

Name of Fishery	LFPO Pelagic Trawl Sprat (<i>Sprattus sprattus</i>)	
Surveillance level and type	<p>The surveillance level set out in the Public Certification Report (PCR) was Level 2. The surveillance requirements for level 2 are 1 on-site, 2 off-site surveillance audits and 1 review of information. The level was not changed on the first surveillance report.</p> <p>However, the client of the fishery has started with a new assessment named NZRO Gulf of Riga herring (<i>Clupea harengus membras</i>) and sprat (<i>Sprattus sprattus</i>) trawl fishery, and therefore the CAB has decided to modify the surveillance program from off-site to on-site visit. See Appendix 1.</p>	
Surveillance number (tick one)	1st Surveillance	
	2nd Surveillance	X
	3rd Surveillance	
	4th Surveillance	
	Other (expedited etc)	
Proposed Team Leader	<p>JOSÉ RIOS holds a degree in Sea Sciences from the University of Vigo and an MSc in Fisheries and Aquaculture from the University of Wales-Bangor. He has 15 years of experience working in fisheries from different angles and places around the world. Between 2003 and 2010 he was responsible for designing and monitoring fisheries management plans for the exploitation of several marine resources (clams, cockles, barnacles, and octopus) for the Regional Fisheries Authority of Galicia (Spain). In 2008-09 he developed the scientific monitoring scheme for an experimental octopus fishery in the waters of Namibia for a private fishing company. Between 2008 and 2012, as part of different projects funded by the Spanish International Cooperation Agency (AECID), he supported local fisheries and aquaculture management bodies to strengthen organizational and managing capacities of the fishing and rural aquaculture sector in Namibia, Cape Verde, Colombia and Mozambique. Since 2013, as part of the fisheries team of WWF Spain, he was promoted different initiatives to improve fisheries management in coastal Spanish fisheries. As WWF representative he took part in the daily management of different coastal fisheries in the Spanish Mediterranean (Catalan sandeel, Balearic boat seines, and Palamós red shrimp).</p> <p>His 7 years in charge of designing and monitoring fisheries management plans for the exploitation different marine resources in Galicia, together with his experience on trophic ecology of demersal fish species in the Mediterranean (ICM-CSIC), his work with the University of Azores assessing an experimental fishing license for Orange roughy in the Azores islands, and his experience designing and monitoring an experimental fishing license for octopus in Namibia (IIM-CSIC) ensure he meets qualification and competency criteria established in PC3 for (i) Fishing impacts on aquatic ecosystems. Also, his 3 years of experience as a practicing fishery manager as a WWF representative in 3 Mediterranean fisheries, together with his 7 years of experience participating in the implementation of fisheries management plans in Galicia and his experiences assessing experimental fishing licenses in the Azores and Namibia ensure he meets qualification and competency criteria established in PC3 for (ii) Fishery management and operations.</p> <p>Currently, he is a full-time employee at Bureau Veritas Fisheries Department.</p>	

	For this assessment he will be the team leader and the P2 and P3 expert together with Gemma Quilez (for P2) and Hans Lassen (for P3).
Proposed team members	<p>Hans Lassen: Independent consultant holds a cand. scient. (M.Sc.) from Copenhagen University and a HD (B.Sc.) from the Copenhagen School of Commerce. His background is in fish stock assessments, particularly in the application of computers and models. He joined the Danish Institute of Fisheries and Marine Research (DIFRES) in 1971. 1988-1992 he worked in the Greenland Fisheries Research Institute as Deputy Director and Director and returned to DIFRES in 1992. Between 1998 and 2003 he was in charge of the Fisheries Group in the ICES Secretariat as Fisheries Adviser who serves as secretary to the ICES Advisory Committee on Fishery Management. After 2004 he was head of the ICES Advisory Programme within the ICES Secretariat. He retired from the ICES secretariat in 2010 and has since worked on various projects within his expertise in advisory issues.</p> <p>He has been a member and Chairman of numerous ICES committees and groups, has within the Northwest Atlantic Fisheries Organization chaired STACFIS and the Scientific Council, been a member of STECF (EC, DG Fish), scientific adviser to Danish delegations to fisheries negotiations and chaired an internal EC expert group to provide input to the EC Multi-annual Guidance Program, within the Nordic Council of Ministers he chaired its Working Group on Fisheries and worked with the FAO/DANIDA project (1982-1998) on teaching fish stock assessment. In 2006 he was awarded the prestigious Swedish prize “Kungsfenan” for contributions to communication between science and the fishing industry. At his retirement from ICES he was awarded a Special Service Award. Therefore, his appropriate skills and experience complies with the (i) Fish stock assessment, meeting also the qualification and competency criteria established for (ii) Fishery management and operations.</p> <p>He has been a member of MSC certification teams for westgreenland shrimp, and Barents Sea Demersal trawl fisheries (Greenland) and Westgreenland lumpfish. He has acted as reviewer and expert for several MSC assessment reports.</p> <p>Bureau Veritas confirms he has no conflicts of interest in relation to the fishery audit. A complete CV is available upon request.</p> <p>GEMMA QUÍLEZ holds a Biology degree from Barcelona University (Spain), an MSc in Natural Resource Management from Leicester University (UK) and a PhD in Marine Biology from Newcastle upon Tyne University (UK).</p> <p>She has around 20 years of experience working in Marine Biology, Marine Ecology, Marine Conservation Biology and Fisheries. In 1998, she did her MSc thesis on neritic and oceanic fish larvae from the Irish Sea. From 1999 to 2001 she worked at the ICM-CSIC (Marine Science Institute) of Barcelona (Spain) on trophic ecology of pelagic species larvae and participated in different oceanographic cruises on board the RV García del Cid. In 2004, while doing her PhD on Marine Invasive species, she was employed at the Fisheries Research Institute of Kavala, Greece, to conduct a study on trophic ecology of anchovy larvae. Also, during her PhD (2001-2006), she participated on several research cruises on board the RV Bernicia. Once she finished her PhD she went to work on marine invasive species for the Smithsonian Environmental Research Center (USA) until 2010.</p> <p>From 2010 until 2016, she worked as fisheries policy officer for the Mediterranean Programme of WWF (World Wide Fund for Nature) in Barcelona,</p>
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	<p>Spain. As such she worked on fisheries regional and international policy processes (e.g. GFCM, ICCAT, MedAC), mostly on Atlantic and Mediterranean bluefin tuna and at ICCAT, both at a scientific and policy level. She also participated in the creation and in the following functioning of the co-management committee of the Catalan sandeel fishery.</p> <p>Since 2010 until present she has been working studying the biology, ecology and population dynamics of Atlantic and Mediterranean bluefin tuna and being deeply involved in the stock assessment of the species at ICCAT level.</p> <p>In addition, from 2008 until 2018 she has been one of the two the Spanish representatives at two ICES working groups (WGBOSV - Working Group on Ballast and Other Ship Vectors, and WGITMO - Working Group on Introductions and Transfers of Marine Organisms).</p> <p>Her experience (over 8 years) studying the biology, ecology and population dynamics of Atlantic bluefin tuna, deeply involved with ICCAT, as well as her previous work on trophic ecology of pelagic species larvae, proves her capacity to meet the qualification and competency criteria for PC3 (i) Fishing impacts on aquatic ecosystems. Her 6 years as WWF fisheries officer working on fisheries policy processes (mostly on Atlantic and Mediterranean bluefin tuna) and on the co-management of the Catalan sandeel, proves her capacity to meet the qualification and competency criteria for PC3 (ii) Fishery management and operations.</p> <p>For this assessment she will be the expert on P2 which she will share with José Rios.</p> <p>SARMITE ZOLTNERE. Since 2012 Lead Auditor of ISO 9001, 14001, 18001, ISCC, MSC COC, FSC COC; SA8000 in Bureau Veritas Latvia, SIA. She meets the competency criteria concerning current knowledge of the country and the CoC Standard and CoC Certification Requirements, language and local context established in Annex PC.</p>
Audit/review time and location	<p>The on-site surveillance audit is scheduled on the 23rd and 26st of April 2019. Before the on-site surveillance the team will review the new information of the fishery. The sites to be visited will be Riga and in Ventspils if needed.</p>
Assessment/review activities	<p>In accordance to FCR 7.23.12-7.23.13, during the off-site surveillance audit Bureau Veritas will:</p> <ul style="list-style-type: none"> • Actively seek the views of the client about: (i) Changes to the fishery and its management; ; (ii) Any changes to regulations; (iii) Any personnel changes in science, management or industry and their impact on the management of the fishery; (iv) Any potential changes to the scientific base of information, including stock assessments; (v) Any changes affecting traceability; • Regulatory framework and fishery management system (objectives, mechanisms for decision-making, monitoring, control, inspection, evaluation), including compliance of the certified fleet; • Changes affecting the 'management loop' (outcome, management,

	<p>information) assessed in the initial certification process for the certified species and the other species impacted by the fishery, as well as for marine habitats and ecosystems impacted by the fishery.</p> <ul style="list-style-type: none"> • Review if information base for PI scores has changed and report, record and (if necessary) re-score the PI <p>And will perform the following activities:</p> <ul style="list-style-type: none"> • Meetings and interviews with the crew and managers of the companies included in the client group; • Hold stakeholder conference calls and actively seek the view of stakeholders to ensure that the team is aware of any concerns of stakeholders.
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Submitted by: Jose Rios

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Appendix 1: Surveillance frequency

The surveillance level and the fishery surveillance program has been modified due to a new fishery entering into the program. The surveillance audit is going to take place close to the anniversary date of the fishery.

Table 1: Surveillance level rationale

Year	Surveillance activity	Number of auditors	Rationale
2	On-site audit	3 auditor on-site	A new fishery named “NZRO Gulf of Riga herring (<i>Clupea harengus membras</i>) and sprat (<i>Sprattus sprattus</i>) trawl fishery” overlaps with the current fishery and therefore the stakeholders and client are the same. Consequently, it was decided to change the surveillance activity from off-site to on-site. Both site visits will take place at the same time.
3, 4	Off-site	2 auditors off-site	The information needed can be provided remotely.

Table 2: Timing of surveillance audit

Year	Anniversary date of certificate	Proposed date of surveillance audit	Rationale
2	May 2020	April 2019	One month before the anniversary date.
3	May 2021	May 2021	
4	May 2022	May 2022	
5	May 2023	Before May 2023	

Table 3: Fishery Surveillance Program

Surveillance Level	Year 1	Year 2	Year 3	Year 4
Level 4	On-site surveillance audit	On-site surveillance audit	Off-site surveillance audit	Review information & re-certification site visit