management measures</b>				●	Specific controls applied in a fishery to contribute to achieving the objectives, including input controls (fishing effort limitations), output controls (catch quotas), technical measures (gear regulations, closed areas and time closures), and socio-economic incentives (access and use rights).	FAO Technical Guidelines for Responsible Fisheries. Fisheries management. 4. Marine protected areas and fisheries. No. 4, Suppl. 4. Rome, FAO. 2011. 198p.

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<b>Management objectives</b>				●	<p>(1) A formally established, more or less quantitative target that is actively sought and provides a direction for management action.</p> <p>(2) According to the Fishery Manager's Guidebook: "the term 'objective' is used to mean the object of an action, or what is intended to be achieved. Describing an objective will typically require a more precise description of the desired end point than for a goal. An objective must include explicit statements against which progress can be measured and it is helpful to think in terms of SMART objectives, that is, objectives should be Specific, Measurable, Achievable, Relevant and Time-bound. A goal may therefore be, for example, to harvest a particular stock sustainably. One of the objectives necessary to achieve this goal could be to ensure that fishing mortality does not lead to a reduction in the biomass of the stock below the biomass capable of producing maximum sustainable yield."</p>	<p>(1) FAO Term Portal (fisheries) <a href="http://www.fao.org/faoterm">www.fao.org/faoterm</a></p> <p>(2) A fishery manager's guidebook / edited by Kevern L. Cochrane and Serge M. Garcia — 2nd ed. 2009 Published by The Food and Agriculture Organization of the United Nations and Blackwell Publishing.</p>
<b>Management system</b>				●	<p>The framework of processes and procedures used to ensure that an organization can fulfil all tasks required to achieve its objectives.</p> <p>(1) Element used to refer to a Management System domain element. It contains the domain elements such as Management authority, Jurisdiction, Fishery Management Unit, which altogether enable positive Referencing of a Management System.</p> <p>Includes, but is not restricted to, agencies or entities involved in the management of the fishery, the legislative framework within which the fishery is undertaken, the management measures implemented and the processes and procedures that enable the collective functioning of the various components.</p>	<p>(1) FAO FIRMS data dictionary. FIRMS Technical Working Group Meeting First Session Rome, Italy, 05-08 December 2005 <a href="http://ftp.fao.org/FI/DOCUMENT/FIGIS_FIRMS/TWG1/4a_e.pdf">ftp://ftp.fao.org/FI/DOCUMENT/FIGIS_FIRMS/TWG1/4a_e.pdf</a></p>
<b>Marine feed ingredients</b>				●	<p>Feed ingredients derived from marine aquatic organisms, such as fish, crustaceans, and algae.</p>	GSSI
<b>Maximum sustainable yield (MSY)</b>				●	<p>(1) The highest theoretical equilibrium yield that can be continuously taken (on average) from a stock under existing (average) environmental conditions without affecting significantly the reproduction process. Also referred to sometimes as potential yield.</p> <p>(2) It is estimated from surplus production models (e.g. Schaefer model) and other methods. In practice, however, MSY, and the level of effort needed to reach it are difficult to assess. Referred to in UNCLOS, it is an essential fisheries management benchmark but it is also only one of the possible Management reference points, considered also as an international minimum standard for stock rebuilding strategies (i.e. stocks should be rebuilt to a level of biomass which could produce at least MSY).</p>	<p>(1) FAO Term Portal (fisheries) <a href="http://www.fao.org/faoterm">www.fao.org/faoterm</a></p> <p>(2) Indicators for sustainable development of marine capture fisheries. FAO Technical Guidelines for Responsible Fisheries. No. 8. Rome, FAO. 1999. 68p.</p>
<b>Monitoring</b>	●	●			<p>A planned sequence of observations or measurements to assess compliance with requirements.</p>	GFSI (2013) Guidance Document Version 6.3 Part IV: Glossary of Terms

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TERM	SECTION				DEFINITION	REFERENCE
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<b>Monitoring, surveillance, control and enforcement (effective and suitable)</b>					<ul style="list-style-type: none"> <li>● MCS: Monitoring, control, and surveillance. Activities undertaken by the fishery enforcement system to ensure compliance with fishery regulations. “Enforcement” refers generally to the enforcement of rules and regulations, and can be regarded as part of the overarching term “MCS”.               <ul style="list-style-type: none"> <li>(1)                   <ul style="list-style-type: none"> <li>– Monitoring – The continuous requirement for the measurement of fishing effort characteristics and resource yields.</li> <li>– Control – The regulatory conditions under which the exploitation of the resource may be conducted. This is generally considered to include the juridical component.</li> <li>– Surveillance – The degree and types of observations required to maintain compliance with the regulatory controls imposed on fishing activities.</li> </ul> </li> </ul> <p>The qualifiers “effective and suitable” need some explanation. With respect to “effective”, below there is a relevant extract from Flewwelling et al (2002). “Suitable” is not included in the FAO Guidelines for Marine Capture Fisheries, but was introduced in the drafting of the Guidelines for Inland Capture Fisheries. The important element here is that the MCS is appropriate (suitable) to the scale and intensity of the fishery. Hence what is suitable from the perspective of a large scale industrial fishery would not necessarily be the same as for a small scale fishery.</p> <p>(2) Extract from Flewwelling et al (2002):</p> <p>Some view arrests as the only relevant indication of the effectiveness of MCS efforts. The real indicator for MCS is the level of compliance, and this is governed by many factors, e.g. the number of fishers; the number of vessels; effort and area coverage of patrols; results of patrols, increase in voluntary compliance, etc.</p> <p>Effective MCS involves a two-pronged, parallel approach. The preventive approach is to encourage “voluntary compliance” through understanding and support for the management strategies and this includes:</p> <ul style="list-style-type: none"> <li>a) enhancement of community/fisher awareness and understanding of management practices and MCS through seminars, public awareness and information, education, and communication campaigns;</li> <li>b) participatory management development to promote ownership of the management regime and input into the regulatory/control aspect of management (laws and regulations) in preparation for acceptance by the fishers of their joint “stewardship” role for the management of their fisheries in partnership with government;</li> </ul> </li> </ul>	<p>(1) Flewwelling, P. (1995) An introduction to monitoring, control and surveillance for capture fisheries. FAO Fisheries Technical Paper No. 338. Rome, FAO. 1995. 217 p</p> <p>(2) Flewwelling, P.; Cullinan, C.; Balton, D.; Sautter, R.P.; Reynolds, J.E. Recent trends in monitoring, control and surveillance systems for capture fisheries. FAO Fisheries Technical Paper. No. 415. Rome, FAO. 2002. 200p</p>

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next page)*

## GSSI GLOSSARY

TERM	SECTION				DEFINITION	REFERENCE
	A	B	C	D		
<b>Monitoring, surveillance, control and enforcement (effective and suitable)</b> <i>(continued from previous page)</i>					<ul style="list-style-type: none"> <li>● c) peer pressure towards voluntary compliance and support for the management regime;</li> <li>d) the institution of accurate and verifiable data collection regimes; and</li> <li>e) surveillance and verification for compliance.</li> </ul> <p>The parallel approach of deterrent/enforcement MCS is necessary to ensure compliance by fishers who resist the regulatory regime to the detriment of both the fishery and the economic returns to their fellow fishers. Deterrent and enforcement include inspection, investigation, prevention and court proceedings to enforce the law. Voluntary compliance will fail if stakeholders see non-compliant fishers successfully evading the law and receiving economic returns from their illegal activity, at the expense of the fishers who comply with all requirements.</p>	
<b>Mono-sex</b>				●	<p>The selection or rearing of a single sex of a given species in an aquaculture unit in order to avoid uncontrolled reproduction or to obtain higher yields. Commonly used with salmonids and tilapias in which there is a dichotomy between the growth of the two sexes that is activated after the onset of sexual maturity.</p>	FAO Term Portal – Aquaculture. ( <a href="http://www.fao.org/faoterm/en/">www.fao.org/faoterm/en/</a> )
<b>Multi-site certification</b>	●	●			<p>Certification covering multi-site organisations including several sites and where sampling of these sites may be used by a certification body in its conformity assessment work.</p> <p>The scope of certification covers the actual products and processes as defined in the normative documents describing the scheme in question.</p> <p>Every site covered by this certification is mentioned on the main certificate documentation and every site is entitled to get its own sub-certificate.</p>	GSSI
<b>Multi-site organisation</b>	●	●			<p>An organisation having an identified central office, but not necessarily the headquarters of the organisation at which certain activities are planned, controlled and managed and a network of local offices or branches or sites at which such activities are fully or partially carried out.</p>	GSSI
<b>Natural reproductive stock component of enhanced stocks</b>				●	<p>The survival of fish stocks that are not enhanced depends entirely on their natural reproductive component. Stocks that are enhanced may have a natural reproductive component that contributes to the production of new generations.</p>	FAO (2011) Guidelines for the Ecolabelling of Fish and Fishery Products from Inland Capture Fisheries. 106pp. Paragraph 26.
<b>Non-conformity</b>	●	●			<p>A deviation of product or process from specified requirements, or the absence of, or failure to implement and maintain, one or more required management system elements, or a situation which would, on the basis of available objective evidence, raise significant doubt as to the conformity of what the auditee is supplying.</p>	GSSI
<b>Non-Established Species</b>				●	<p>An introduced (non-native) species that do not currently have breeding populations in the wild.</p>	GSSI

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## GSSI GLOSSARY

TERM	SECTION				DEFINITION	REFERENCE
	A	B	C	D		
<b>Non-Native Species</b>			●		See Introduction	GSSI
<b>Non-target catch (stock)</b>			●		<p>1) Species for which the gear is not specifically set, although they may have immediate commercial value and be a desirable component of the catch.</p> <p>(2) In the context of fishery certification, the target catch is the catch of stock under consideration by the unit of certification – i.e. the fish that are being assessed for certification and ecolabelling. Anything other than this catch is non-target catch. Hence there may be species for which the gear is set, but that are not being assessed as a target species for certification. In this case these species are non-target catch, even though they may be a target for the fishery according to the OECD definition above</p>	<p>(1) OECD (1996), Synthesis report for the study on the economic aspects of the management of marine living resources. AGR/FI(96)12</p> <p>(2) GSSI</p>
<b>Normative documents</b>	●	●			A document to which reference is made in the standard in such a way as to make it indispensable for the application of the standard.	European Committee for Standardization
<b>Nutrient Load</b>			●		The nutrient load refers to the total amount of waste nitrogen or phosphorus released as a result of production of the aquatic animal. Examples include “tons of nitrogen per ton of production”.	GSSI
<b>Office audit</b>	●	●			An audit carried out at the office or designated centres of an applicant.	GSSI
<b>Offsetting</b>			●		Counteract (something) by having an opposing force or effect. A relevant aquaculture example is the restoration of a specific area of mangrove forest to replace those converted during the construction of a shrimp pond, and may apply to restoring the actual area converted on the farm or restoring an area of similar size or ecological value in a different region.	Oxford English Dictionary
<b>OIE</b>			●		World Organization for Animal Health	OIE
<b>Operational</b>			●		In or ready for use.	Oxford English Dictionary
<b>Organisation</b>	●	●			A group of people or other legal entity(ies) that is responsible for ensuring that products and processes meet and, if applicable, continue to meet the requirements on which the certification is based.	GSSI
<b>Overfished</b>			●		A stock is considered “overfished” when exploited beyond an explicit limit beyond which its abundance is considered “too low” to ensure safe reproduction. In many fisheries for the term is used when biomass has been estimated to be below a limit biological reference point that is used as the signpost defining an “overfished condition”.	<p>FAO Term Portal (fisheries) <a href="http://www.fao.org/faoterm">www.fao.org/faoterm</a></p> <p>Mace, P.M. 1998. The status of ICCAT species relative to optimum yield and overfishing criteria recently proposed in the United States, also with consideration of the precautionary approach. ICCAT SCRS/97/074</p>

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## GSSI GLOSSARY

TERM	SECTION				DEFINITION	REFERENCE
	A	B	C	D		
<b>Overfishing (including recruitment overfishing)</b>					<ul style="list-style-type: none"> <li>Overfishing – A generic term used to refer to the state of a stock subject to a level of fishing effort or fishing mortality such that a reduction of effort would, in the medium term, lead to an increase in the total catch. Often referred to as overexploitation and equated to biological overfishing, it results from a combination of growth overfishing and recruitment overfishing and occurs often together with ecosystem overfishing and economic overfishing.</li> <li>Recruitment Overfishing – A situation in which the rate of fishing is (or has been) such that annual recruitment to the exploitable stock has become significantly reduced. The situation is characterized by a greatly reduced spawning stock, a decreasing proportion of older fish in the catch, and generally very low recruitment year after year.</li> <li>Growth Overfishing – Occurs when too many small fish are being harvested too early, through excessive fishing effort and poor selectivity (e.g. too small mesh sizes) and the fish are not given enough time to grow to the size at which the maximum yield-per-recruit from the stock would be obtained. A reduction of fishing mortality on juveniles, or their outright protection, would lead to an increase in yield from the fishery.</li> </ul>	<p>FAO Term Portal (fisheries) <a href="http://www.fao.org/faoterm">www.fao.org/faoterm</a></p> <p>Garcia, S.M. (Comp.). 2009. Glossary. In Cochrane, K. and S.M. Garcia. (Eds). A fishery managers' handbook. FAO and Wiley-Blackwell:473-505.</p>
<b>Participatory (fishery management)</b>					<ul style="list-style-type: none"> <li>Participatory is defined in the Merriam-Webster Dictionary as characterized by or involving participation; especially: providing the opportunity for individual participation.</li> <li>(1) A participatory approach to fisheries management requires there to be an opportunity for all interested and affected parties to be involved in the management process. This does not mean that stakeholders are required to have specific decision rights in the fishery, but there should be a consultation process that regularly seeks and accepts relevant information, including traditional, fisher or community knowledge and there is a transparent mechanism by which the management system demonstrates consideration of the information obtained. Consultation processes must be inclusive and provide opportunities for interested and effected parties to be involved. A participatory approach further requires that all major stakeholders have been identified and that the functions, roles and responsibilities of the key organisations and individuals involved in the management process are explicitly defined and well understood.</li> <li>(2) Participatory management. Any form of management involving a degree of stakeholder participation. Co-management is a specific form of participatory management in which there is a sharing of decision-making power between the state and the stakeholders.</li> </ul>	<p>(1) GSSI</p> <p>(2) Glossary in Cochrane, K.L. and S.M. Garcia (eds). 2009. A Fishery Manager's Guidebook, 2nd Edition. FAO and Wiley-Blackwell Publishers. 518pp.</p>
<b>Pest</b>					<ul style="list-style-type: none"> <li>Animals, generally rodents or insects, that may contaminate feed or chemicals used or stored on the aquaculture facility. This is separate from predators.</li> </ul>	GSSI

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## GSSI GLOSSARY

TERM	SECTION				DEFINITION	REFERENCE
	A	B	C	D		
<b>Pollution</b>			●		The introduction by man, directly or indirectly, of substances, or energy into the aquatic environment, including estuaries, which results or is likely to result in such deleterious effects as harm to living resources and aquatic life, hazards to human health, hindrance to aquatic activities, including fishing and other legitimate uses of the aquatic environment and unacceptable impairment of local water quality. Adapted from the United Nations Convention on the Law of the Sea (1982).	Adapted from the United Nations Convention on the Law of the Sea (1982).
<b>Polyploidy</b>			●		An organism with more than two sets of chromosomes. Sometimes used in aquaculture to create seed with more desirable traits, such as faster growth rates, than the same species with a normal set of chromosomes. In Section C, polyploidy is required to result in sterility due to the abnormal number of chromosomes. Examples include triploid (organisms with three sets of chromosomes).	GSSI
<b>Precautionary approach (Aquaculture)</b>			●		A set of agreed measures and actions, including future courses of action that ensures prudent foresight and reduces or avoids risk to the resource, the environment, and the people, to the extent possible, taking into account existing uncertainties and the potential consequences of being wrong.	GSSI
<b>Precautionary approach (fisheries management)</b>			●		<p>The precautionary approach involves the application of prudent foresight, taking account of the uncertainties in fisheries systems and the need to take action with incomplete knowledge. It requires, inter alia:</p> <ol style="list-style-type: none"> <li>i consideration of the needs of future generations and avoidance of changes that are not potentially reversible;</li> <li>ii prior identification of undesirable outcomes and of measures that will avoid them or correct them promptly;</li> <li>iii that any necessary corrective measures are initiated without delay, and that they should achieve their purpose promptly, on a timescale not exceeding two or three decades;</li> <li>iv that where the likely impact of resource use is uncertain, priority should be given to conserving the productive capacity of the resource;</li> <li>v that harvesting and processing capacity should be commensurate with estimated sustainable levels of resource, and that increases in capacity should be further contained when resource productivity is highly uncertain;</li> <li>vi all fishing activities must have prior management authorization and be subject to periodic review;</li> <li>vii an established legal and institutional framework for fishery management, within which management plans that implement the above points are instituted for each fishery, and</li> <li>viii appropriate placement of the burden of proof by adhering to the requirements above (FAO, 1996, para 6).</li> </ol>	FAO. 1996. Precautionary Approach to Capture Fisheries and Species Introductions. FAO Technical Guidelines for Responsible Fisheries, 2: 54 p.

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## GSSI GLOSSARY

TERM	SECTION				DEFINITION	REFERENCE
	A	B	C	D		
<b>Prepackaged</b>	●	●			Prepackaged means packaged or made up in advance in a container, ready for offer to the consumer, or for catering purposes.	Labelling of Prepackaged Foods (CODEX STAN 1-1985)
<b>Process</b>	●	●			A set of interrelated or interacting activities which result in an outcome.	GFSI (2013) Guidance Document Version 6.3 Part IV: Glossary of Terms Page 137
<b>Production system</b>			●		Concept identified by what is being cultured, giving also hints on how this is done, and possibly the aquaculture milieu in which it takes place, such as for example land-based trout culture, suspended rope culture of mussel, intensive eel culture, pond culture of Nile tilapia and intensive catfish raceway culture.	FAO Term Portal – Aquaculture ( <a href="http://www.fao.org/faoterm/en/">www.fao.org/faoterm/en/</a> )
<b>Production unit</b>			●		An individual tank, cage, or pond holding a single batch of aquatic animals.	GSSI
<b>Publicly available</b>	●	●			Obtainable by any person, without unreasonable barriers of access.  NOTE – Information that is published on an organisation's website and can be found through a basic and quick search is considered to be publicly available. 'Available on request' is not the same as publicly available.	ISEAL (2014) Impacts Code v2
<b>Reasonable time frames (for restoration of overfished stocks)</b>				●	The time period for ending overfishing and rebuilding an overfished stock should be as short as possible, taking into account the status and biology of the overfished stock, the needs of fishing communities, recommendations by international organizations exercising jurisdiction over the overfished stock, and the interaction of the overfished stock within the marine ecosystem. In any event it should not exceed 10 years, except in cases where the biology of the stock, other environmental conditions, or management measures under an applicable international agreement dictate otherwise.	Magnuson-Stevens Fishery Conservation and Management Act; 104-297 (e) REBUILDING
<b>Re-benchmarking</b>	●	●			The process of benchmarking a scheme that was previously recognised by the GSSI and that is seeking renewed recognition.	GFSI (2013) Guidance Document Version 6.3 Part IV: Glossary of Terms Page 137
<b>Recovery rate</b>			●		The percentage of the number of aquatic animals recovered at harvest divided by the number stocked. Intended as an indicator of mortality, incorporate both known and unknown losses.	GSSI

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## GSSI GLOSSARY

TERM	SECTION				DEFINITION	REFERENCE
	A	B	C	D		
<b>Reference point (limit)</b>					<ul style="list-style-type: none"> <li>● (1) Reference Point: An estimated value derived from an agreed scientific procedure and/or model, which corresponds to a specific state of the resource and of the fishery, and that can be used as a guide for fisheries management. Reference points may be general (applicable to many stocks) or stock-specific.</li> <li>(2) Limit Reference Point (LRP) indicates the limit beyond which the state of a fishery and/or a resource is not considered desirable. Fishery development should be stopped before reaching it. If an LRP is inadvertently reached, management action should severely curtail or stop fishery development, as appropriate, and corrective action should be taken. Stock rehabilitation programmes should consider an LRP as a very minimum rebuilding target to be reached before the rebuilding measures are relaxed or the fishery is re-opened.</li> <li>(3) LRP indicates the limit beyond which the state of a fishery and / or a resource is not considered desirable. Fishery development should be stopped before reaching it. If a LRP is inadvertently reached, management action should severely curtail or stop fishery development, as appropriate, and corrective action should be taken. Stock rehabilitation programmes should consider and LRP as a very minimum rebuilding target to be reached before the rebuilding measures are relaxed or the fishery is re-opened". If a LRP is well established, the probability to reach inadvertently is very low and indeed below a formally agreed level.</li> <li>(3) Indicates that the state of a fishery and / or a resource is approaching a target reference point (TRP) or a limit reference point (LRP), and that a certain type of action (usually agreed beforehand) needs to be taken. Fairly similar to a LRP in their utility, the ThRp specific purpose is to provide an early warning, reducing further the risk the the LRP or TRP are inadvertently passed due to uncertainty in the available information or inherent inertia of the management and industry systems. Adding precaution to the management set-up, they might be necessary only for resources or situations involving particularly high risk.</li> </ul>	<p>(1) Garcia S.M. (1996). The precautionary approach to fisheries and its implications for fishery research, technology and management: An updated review. FAO Fish. Tech. Paper, 350.2: 1-76</p> <p>(2) + (3) FAO Term Portal (fisheries) <a href="http://www.fao.org/faoterm">www.fao.org/faoterm</a></p> <p>(2) Fish Stock Assessment Manual, FAO Fisheries Technical Paper 393, Fisheries Department, FAO, 2000.</p> <p>(3) Garcia S.M. (1996). The precautionary approach to fisheries and its implications for fishery research, technology and management: An updated review. FAO Fish. Tech. Paper, 350.2: 1-76</p>

## GSSI GLOSSARY

TERM	SECTION				DEFINITION	REFERENCE
	A	B	C	D		
<b>Reference point (target)</b>					<ul style="list-style-type: none"> <li>(1) Reference Point: An estimated value derived from an agreed scientific procedure and/or model, which corresponds to a specific state of the resource and of the fishery, and that can be used as a guide for fisheries management. Reference points may be general (applicable to many stocks) or stock-specific.</li> <li>(2) Corresponds to a state of a fishery and / or a resource which is considered desirable. Management action, whether during a fishery development or a stock rebuilding process should aim at bringing and maintaining the fishery system at this level. In most cases a TRP will be expressed in a desired level of output for the fishery (e.g. in terms of catch) or of fishing effort or capacity and will be reflected as an explicit management objective for the fishery.</li> </ul>	<p>(1) Garcia S.M. (1997) Indicators for sustainable development in fisheries. In: FAO (1997). Land Quality indicators and their use in sustainable agriculture and rural development: 131-162.</p> <p>(2) FAO Term Portal (fisheries) <a href="http://www.fao.org/faoterm">www.fao.org/faoterm</a></p> <p>(2) Fish Stock Assessment Manual, FAO Fisheries Technical Paper 393, Fisheries Department, FAO, 2000.</p> <p>(2) Garcia S.M. (1996) The precautionary approach to fisheries and its implications for fishery research, technology and management: An updated review. FAO Fish. Tech. Paper, 350.2: 1-76</p>
<b>Regional fisheries management organization (RFMO)</b>					<ul style="list-style-type: none"> <li>Regional Fisheries Management Organizations (RFMOs) have a management mandate and play a unique role in facilitating international cooperation for the conservation and management of fish stocks. These organizations present the only realistic means of governing fish stocks that occur either as straddling or shared stocks between zones of national jurisdiction or between these zones and the high seas, or exclusively on the high seas. RFMOs adopt fisheries conservation and management measures that are binding on their members.</li> </ul>	<p>FAO Fisheries websites: <a href="http://www.fao/fishery/topic/16800/en">www.fao/fishery/topic/16800/en</a> and <a href="http://www.fao/fishery/topic/16810/en">www.fao/fishery/topic/16810/en</a></p>
<b>Register of benchmark committee members</b>	●	●			<p>A document containing the names of experts selected by GSSI, who may carry out benchmarking activities on their behalf.</p>	<p>GFSI (2013) Guidance Document Version 6.3 Part IV: Glossary of Terms Page 137</p>
<b>Resilience</b>					<ul style="list-style-type: none"> <li>Resilience is the capacity of a system to absorb disturbance and reorganize while undergoing change, so as to still retain essentially the same function, structure, identity and feedbacks of regulation mechanisms.</li> </ul>	<p>FAO Technical Guidelines for Responsible Fisheries. Fisheries management. 4. Marine protected areas and fisheries. No. 4, Suppl. 4. Rome, FAO. 2011. 198p.</p>
<b>Review</b>	●	●			<p>Verification of the suitability, adequacy and effectiveness of selection and determination activities, and the results of these activities, with regard to fulfilment of specified requirements (3.1) by an object of conformity assessment.</p>	<p>ISO/IEC 17000:2004, 5.1</p>
<b>Risk assessment</b>			●		<p>The evaluation of the likelihood of entry, establishment or spread of a pest or disease within the territory of an importing Member according to the sanitary or phytosanitary measures which might be applied, and of the associated potential biological and economic consequences; or the evaluation of the potential for adverse effects on human or animal health arising from the presence of additives, contaminants, toxins or disease-causing organisms in food, beverages or feedstuffs.</p>	<p>WTO (1995) The WTO Agreement on the Application of Sanitary and Phytosanitary Measures (SPS Agreement)</p>

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## GSSI GLOSSARY

TERM	SECTION				DEFINITION	REFERENCE
	A	B	C	D		
<b>Risk based programme</b>	●	●			A documented programme developed by a competent person(s) based on risk assessment principles.	GSSI
<b>Safety Data Sheet (SDS)</b>			●		Generally expected to conform to the Global Harmonized System (GHS). The (Material) Safety Data Sheet (SDS) provides comprehensive information for use in workplace chemical management. Employers and workers use the SDS as sources of information about hazards and to obtain advice on safety precautions. The SDS is product related and, usually, is not able to provide information that is specific for any given workplace where the product may be used. However, the SDS information enables the employer to develop an active program of worker protection measures, including training, which is specific to the individual workplace and to consider any measures that may be necessary to protect the environment. Information in a SDS also provides a source of information for other target audiences such as those involved with the transport of dangerous goods, emergency responders, poison centers, those involved with the professional use of pesticides and consumers.  See <a href="http://www.osha.gov/dsg/hazcom/ghs.html#4.8">www.osha.gov/dsg/hazcom/ghs.html#4.8</a> , particularly section 4.8 for more details.	Occupational Safety & Health Administration. United States Department of Labor,
<b>Saline Water</b>			●		Saline water is defined as >0.7 electrical conductivity (d S/m) and > 500mg/l salt concentration.	The use of saline waters for crop production – FAO irrigation and drainage paper 48 1992.
<b>Salinization</b>			●		For waters: the increase in salinity of fresh surface and groundwater supplies. A result of saltwater intrusion by pumping of seawater boreholes and wells, and the building of inland seawater ponds structures. Can have a serious effect on local agriculture, especially paddy fields.	FAO Term Portal – Aquaculture ( <a href="http://www.fao.org/faoterm/en/">www.fao.org/faoterm/en/</a> )
<b>Scheme Owner</b>	●	●			An organisation, which is responsible for the development, management and maintenance of a certification scheme.	GFSI (2013) Guidance Document Version 6.3 Part IV: Glossary of Terms Page 137
<b>Scope</b>	●	●			The extent of the area or subject matter that a scheme applies to or to which it is relevant	GSSI
<b>Seafood Certification Scheme</b>	●	●			See Certification Scheme.	
<b>Seed</b>					Meaning eggs, spawn, offspring, progeny or brood of the aquatic organism (including aquatic plants) being cultured. At this infantile stage, seed may also be referred to or known as fry, larvae, postlarvae, spat, and fingerlings. They may originate from two principal sources: from captive breeding programmes (e.g., hatcheries) or caught from the wild.	Adapted from FAO Term Portal – Aquaculture ( <a href="http://www.fao.org/faoterm/en/">www.fao.org/faoterm/en/</a> )
<b>Senior management</b>	●	●			A person or persons who have the authority and accountability to develop, implement or amend organisational policies and procedures	GSSI

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## GSSI GLOSSARY

TERM	SECTION				DEFINITION	REFERENCE
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<b>Sensitive habitat/biodiversity</b>			●		<p>Sensitive is used in terms of habitat and/or biodiversity that are of biological, ecological values which are considered outstandingly significant or critically important, at the local, national, regional or global level. Adapted from the High Conservation Value Network.</p> <p>Relevant examples in aquaculture include, but are not limited to include mangrove and wetland forests, supported by the Ramsar Convention , International Union for Conservation of Nature (IUCN) listed species and Protected Areas, High Conservation Value areas defined by the High Conservation Value Area Network, the Convention on International Trade in Endangered Species of Wild Fauna and Flora.</p>	High Conservation Value Area Network <a href="http://www.hcvnetwork.org">www.hcvnetwork.org</a>
<b>Site</b>	●	●			A permanent location where an organisation carries out work or activity'	GFSI (2013) Guidance Document Version 6.3 Part IV: Glossary of Terms
<b>Small scale fisheries</b>			●		<p>(1) Small-scale fisheries are social units with porous boundaries that individual fishers can cross. In fact, fishers can unconsciously or deliberately blur the boundaries between the various fisheries.</p> <p>(2) Small-scale fisheries represent a diverse and dynamic subsector, often characterized by seasonal migration. The precise characteristics of the subsector vary depending on the location; indeed, small-scale fisheries tend to be strongly anchored in local communities, reflecting often historic links to adjacent fishery resources, traditions and values, and supporting social cohesion. For many small-scale fishers and fish workers, fisheries represent a way of life and the subsector embodies a diverse and cultural richness that is of global significance. Many small-scale fishers, fish workers and their communities – including vulnerable and marginalized groups – are directly dependent on access to fishery resources and land. Tenure rights to land in the coastal/waterfront area are critical for ensuring and facilitating access to the fishery, for accessory activities (including processing and marketing), and for housing and other livelihood support. The health of aquatic ecosystems and associated biodiversity are a fundamental basis for their livelihoods and for the subsector's capacity to contribute to overall well-being.</p> <p>(3) These Guidelines recognize the great diversity of small-scale fisheries and that there is no single, agreed definition of the subsector. Accordingly, the Guidelines do not prescribe a standard definition of small-scale fisheries nor do they prescribe how the Guidelines should be applied in a national context. These Guidelines are especially relevant to subsistence small-scale fisheries and vulnerable fisheries people. To ensure transparency and accountability in the application of the Guidelines, it is important to ascertain which activities and operators are considered small-scale, and to identify vulnerable and marginalized groups needing greater attention. .</p>	<p>1) Wilson, D. C. and Delaney, A.E. (2005) Scientific knowledge and participation in the governance of fisheries in the North Sea. In: Participation in fisheries governance, Gray, T.S. (Ed.). Review: Methods and Technologies in Fish Biology and Fisheries, 4. Springer. Netherlands: 319-341</p> <p>(2) FAO (2014) Voluntary Guidelines for Securing Sustainable Small-Scale Fisheries in the Context of Food Security and Poverty Eradication. Preface</p> <p>(3) (2014) FAO Voluntary Guidelines for Securing Sustainable Small-Scale Fisheries in the Context of Food Security and Poverty Eradication. Paragraph 2.4</p>

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TERM	SECTION				DEFINITION	REFERENCE
	A	B	C	D		
<b>Small scale fisheries</b> <i>(continued from previous page)</i>					<p>This should be undertaken at a regional, subregional or national level and according to the particular context in which they are to be applied. States should ensure that such identification and application are guided by meaningful and substantive participatory, consultative, multi-level and objective-oriented processes so that the voices of both men and women are heard. All parties should support and participate, as appropriate and relevant, in such processes.</p>	
<b>Stakeholder</b>	●	●			<p>An individual or group of individuals, whether at institutional or personal level, who has an interest or claim that has the potential of being impacted by or having an impact on a given activity. This interest or claim can be stated or implied and direct or indirect. Stakeholders and stakeholder groups can be at the household, community, local, regional, national, or international levels.</p>	ISO 26000, Working Draft 3 (Rev), definition 3.17.
<b>Standard</b>	●	●			<p>Document approved by a recognized organization or arrangement, that provides, for 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.</p>	WTO (1995) Technical Barriers to Trade agreement, Annex 1,2
<b>Steering Board Liaison</b>	●	●			<p>An appointed member of GSSI's Steering Board assigned to support and monitor the Benchmark Process on behalf of the Steering Board.</p>	GSSI
<b>Sterile</b>			●		<p>Being infertile</p>	FAO Term Portal – Aquaculture ( <a href="http://www.fao.org/faoterm/en/">www.fao.org/faoterm/en/</a> )
<b>Stock</b>				●	<p>See Fish Stock</p>	
<b>Stock assessment</b>				●	<p>The process of collecting and analysing biological and statistical information to determine the changes in the abundance of fishery stocks in response to fishing, and, to the extent possible, to predict future trends of stock abundance. Stock assessments are based on resource surveys; knowledge of the habitat requirements, life history, and behaviour of the species; the use of environmental indices to determine impacts on stocks; and catch statistics. Stock assessments are used as a basis to assess and specify the present and probable future condition of a fishery.</p>	FAO Term Portal (fisheries <a href="http://www.fao.org/faoterm">www.fao.org/faoterm</a> )
<b>Stock structure and composition</b>				●	<p>The structure of a particular stock, in terms of its size or age composition or in terms of its species composition (for a multispecies stock) or its separate genetic structure.</p>	Adapted from FAO Term Portal (fisheries <a href="http://www.fao.org/faoterm">www.fao.org/faoterm</a> )

While terms are not limited to a specific section, the color coding indicates in which section the term is used most.

## GSSI GLOSSARY

TERM	SECTION				DEFINITION	REFERENCE
	A	B	C	D		
<b>Stock under consideration</b>				●	The “stock under consideration” exploited by the unit of certification may be one or more biological stocks as specified by the stakeholders for certification. The certification applies only to products derived from the “stock under consideration”. In assessing compliance with certification standards, the impacts on the “stock under consideration” of all the fisheries utilizing that “stock under consideration” over its entire area of distribution are to be considered. See also “Unit of Certification”	FAO (2009) Guidelines for the Ecolabelling of Fish and Fishery Products from Marine Capture Fisheries, revision 1
<b>Subcontracting</b>	●	●			A firm, company or individual carrying out a process on products on the behalf of the site audited and is under contract to do so.	GSSI
<b>Supplier</b>	●	●			An organisation supplying food, feed or a service.	GFSI (2013) Guidance Document Version 6.3 Part IV: Glossary of Terms Page 138
<b>Surveillance</b>	●	●			Follow-up audit(s) to assess compliance with the specific requirements of a scheme’s standard and to verify the validity of an issued certificate.	GFSI (2013) Guidance Document Version 6.3 Part IV: Glossary of Terms Page 138
<b>Survival rate</b>			●		Number of fish alive after a specified time interval, divided by the initial number. Usually on a yearly basis or for the rearing period.	FAO Term Portal – Aquaculture ( <a href="http://www.fao.org/faoterm/en/">www.fao.org/faoterm/en/</a> )
<b>Suspension</b>	●	●			The process by which a scheme is temporarily not recognised by GSSI.	GFSI (2013) Guidance Document Version 6.3 Part IV: Glossary of Terms Page 138
<b>Systematic non-compliance</b>				●	Fishery regulations and/or controls are being regularly and repeatedly violated to an extent that threatens the effective implementation of the management strategy (see Management Measures). Non-compliance is closely related to the commonly used term illegal, unreported and unregulated (IUU) fishing. See also “Monitoring, surveillance, control and enforcement (effective and suitable)”	FAO International Plan of Action to Prevent, Deter and Eliminate Illegal, Unreported and Unregulated Fishing. <a href="http://www.fao.org/docrep/003/y1224e/y1224e00.htm">http://www.fao.org/docrep/003/y1224e/y1224e00.htm</a>
<b>Tamper-proof (packaging)</b>	●	●			Made so that one is able to see if anything has been changed, opened, removed, or damaged.	Cambridge dictionaries
<b>Third party</b>	●	●			A person or body that is independent of the organization or person that provides the object of conformity assessment.	(ISO/IEC 17000, 2004, Definition 2.4)
<b>Third party certification</b>			●		Procedure by which an accredited external, independent, certification body which is not involved in standards setting or has any other conflict of interest, analyzes the performance of involved parties, and reports on compliance. This is in contrast to first party certification (by which a single company or stakeholder group develops its own standards, analyzes its own performance, and reports on its compliance and second party certification (by which an industry or trade association or NGO develops standards, analyzes the performance of involved parties, and reports on compliance).	Adapted from the Report of the First Expert Workshop on Aquaculture Certification held in Bangkok, Thailand. March 2007

While terms are not limited to a specific section, the color coding indicates in which section the term is used most.

## GSSI GLOSSARY

TERM	SECTION				DEFINITION	REFERENCE
	A	B	C	D		
<b>Traceability</b>	●	●			The ability to follow the movement of a product of fisheries or aquaculture or inputs such as feed and seed, through specified stage(s) of production, processing, transport and distribution. (Adapted for GSSI)	FAO (2011) Technical Guidelines for Aquaculture Certification. Paragraph 12.
<b>Transfer</b>			●		The movement of individuals of a species or population of an aquatic organism from one location to another within its present range.	FAO (1998) Codes of practice and manual of procedures for consideration of introductions and transfers of marine and freshwater organisms
<b>Transition period for compliance</b>	●	●			A defined period of time by which an organisation shall comply to a series of requirements or standard.	GSSI
<b>Trash fish</b>			●		Small fish species, damaged catch and juvenile fish are sometimes referred to as 'trash fish' because of its low market value. Usually part of a (shrimp) trawler's bycatch. Often it is discarded at sea although an increasing proportion is used as human food or as feed in aquaculture and livestock feed.	FAO Term Portal – Aquaculture ( <a href="http://www.fao.org/faoterm/en/">www.fao.org/faoterm/en/</a> )
<b>Unit of certification (Aquaculture)</b>			●		The scale or extent of the aquaculture operation(s) assessed and monitored for compliance. The unit of certification could consist of a single farm, production unit or other aquaculture facility. The certification unit could also consist of a group or cluster of farms that should be assessed and monitored collectively.	FAO Technical Guidelines for Aquaculture Certification (2011)
<b>Unit of certification (Fisheries)</b>			●		<p>The “unit of certification” is the fishery for which ecolabelling certification is sought, as specified by the stakeholders who are seeking certification. The certification could encompass: the whole fishery, where a fishery refers to the activity of one particular gear-type or method leading to the harvest of one or more species; a sub-component of a fishery, for example a national fleet fishing a shared stock; or several fisheries operating on the same resources. The “stock under consideration” exploited by this fishery (unit of certification) may be one or more biological stocks as specified by the stakeholders for certification. The certification applies only to products derived from the “stock under consideration”. In assessing compliance with certification standards, the impacts on the “stock under consideration” of all the fisheries utilizing that “stock under consideration” over its entire area of distribution are to be considered.</p> <p>(2) The “unit of certification” is the fishery for which ecolabelling certification is called for. The certification could encompass: the whole fishery, where a fishery refers to the activity of one particular gear-type or method leading to the harvest of one or more species; a sub-component of a fishery, for example a national fleet</p>	<p>(1) FAO (2009) Guidelines for the Ecolabelling of Fish and Fishery Products from Marine Capture Fisheries, Revision 1.</p> <p>(2) FAO Term Portal (fisheries) <a href="http://www.fao.org/faoterm">www.fao.org/faoterm</a></p>

(continued on next page)

## GSSI GLOSSARY

TERM	SECTION				DEFINITION	REFERENCE
	A	B	C	D		
<b>Unit of certification (Fisheries)</b> <i>(continued from previous page)</i>					fishing a shared stock; or several fisheries operating on the same resources. The certification applies only to products derived from the “stock under consideration” In assessing compliance with certification standards, the impacts on the “stock under consideration” of all the fisheries utilizing that stock or stocks over their entire area of distribution are to be considered.	
<b>Unscheduled audit</b>	●	●			Audits planned within a defined programme, but without the allocation of a specified programme date.	GFSI (2013) Guidance Document Version 6.3 Part IV: Glossary of Terms
<b>Validation</b>	●	●			An activity to obtain evidence that a requirement is controlled effectively.	GFSI (2013) Guidance Document Version 6.3 Part IV: Glossary of Terms
<b>Verification</b>	●	●			A confirmation, through the review of objective evidence that requirements have been fulfilled.	GFSI (2013) Guidance Document Version 6.3 Part IV: Glossary of Terms
<b>Veterinarian</b>			●		See Aquatic Animal Health Professional	
<b>Veterinary drugs</b>			●		Definitions of veterinary drugs vary from source-to-source. In this document veterinary drugs as considered to include antimicrobials, antibacterials, therapeutants, antibiotics, and veterinary medicinal products, if misused, can result in food safety implications, including residues, as well environmental implications, such as the spread of resistance to treatments in pathogenic organisms.	GSSI
<b>Water quality criteria</b>			●		Specific levels of water quality desired for identified uses, including drinking, recreation, farming, aquaculture production, propagation of other aquatic life, and agricultural and industrial processes.	FAO Term Portal – Aquaculture ( <a href="http://www.fao.org/faoterm/en/">www.fao.org/faoterm/en/</a> )
<b>Wet-fish</b>			●		Unprocessed, uncooked whole or chopped fish. Sometimes referred to as trash fish.	GSSI
<b>Whole fish</b>			●		These are marine feed ingredients (e.g., algae, crustaceans, and fish) harvested specifically for rendering into fishmeal and fish oil (as opposed to those primarily destined for human consumption. The term does not include aquaculture or fishery byproducts.	GSSI
<b>Work program</b>	●	●			A defined series of activities to be carried out within a defined time period.	GSSI

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**意見提出要領**

上記申請に関連し、当協会が考慮すべきであると考える事項について、簡潔な文、又は箇条書きで、意見及び提供可能な場合にはその裏づけとなる具体的な事実をお知らせ下さい。

(意見送付先) [mel-jfrca@mbr.sphere.ne.jp](mailto:mel-jfrca@mbr.sphere.ne.jp)

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