



**Third Surveillance Report**  
**CANADIAN NORTHERN PRAWN TRAWL FISHERY**  
**Shrimp Fishing Areas 13, 14 &15**

Certificate No.: MML-F-029

**Intertek Moody Marine**  
November 2011

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## 1.0 GENERAL INFORMATION

**Scope against which the surveillance is undertaken:** MSC Principles and Criteria for Sustainable Fishing as applied to the CANADIAN NORTHERN PRAWN TRAWL FISHERY Shrimp Fishing Areas 13, 14 & 15.

**Species:** *Pandalus borealis*

**Area:** Shrimp Fishing Area 13, 14 & 15 (Scotian Shelf Atlantic coast of Canada)

**Method of capture:** Trawl

<b>Date of Surveillance Visit:</b>	<b>20 October 2011</b>			
<b>Initial Certification</b>	<b>Date: 5 August 2008</b>	<b>Certificate Ref: MML-029</b>		
<b>Surveillance stage</b>	<b>1st</b>	<b>2<sup>nd</sup></b>	<b>3rd</b>	<b>4th</b>
<b>Surveillance team:</b>	<b>Lead Assessor: Paul Knapman</b> <b>Assessors: Don Aldous, Howard Powles, Colin Bannister (reviewer)</b>			
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## 2.0 RESULTS, CONCLUSIONS AND RECOMMENDATIONS

This report contains the findings of the third surveillance audit in relation to the Association of Seafood Producers (ASP) Canadian Northern Prawn Trawl Fishery in Shrimp Fishing Areas 13, 14 & 15. The surveillance audit was carried out in accordance with the Marine Stewardship Council (MSC) Fisheries Certification Methodology (FCM) Version 6 (1) and MSC TAB Directive 033 v1 (January 19, 2011)

An announcement of the surveillance site visit was sent to recognised stakeholders on 22nd September 2011 and published on the MSC website advising stakeholders that the audit site visit would take place on October 20, 2011. (See appendix A).

The surveillance team – Don Aldous and Howard Powles - met with members of the client group and officials of the Canadian Department of Fisheries and Oceans. Information and evidence was gathered on the status of the stock, the performance of the fishery throughout the year, measures to meet the Conditions of Certification and changes in management. Howard Powles was a member of the original assessment team; Colin Bannister, who was also a member of the original assessment team, did not take part in the site visit but has reviewed the report.

The following section is set out as a table within which general information about the status of the stock and the fishery for this reporting period is provided along with the surveillance team's observations, conclusions and recommendations on the current status of the fishery and the client's progress toward meeting the Conditions of Certification.

The table includes the original assessment scoring guideposts and scoring commentary and the requirements of the original Condition alongside the heading 'Activity assessed'. This identifies the areas in which the fishery was determined to perform below the level required by the MSC standard during the initial assessment, and the required actions to address these issues.

As required by the MSC certification methodology, ASP produced an Action Plan setting out the stages involved in addressing the Conditions raised. This is set out in the table alongside the heading 'ASP Action Plan'.

According to the terms of the Action Plan, the client has provided information on the work undertaken to date. This is set out alongside 'ASP Progress Report'.

The Intertek Moody Marine surveillance team evaluated progress against the Action Plan and made comments in ('Observations' and 'Conclusion') including:

1. The commitments made in the Action Plan;
2. The intent of the original Condition; and,
3. The original scoring indicator, guideposts and commentary.

The influence of any overall legislative and management changes in the fishery are also taken into consideration.

When the Condition has been judged to have been met, a re-evaluation of the scoring allocated to the relevant Performance Indicator(s) in the original MSC assessment will be included within the evaluation. If the score is 80 or more, the Condition is closed. Since this is the Third Annual Surveillance Audit concerning this fishery, there have been Conditions that were closed by previous Audits. The issues associated with these PIs will be part of the overall review of the on-going operation of the fishery during this audit. This Third Annual Audit will concentrate on the Conditions remaining open.

Item	<i>P. borealis</i> in SFA 13, 14 & 15
<b>1</b>	<b>Stock status</b>
<b>Activity assessed</b>	<p>The most recent assessment of the resource was conducted in December 2010, based on 2010 data. The assessment indicated that there has been some decline in biomass from 2009 but that biomass remained above the average for the 2000-2009 high-productivity period. Exploitation rates in 2010 were 13.2% of total biomass and 16.8% of female (spawning) biomass, below the limit reference value of 20%. Pre-recruit indices were relatively strong, indicating good prospects for recruitment in 2011 and later.</p> <p>As in past years (time series available since 1982) 26 indicators of abundance, production, fishing and ecosystem were combined in a traffic light framework to determine stock status. The TL indicator was green for 2010, indicating good stock status overall.</p> <p>The assessment advised that maintaining a TAC of 5,000 t (as in 2010) would result in an exploitation rate below the reference value of 20%, but that a decrease in TAC would diminish the likelihood of over-running the reference value in future. The TAC for 2011 was reduced to 4,600 t, through industry consultations in the SSSAC (Scotian Shelf Shrimp Advisory Committee).</p> <p>The fishery continues to be prosecuted by 17 active inshore vessels (less than 65 ft) (28 licenses exist) and 7 active mid-shore licenses (65-100 ft vessels) (14 licenses exist). There are 14 trap licenses for fishing in Chedabucto Bay; these have been inactive in recent years but there appear to be prospects for resolving marketing problems and reactivating this fishery.</p> <p>The fishery caught 4,581t of the 5,000 t TAC in 2010.</p> <p>There were no issues with the progress of the 2011 fishery that were raised by managers during their meeting with the Audit Team.</p> <p>DFO is considering implementing a Marine Protected Area at Ste Anns Bank off eastern Cape Breton, in SFA 13 and near the area where the fishery is conducted. An area of 3,700 km<sup>2</sup> is currently an Area Of Interest (AOI) or an area formally being considered for closure of all or part thereof. Discussions with industry and other stakeholders on creating a Marine Protected Area are expected soon.</p> <p>A substantially revised Integrated Fisheries Management Plan was released in October 2011, including a framework for implementing reference points and decision rules in this fishery (see sections below for details).</p>

Item	<i>P. borealis</i> in SFA 13, 14 & 15
2	<i>Conditions closed by previous audits</i>
	<p>Condition 3: Potential Impacts on Protected, Endangered and Threatened Species</p> <p>During the site visit, the audit team referred to the Scotian Shelf Shrimp Integrated Fisheries Management Plan as drafted October 18, 2011 and noted the lack of reference to Species at Risk Act (SARA) and related objectives. Subsequent to the site visit the team received an amended version of the plan (Version 1.5.1), which now includes a description of the SARA legislation and a commitment to continued monitoring using surveys and observer data to detect any change in status. There are currently no SARA listed species affected by this fishery.</p>

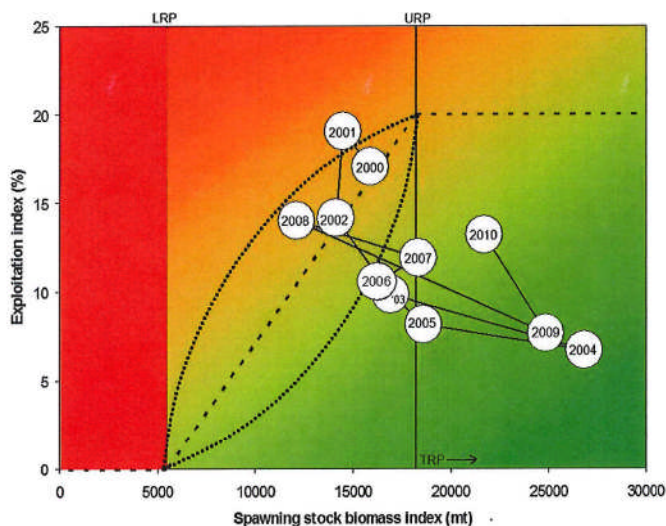
Item	<i>P. borealis</i> in SFA 13, 14, 15
<b>3</b>	<b>Condition 1: Reference Points and Decision Rules</b>
<b>Activity assessed</b>	<p>This Condition relates to the development and incorporation of precautionary reference points and decision rules in the management advice for the fishery. Five related Performance Indicators (PIs) under MSC Principle 1 and 3 were considered to be deficient in the initial assessment of the fishery. The following bullet points reflect the narrative used for the 80 Scoring Guidepost (SG) for each of these PIs:</p> <ul style="list-style-type: none"> <li>• Appropriate limit and precautionary reference points should be determined and implemented taking into account stock biology and the limitations of the available fishery and assessment data (PI 1.1.3.2).</li> <li>• Major uncertainties and assumptions should be reflected in the management advice and limitations addressed through the appropriate decision rules (PI 1.1.3.5).</li> <li>• Clear decision making rules should exist, be fully documented and reconciled with appropriate reference points and with data and assessment limitations (PI 1.1.3.7).</li> <li>• Results from monitoring the stock are regularly interpreted in relation to reference points (3A.6.2).</li> <li>• Practical procedures exist to reduce harvest in the light of monitoring results and provide for stock recovery to specified levels. Measures can be implemented speedily (3A.6.3).</li> </ul> <p>To ensure that, as a minimum, each of the PIs achieves the 80 SG the assessment team recommended that within the second year of the fisheries MSC certification the client should address the following points:</p> <p>a) The informal precautionary reference points and decision rules currently guiding fishery management should be quantified and explicitly incorporated in the stock assessment and integrated fisheries management plan.</p> <p>b) Further work should be undertaken to develop and implement reference points based on stock biology, fishery characteristics and the limitations of the available data.</p> <p>c) Management advice and decision rules should take explicit account of the implications of the major uncertainties and assumptions in the assessment especially in the context of future declines in biomass.</p>
<b>ASP Action Plan</b>	<p><b>Action Plan Condition 1</b></p> <p>DFO has agreed to work on developing proxies and reference points, for presentation to relevant RAP meeting, and eventual discussion at the Eastern Scotian Shelf Shrimp Advisory Committee (ESSSAC).</p> <p>Consideration will be given to levels of abundance that are deemed acceptable or unacceptable based upon trends over time in consultation with ESSSAC.</p> <p>Key ongoing uncertainties and assumptions currently documented in the scientific advice, and reflected in the low exploitation rates in management decision will be formalized in the Integrated Fisheries Management Plan (IFMP) within 2 years.</p>
<b>Conclusion from second Audit</b>	<p>Condition 1 Parts a and b:</p> <p>As the revised IFMP is not yet available, progress on reference points and decision rules cannot be verified until, at the earliest, after the next meeting of ESSSAC in spring 2011.</p> <p>Condition1 Part c:</p> <p>Although sources of uncertainty are identified in the research documents and the science</p>

	<p>advisory reports, quantitative analysis of their effects on the prospective efficacy of the management framework has not yet been clearly described or planned, so far as we are aware.</p> <p>The Moody Marine surveillance team recognizes that the implementation of PA reference points and harvest rules may require several iterations to move from a provisional to a final framework, but progress to date has now clearly fallen behind target. In accordance with the MSC Fisheries Certification Methodology v6 if progress is judged to be behind target the certification body shall specify remedial action and time frame within which it shall be achieved. The assessment team therefore stipulates that:</p> <p>a) An agreed revised IFMP should be made available to the assessment team for scrutiny by correspondence within 6 weeks of the next ESSSAC meeting. This should include the provisional reference point framework and decision rules.</p> <p>b) The revised IFMP should include a statement on what plans will be made to test the prospective efficacy of the provisional framework under uncertainty.</p> <p>The assessment team recommends that (b) might be undertaken by developing a simulation model for management strategy evaluation. The team also recommends that the provisional reference point framework and particularly the adaptive harvest rules should be subject to external scientific peer review at the next RAP.</p>
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<b>ASP Progress Report</b>	The new IFMP was eventually released in draft format in time for this audit process, for the consideration of the Audit Team and ASP as the fishery client (but not for further distribution). DFO Maritimes Region confirmed to the client on September 09, 2011, "Management Documents have been updated as necessary, addressing reference points and outlining objectives for the fishery and establishing a precautionary approach framework against which management advice is provided." (Note from Audit Team: the IFMP was released for public distribution on October 18, 2011, after receipt of the ASP Progress Report).
<b>Observations</b>	<p>With respect to the corrective actions identified by the Team on the second audit (2010), it appears that these did not take place within the identified time frames. The last SSSAC meeting was in January 2011 but a revised IFMP was not provided until October 2011 rather than 6 weeks after the meeting as stipulated.</p> <p>The audit team was provided with a copy of a substantially revised Integrated Fisheries Management Plan (IFMP) signed by DFO Maritimes Region's Director of Resource Management on October 18, 2011. The IFMP incorporates a number of improvements over earlier versions and is generally fully consistent with MSC requirements.</p> <p>With the new IFMP and related activities, the fishery now meets the requirements laid out above (for the 80 scoring guideposts), as follows:</p> <ul style="list-style-type: none"> <li>• Appropriate limit and precautionary reference points should be determined and implemented taking into account stock biology and the limitations of the available fishery and assessment data (PI 1.1.3.2). A limit reference point and upper reference point delimiting a "cautious" zone have been defined; these are based on knowledge of stock biology and take account of limitations of data and of uncertainties (pp. 16-17 of IFMP; see the framework below). The 2010 stock assessment reported on stock status relative to the reference points.</li> <li>• Major uncertainties and assumptions should be reflected in the management advice and limitations addressed through the appropriate decision rules (PI 1.1.3.5). Major uncertainties and assumptions about stock status are outlined in the IFMP (pp 14-15) and in the Science Advisory Report on stock status. A maximum exploitation rate of 20% when the stock is above the URP has been selected; this is lower than what would have been selected if stock status was known with high certainty (25-33%, based on an estimate of natural mortality) (p. 16)</li> <li>• Clear decision making rules should exist, be fully documented and reconciled with appropriate reference points and with data and assessment limitations (PI 1.1.3.7). Decision rules are set out in the IFMP (pp 16-17). An exploitation rate of 20% will be the upper limit when abundance is above the Upper Reference Point; exploitation rate will decline toward zero as abundance declines below the Upper Reference Point to the Limit Reference Point. The 20% limit exploitation rate is set lower than would be the case if status was known with high certainty.</li> <li>• Results from monitoring the stock are regularly interpreted in relation to reference points (3A.6.2). Stock monitoring has been conducted using a Traffic Light framework and multiple indicators for many years. In 2010 with the development of the management framework described above, the stock assessment interpreted monitoring results in relation to the new reference points and decision rules.</li> <li>• Practical procedures exist to reduce harvest in the light of monitoring results and provide for stock recovery to specified levels. Measures can be implemented speedily (3A.6.3). Fishery management tools exist and are used to control harvest, total allowable catches, mesh size limits, limits on licenses. These can be implemented very quickly through variation orders to the fleet.</li> </ul>



A graphical representation of the framework incorporating reference points and decision rules is shown below. Curved dotted lines for adjusting exploitation rate in the cautious zone are to indicate that exploitation rate will be adjusted considering factors such as trends in abundance and predation, environmental conditions, and other factors from the Traffic Light framework.



The Audit Team notes that it may be helpful in future assessments to provide clarity on how factors from the Traffic Light framework will affect exploitation rate in the cautious zone, thus ensuring a stable and predictable management framework.

### Conclusion

The Audit Team concludes that the performance of the fishery now meets the requirements of the 80 Scoring Guideposts for the PIs outlined above: the new IFMP includes a management framework based on reference points and decision rules, a strong monitoring program is being maintained, there is the ability to rapidly change management measures when necessary, and there is evidence that the new framework was used to assess the stock in 2010 and to determine the TAC for 2011.

The relevant PI (PI 1.1.3.2) is re-scored at 80. The Condition is closed out and the issues associated with this PI will be part of the overall review of the on-going operation of the fishery at future annual audits to monitor the outcome of the TAC and exploitation rate strategy over the remaining period of the certificate.

Item	<i>P. borealis</i> in SFA 13, 14 & 15
<b>4</b>	<b>Condition 2: Ecological Impacts of the Fishery</b>
<b>Activity assessed</b>	<p>This Condition relates to better understanding and informing management of the effects of the fishery on seabed habitats and communities in order that, where appropriate and necessary, management measures can be adopted. Eight PIs that were considered deficient in the initial assessment of the fishery were combined to create this Condition. The following bullet points reflect the narrative used for the 80 SG for each of these PIs:</p> <ul style="list-style-type: none"> <li>• The nature and distribution of all main habitat types are known in adequate detail. Information is recent. The distribution of fishing operations is monitored and the sensitivity of key habitats is understood (PI 2.1.1.1).</li> <li>• Impacts of gear use on the habitat are identified or can be reliably estimated including reliable information on the extent, timing and location of use (PI 2.1.3.1).</li> <li>• It can be demonstrated that the fishery does not have unacceptable impacts upon habitats within major fishing areas or on sensitive habitats elsewhere (PI 2.1.4.3).</li> <li>• Appropriate information is available on the effects of the fishery on biological diversity, community structure and productivity. This does not indicate any unacceptable impacts (PI 2.1.4.4).</li> <li>• Management strategies are in place to detect and reduce ecosystem impacts, although these may not have been fully tested, they are considered appropriate to adequately protect key elements of the ecosystem within main fishing areas (PI 2.1.4.5).</li> <li>• There are appropriate evaluated procedures used for measuring performance relative to the objectives (3A.3.4).</li> <li>• Measures are being applied to minimize any environmental impacts and there is evidence that the measures are working (3A.7.1).</li> <li>• Suitability of no-take zones and closed areas / seasons has been reviewed and these have been or are currently being implemented and enforced if and where appropriate (3A.7.2).</li> </ul> <p>To ensure that, as a minimum, each of the PIs achieve the 80 scoring guidepost the assessment team recommended that the client should address the following:</p> <p>Within the second year of certification:</p> <ol style="list-style-type: none"> <li>a) Based on existing information, the spatial distribution of fishing effort should be documented.</li> <li>b) Existing data should be compiled and used to map seabed habitats and, where possible, associated species.</li> </ol> <p>Within the third year of certification:</p> <ol style="list-style-type: none"> <li>c) Based on the initial assessments above, develop a program to fill key knowledge gaps.</li> <li>d) Review information on the sensitivity of the identified seabed habitats and associated species.</li> <li>e) Compile information from existing studies of gear impacts on the identified seabed habitats.</li> <li>f) Using information from a, b, c, d, e above, assess the likely impacts of the fishery - taking into account extent, timing and location.</li> <li>g) Assess the acceptability of the current impacts of the fishery on habitat structure.</li> <li>h) Assess the acceptability of current impacts on biological diversity, community structure, and productivity.</li> </ol>

	<p>i) Review the effectiveness of existing policies, operating procedures and codes of conduct for coral conservation.</p> <p>Within the fourth year of certification:</p> <p>j) If appropriate, using the information and outcomes from the above, new management strategies should be outlined and measures implemented to detect and minimize ecosystem impacts of the fishery and to ensure that key elements of the ecosystem are protected. In particular, the suitability of no-take zones and closed areas / seasons should be reviewed, and implemented and enforced if and where appropriate.</p>
<b>ASP Action Plan</b>	<p><b><u>Action Plan Condition 2</u></b></p> <p>Existing information on the spatial distribution on fishing effort/catch, as well as existing data on seabed habitats and associated species will be compiled. This existing work will form the basis of a qualitative analysis on sensitivity of key habitats and gear impacts.</p> <p>The RAP will apply existing information to evaluate the risk of unacceptable impacts on ecosystem function as a result of the shrimp fishery and identify options for mitigation in areas where high risk of impairing ecosystem function may be identified. The RAP will also identify any important knowledge gaps.</p> <p>In consultation with ESSSAC, the client will work to develop a monitoring program and propose strategies to address areas where there is a high risk of impairing ecosystem function.</p>
<b>Conclusion from Second Audit</b>	<p>While good progress has been made on setting up a GIS and entering data, the Year 2 milestone as outlined above has not been attained and so progress is behind target. In accordance with the MSC Fisheries Certification Methodology v6 if progress is judged to be behind target the certification body shall specify remedial action and time frame within which it shall be achieved.</p> <p>The surveillance team therefore stipulates that the work as outlined in the Year 2 milestone, i.e. Based on existing information, the spatial distribution of fishing effort should be documented; Existing data should be compiled and used to map seabed habitats and, where possible, associated species, should be completed by December 31st 2010 and evidence of this should be provided to the assessment team by this date.</p> <p>The audit team recommends that the client work closely with DFO Maritimes Region to ensure that the mapping information benefits from information available there and that the outputs are shared with the management authorities. In addition we recommend that the client work with DFO Maritimes Region to ensure that the spatial information is used to assess potential impacts of the fishery and to develop mitigating measures if necessary, to ensure that all parts of the condition are met by Year 4.</p>
<b>ASP Progress Report</b>	<p>ASP contracted with the Marine Institute's Centre for Sustainable Aquatic Resources to conduct work related to this condition. Dr. Scott Grant of the Centre reported on the progress on that work on to the Audit Team on October 19, 2011 during a visit by the audit team to St. John's, Newfoundland.</p>
<b>Observations</b>	<p>The Audit Team confirmed that the milestones for Year 2 have been fully met, via creation of an on-line atlas, which displays fishery and habitat information for the fishery area.</p>

	<p>The Team met with the client and with Dr. Scott Grant of the Centre for Sustainable Aquatic Resources of the Fisheries and Marine Institute of Memorial University, who had been contracted by the client to work on deliverables for Year 3 under this Condition (items c to i above under “Activity Assessed”). Dr. Grant provided a preliminary written and verbal report on progress toward these deliverables.</p> <p>The work planned by Dr. Grant appeared to the audit team to be consistent with meeting the year 3 deliverables, and there has been progress toward meeting these. Dr. Grant noted that work on the deliverables had been delayed by departure of key staff in June and July, who had been assigned to this task.</p> <p>The Team noted the progress made and past performance of Dr. Grant and team (who did the study of unobserved fishing mortality in response to Condition 3 in Year 2, on time and to a high standard). In light of these observations, progress is being made toward meeting the milestones. However these have not been met in Year 3 as required in the Condition for certification.</p> <p>The Audit Team was advised that creation of a Marine Protected Area at St. Ann’s Bank in the northwest part of SFA 13 is being considered; this is currently an “Area of Interest” and consultations on establishing an MPA will soon be under way (see under Stock Status).</p> <p>DFO’s Maritimes Region (responsible for management of this fishery) developed and published a coral conservation strategy in 2006. This is currently undergoing a 5-year review and will be updated as necessary following the review.</p> <p>DFO held a major peer review workshop on conservation of sensitive habitat features (including sponges and corals) in 2010. The Science Advisory Report from this meeting includes maps of sponge and coral habitats throughout Canada, preliminary assessments of sensitivity of these habitats and preliminary considerations on encounter protocols. A second workshop to further define encounter protocols and management measures is planned for 2012. A detailed Research Document on distribution and sensitivity of sponge and coral habitats in Atlantic Canada was produced for this meeting and is publicly available.</p>
<b>Conclusion</b>	<p>The Year 3 milestones as outlined above (points c-i under “Activity Assessed” above) have not been attained and therefore the client is behind target in meeting with this condition of certification. In accordance with Tab Directive 33 and the Fisheries Certification Methodology, the client has until the next annual audit to rectify this situation, failing which procedures to suspend or withdraw the certification will be required to be initiated.</p> <p>The Audit Team strongly recommends that the Client work to achieve these milestones as expeditiously as possible, since the results of work on the year 3 milestones will be necessary to achieve the year 4 milestone. Since the end results of the Year 3 work include assessments of the acceptability of impacts of the fishery on habitats and ecosystems, and an assessment of the effectiveness of existing policies, operating procedures and codes of conduct for coral conservation, these results along with recommendations for the year 4 milestone (recommendations on new management strategies, if necessary) will have to be reviewed by the Scotian Shelf Shrimp Advisory Committee to ensure that this Condition is fully met, which further argues for rapid completion of the Year 3 milestones.</p>

Item	<b><i>P. borealis</i> in SFA 13,14 &amp;15</b>
<b>5</b>	<b>Condition 5: Measurable and Explicit Long and Short Term Objectives</b>
<b>Activity assessed</b>	<p>This Condition relates to the need for the management system to clearly identify short and long term objectives and implement precautionary measures where sufficient information is lacking. The following bullet points reflect the narrative used for the 80 SG for each PI that was considered to be deficient in this area of the assessment:</p> <ul style="list-style-type: none"> <li>• The management system contains short and long-term resource and environment objectives (PI 3A.3.1).</li> <li>• Appropriate, formalized measures exist to evaluate and implement a precautionary approach in the development and application of operational procedures in the absence of sufficient information (PI 3A.3.3).</li> </ul> <p>To ensure that, as a minimum, that these PIs achieve the 80 SG the assessment team recommended that within the third year of the certification the client should ensure that:</p> <p>a) Management plans should more explicitly specify measurable long and short-term resource and environmental objectives, and appropriate formalized measures should be used to implement a precautionary approach in the absence of sufficient information.</p>
<b>ASP Action Plan</b>	<p><b>Action Plan Condition 5</b></p> <p>The client will work with DFO in consultation with EESAC to discuss the development measurable and explicit long and short-term objectives and include these in the IFMP.</p>
<b>Conclusion from second Audit</b>	Progress on this condition cannot be verified until the publication of a revised IFMP. The target for delivery of this Condition is within the third year of the certification.
<b>ASP Progress Report</b>	A revised IMFP (draft) has been issued and made available to the auditors. DFO Maritimes Region committed to meeting the requirements for this condition. DFO Maritimes Region confirmed to the client on September 09, 2011, "Management Documents have been updated as necessary, addressing reference points and outlining objectives for the fishery and establishing a precautionary approach framework against which management advice is provided."
<b>Observations</b>	<p>The team referred to the IFMP version 1.5.1 and noted the inclusion in Section 5 of the IFMP of objectives, strategies and tactics as formalized measures to address productivity, biodiversity, habitat, cultural and sustenance and prosperity issues within the fishery.</p> <p>The team also noted the use of the Nordmore grate intended to reduce incidental mortality and the use of closed areas of the Gully Marine Protected Area, the Lophelia Coral Conservation Zone, and the Northeast Channel Coral Conservation Zone to protect sensitive habitat. These are considered to represent appropriate, formalised measures to manage potential impacts on the ecosystem in the absence of perfect information.</p> <p>The IFMP (p. 16) provides a rationale that the limit reference fishing mortality (20%) is below that which could be justified (25-33%) if information was complete. This is considered to represent an appropriate formalised measure for managing the target stock under uncertainty.</p>
<b>Conclusion</b>	The team concluded that the client has met this condition of certification and the related PI's (PI 3A.3.1 and PI 3A.3.3) are re-scored at 80. The Condition is closed out and the issues associated with this PI will be part of the overall review of the on-going operation of the fishery at future annual audits.

	The Audit Team recommends that the client work with DFO to ensure that in future versions of the IFMP, measures to manage under uncertainty are summarised in a distinct section. The audit team recommends <u>that the next audit should monitor progress towards the development and implementation of such a plan.</u>
<b>6</b>	<b>Any complaints against the certified operation; recorded, reviewed and actioned</b>
	There have been no complaints regarding this certification since the last audit.
<b>7</b>	<b>Any relevant changes to legislation or regulation.</b>
	DFO has identified this fishery as a low enforcement risk with only a few violations dealing with “hail outs”, a minor violation of the dockside monitoring program.
<b>8</b>	<b>Any relevant changes to management regime.</b>
	Changes to the Integrated Fishery Management Plan have been described above. Otherwise, there have been no changes to the fishery management regime.
<b>9</b>	<b>Overall Conclusions</b>
	<p>Progress against Condition 2 is behind target. Significant progress will need to be made in the next year in order for next year’s audit to verify that the required milestones have been met. Failure to complete the milestones would require that section 6.9 of the MSC Fisheries Certification Methodology be invoked and the process for either suspension or withdrawal of the certificate would be initiated.</p> <p>No changes in management have taken place that would detrimentally affect the performance of this fishery against the MSC standard and the fishery continues to meet the requirements of the MSC Standard.</p> <p>MSC Certification should therefore continue with audits annually.</p>

**Information Sources:****References**

DFO 2006. Coral conservation plan, Maritimes Region (2006-2010). ESSIM Office, DFO Maritimes Region, Dartmouth NS. ix + 59 pp.

DFO 2010. OCCURRENCE, SENSITIVITY TO FISHING, AND ECOLOGICAL FUNCTION OF CORALS, SPONGES, AND HYDROTHERMAL VENTS IN CANADIAN WATERS. Canadian Science Advisory Secretariat Science Advisory Report 2010/041: 54 pp.

DFO 2010. Assessment of northern shrimp on the eastern Scotian Shelf. Canadian Science Advisory Secretariat Science Advisory Report 2011/029: 13 pp.

DFO 2011. Scotian Shelf Shrimp (*Pandalus borealis*) Integrated Fisheries Management Plan. Version 1.5.1, 18 October 2011. 36 pp.

Grant, S. M. and G. Bishop MS 2011. Work to date: trawling impacts on benthic habitats and communities in the northern shrimp fishery on the Newfoundland-Labrador Shelf (SFAs 5, 6, and 7) and eastern Scotian Shelf (SFAs 13, 14 and 15). 13 pp, 19 October 2011.

**Meetings**

October 19, 2011: Meeting with ASP and Dr Scott Grant at the ASP Boardroom, St. Johns, Newfoundland

October 20, 2011: Meeting with ASP and DFO at the Bedford Institute of Oceanography, Halifax, Nova Scotia

**Websites**

ASP On-line Atlas. <http://geonl.net/mapguide/ASP/>

St. Ann's Bank Area of Interest. DFO web site -- <http://www.dfo-mpo.gc.ca/oceans/marineareas-zonesmarines/mpa-zpm/atlantic-atlantique/stanns-sainteanne/index-eng.htm>

**Standards and Guidelines used:**

1. MSC Principles and Criteria for Sustainable Fishing
2. MSC Fishery Certification Methodology Version 6. September 2006
3. TAB Directives - all

## Appendix A

### ASP Northern Prawn Trawl Fishery

#### MSC Certification

Certification Body: Intertek Moody Marine

#### Surveillance Audit

Following certification of this fishery, we are now continuing the process of annual surveillance audits of the fishery. These audits have two principal functions:

1. To review any changes in the management of the fishery, including regulations, key management or scientific staff, or stock evaluation
2. To evaluate the progress of the fishery against any Conditions of Certification raised during the Main Assessment

During the audit, or at separate meetings, we shall be speaking with representatives of the fishery and fishery management organisations. We expect to carry out meetings on **October 19, 2011 in St. John's, Newfoundland and on October 20, 2011 in Halifax, Nova Scotia**

Should you have any information on this fishery that you feel should be considered in the assessment, please advise us. We may be available to meet with stakeholders as appropriate. If you would like to arrange a meeting, please advise us of:

- a) your name and contact details
- b) your association with the fishery
- c) the issues you would like to discuss (in order for us to arrange appropriate representation)
- d) where and when you would like to meet

Yours

Don Aldous  
Lead Assessor

September 22, 2011

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