

EXPEDITED AUDIT REPORT

Norway North Sea and Skagerrak herring fishery

Norges Fiskarlag

Report No.: 2019-010, Rev. 1

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Date: 03.06.2019

Certificate number: MSC-F-61406



Project name: Expedited Audit
 Report title: Norway North Sea and Skagerrak herring fishery
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 Contact person: Tor Bjørklund Larsen
 Date of issue: 03.06.2019
 Project No.: PRJC-504564-2014-MSC-NOR
 Organisation unit: ZNONO418
 Report No.: 2019-010, Rev.1
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 Certificate No: MSC-F-61406

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Objective:

The objective of this report is an expedited audit of the **Norway North Sea and Skagerrak herring** fishery.

The Expedited Audit is triggered by the need to remove the Skagerrak component from this certification due to the Western Baltic Spring-spawning herring which has been downgraded -ICES (2018b) and is focused on review of information for this component with emphasis on traceability risks.

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Keywords:

MSC Fisheries, North Sea, Skagerrak, herring, expedited

Rev. No.	Date	Reason for Issue	Prepared by	Verified by
0	2019-05-29	First issue	Hans Lassen, Sandhya Chaudhury	
1	2019-06-03	Client approved	Hans Lassen, Sandhya Chaudhury	

Introduction

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1 GLOSSARY

1.1 Abbreviations & acronyms

ACOM	ICES Advisory Committee on Management
AGSE	Ad hoc Group on Seabird Ecology
CAB	Conformity assessment body
CAP	Client Action Plan
COC	Chain of Custody
CPUE	Catch per unit of effort
CR	Certification Requirements
DoF	Directorate of Fisheries
EC	European Commission
EEZ	Exclusive Economic Zone
ERS	Electronic Reporting system
ETP	Endangered, threatened and protected species
EU	European Union
FAO	Food and Agriculture Organization of the United Nations
FCR	Fisheries Certification Requirements
FNI	Fridtjof Nansen Institute
HCR	Harvest Control Rule
ICES	International Council for the Exploration of the Sea
IMR	Institute of Marine Research (Havforskningsinstituttet, Norway)
IUCN	International Union for Conservation of Nature
IWC	International Whaling Commission
JNRFC	Joint Norwegian–Russian Fisheries Commission
JWGBIRD	Joint OSPAR/HELCOM/ICES Expert Group on Seabirds
MAP	Multi Annual management plan
MP	Management plan
MSC	Marine Stewardship Council
NAMMCO	North Atlantic Marine Mammal Commission
NBIC	Norwegian Biodiversity Information Centre
NEAFC	North East Atlantic Fisheries Commission
NFA	Norwegian Fishermen's Association
NFVOA	Norwegian Fishing Vessel Owners Association
NGO	Non-governmental organization
NINA	Norwegian Institute for Nature Research
NPI	Norwegian Polar Institute
NSASH	North Sea Autumn Spawning Herring
OSPAR	Oslo-Paris convention
PI	Performance indicator
PISG	Performance Indicator Scoring Guidepost
PS	Purse seine
PT	Pelagic trawl
RBF	Risk Based Framework
SA	Surveillance Audit
SG	Scoring Guidepost
SSB	Spawning- stock biomass
TAC	Total allowable catch
UoA	Unit of Assessment
UoC	Unit of Certification
VME	Vulnerable marine ecosystems
WBSS	Western Baltic Spring Spawning Herring
WGBYC	Working Group on Bycatch of Protected Species
WGMME	Working Group on Marine Mammal Ecology
WGNOS	Working Group on the Integrated Assessments of the North Sea
WGWIDE	Working Group on Widely Distributed Stocks

1.2 Stock assessment reference points

B_0	The (spawning) biomass expected if there had been no fishing (assuming recruitment as estimated through stock assessment).
B_{lim}	Spawning biomass limit reference point, sometimes used as a trigger within harvest control rules, or defined as the point below which recruitment is expected to be impaired or the stock dynamics are unknown
B_{msy}	Spawning Biomass at which the maximum sustainable yield is expected (sometimes expressed as SB_{msy})
B_{targ}	Spawning biomass target reference point
F_{lim}	Exploitation rate limit reference point, often taken as F_{MSY} based on UNFSA
F_{MSY}	Fishing mortality rate associated with the achieving maximum sustainable yield
F_{targ}	Fishing mortality target reference point
MSY	Maximum Sustainable Yield

2 EXECUTIVE SUMMARY

This report contains the findings of an expedited audit conducted for the Norway North Sea and Skagerrak herring fishery during April-May 2019.

The status of the Western Baltic Spring-spawning herring has been downgraded, ICES (2018b) and therefore the purpose of this Expedited Report is:

1. To establish and report on any material changes to the original assessment in response to the revisions made by ICES in its stock assessment of the Western Baltic Spring Spawning Herring;
2. To re-score any Performance Indicators (PI) where practice or circumstances have materially changed during the intervening year;
3. To review traceability risks.

For a complete picture of the fishery, this report should be read in conjunction with the Public Certification Report and the surveillance audit reports available for download at www.msc.org.

This expedited audit was an off-site audit announced on the MSC website and by stakeholder notification on the 26th April 2019.

The fourth Surveillance report in December 2018 noted that the status of the Western Baltic Spring Spawning Herring and the Harvest Control Rule were changed. Rescoring 2.1.1 did not change the scores while rescoring PI 1.2.2 gave rise to a condition.

There is progress with resolving the HCR issues as ICES in April 2019 has released advice on the status of the proposed HCRs viz-a-viz precautionary approach.

2.1 The Assessment Process

The MSC Fisheries Certification Process v 2.1 defines the Unit of Certification (UoC) (i.e., the unit entitled to receive an MSC certificate) as follows:

- a. *The target stock(s).*
- b. *The fishing method or gear type(s), vessel type(s) and/or practices.*
- c. *The fishing fleets or groups of vessels or individual fishing operators pursuing that stock including entities initially intended to be covered by the certificate."*

The fisheries covered by this certification are defined as described in Table1 below.

Table 1 UoC –Norway North Sea and Skagerrak herring fishery

Fishery name:	Norway North Sea and Skagerrak herring fishery	
Unit of certification	Species:	Herring (<i>Clupea harengus</i>)
	Stock:	North Sea herring
	Geographical area:	North Sea and Skagerrak; ICES Subarea 4 and Division 3.a; within EEZ of Norway
	Harvest method:	Purse-seine and Pelagic trawl
	Management:	The stock is managed according to EU-Norway Agreement and advised by ICES. This agreement is implemented in Norway under National management systems.
	Client group:	The fishery is certified by the client Norges Fiskarlag on behalf of all registered vessels in the Norwegian fleet fishing within the Unit of Certification.
	Other eligible fishers:	Not applicable

This expedited audit was an off-site audit announced on the MSC website and by stakeholder notification of the 26th April 2019.

Western Baltic spring spawning herring (WBSSH) was defined as IPI catches, as they are practically inseparable from the target stock of North Sea herring during normal fishing operations, they comprise less than 15% of the overall catch ("1.5% in the most recent assessment) they are not certified separately and they are not ETP species.

The Expedited Audit is triggered by the need to remove the Skagerrak component from this certification and is focused on review of information for this component with emphasis on traceability risks.

2.2 History of the assessments

2.2.1 Summary of the original assessment

The intent of the Norway North Sea and Skagerrak herring fishery to become MSC certified was announced on 16th October 2007, and the fishery received its initial certification on 30th April 2009. Four annual audits were completed during the initial certification period. The re-assessment of the Norway North Sea and Skagerrak herring fishery was announced on 2nd April 2013, and the continued certification of the fishery was confirmed through the release of the Re-assessment Public Certification Report dated. 3rd July 2014. The current certificate validity end date is 29th July 2019. The scope of MSC Fisheries certification is up to the point of landing and chain of custody commences from point of landing.

Information from the initial certification, second certification and previous surveillance audits is available at: <https://fisheries.msc.org/en/fisheries/norway-north-sea-herring/@assessments>.

The default assessment tree, set out in the MSC Certification Requirements, version 1.3, was used for the re-assessment. The fishery attained a score of 80 or more against each of the MSC Principles and did not score less than 60 against any of the individual MSC Criteria. In the initial certification, the scores of the three Principles are summarized.

Table 1 Principle scores – Original assessment:

Principle	Purse seine	Pelagic Trawl
Principle 1 – Target Species	96.3	
Principle 2 – Ecosystem	94.3	94.7
Principle 3 – Management System	96.1	

The fishery did not achieve a score of below 80 against any scoring indicators; hence no conditions were set for the certification of the fishery. No recommendations were set for the certification of the fishery.

Western Baltic spring spawning herring (WBSSH) was defined as IPI catches, as they are practically inseparable from the target stock of North Sea herring during normal fishing operations, they comprise less than 15% of the overall catch ("1.5%) they are not certified separately and they are not ETP species.

2.2.2 First annual surveillance – 2015

The first surveillance audit was performed as an off-site review of new information and conducted according to MSC Certification Requirements, version 1.3. The default assessment tree, set out in the MSC Certification Requirements v1.3 was used as basis for this surveillance.

The surveillance was announced on the MSC website on 26th March 2015 followed by a supporting notice to stakeholders issued by MSC on the same date. Direct email notification was also sent to the stakeholders that had previously been identified for this fishery, inviting interested parties to the surveillance audit for this fishery. The audit was conducted on 20th and 21st May 2015. The off-site surveillance audit was completed by John Nichols (principle expert, team leader) and Guro Meldre Pedersen (CoC responsible, project manager), both members of the assessment team for the re-

assessment of the fishery. Changes to roles in the assessment team were announced on the MSC website and listed stakeholders informed by direct mail notification.

The assessment team gathered input from various stakeholders through remote mechanisms, incl. Ministry of Trade, Industry and Fisheries, Directorate of Fisheries and the client. The Institute of Marine Research was approached but not involved. Details on information submitted by stakeholders in the assessment process are included as basis for this report.

The fishery remains in conformance with the scope criteria relating to unilateral exemption and destructive fishing practices (Certification Requirements v1.3 section 27.4.4). The fishery cannot be considered as an enhanced fishery as it does not meet the enhanced fisheries criteria required under the MSC CR 27.4.12.

There were no changes to scoring of performance indicators at the first surveillance audit.

2.2.3 Second annual surveillance – 2016

The second surveillance audit was performed as an on-site audit and conducted according to MSC Certification Requirements, version 1.3. The default assessment tree, set out in the MSC Certification Requirements v1.3 was used as basis for this surveillance. The surveillance was announced on the MSC website on 28th June 2016 followed by a supporting notice to stakeholders issued by MSC on the same date. Direct email notification was also sent to the stakeholders that had previously been identified for this fishery, inviting interested parties to contact the audit team.

The surveillance took place on-site on 5th and 6th September 2016 in Oslo and Bergen. The team met with representatives of the Client, Norwegian Ministry for Trade, Industry and Fisheries, the Norwegian Directorate for fisheries and the Institute for Marine Research (IMR). At all these meetings it was reported that the fishery has developed as in previous years, that there were no changes in the management, control and enforcement and that the fleet has remained without significant changes.

The stock status also has remained as in previous years, see section 2.1 above. The Client and the Directorate provided fisheries detailed fishery statistics documenting this status. The statistics included also by-catch information.

There were no changes to scoring of performance indicators at the second surveillance audit.

2.2.4 Third annual surveillance – 2017

The third surveillance audit was performed as an offsite audit and conducted according to MSC Certification Requirements, version 2.0. The default assessment tree, set out in the MSC Certification Requirements v1.3 was used as basis for this surveillance. The surveillance was announced on the MSC website on 20th June 2017 followed by a supporting notice to stakeholders issued by MSC on the same date. Direct email notification was also sent to the stakeholders that had previously been identified for this fishery, inviting interested parties to contact the audit team.

The client submitted the Remote audit checklist on 11th August 2017 with accompanying information. The audit team had a verifying telephone conference with the client representatives. At this meeting, it was confirmed that the fishery has developed as in previous years, that there were no changes in the management, control and enforcement and that the fleet changes are reflected in the updated vessel list.

The stock status has remained as in previous years, ICES (2017a) and ICES (2017b). The client provided detailed fisheries statistics documenting this status. The statistics included also by-catch information. The fishery has no conditions and the surveillance plan remains the same.

There were no changes to scoring of performance indicators at the third surveillance audit.

2.2.5 Fourth annual surveillance – 2018

The fourth surveillance audit was performed as an on-site audit and conducted according to MSC Certification Requirements, version 1.3. The default assessment tree, set out in the MSC Certification Requirements v1.3 was used as basis for this surveillance. The surveillance was announced on the MSC website on 6th September 2018 followed by a supporting notice to stakeholders issued by MSC on the same date. Direct email notification was also sent to the stakeholders that had previously been identified for this fishery, inviting interested parties to contact the audit team.

The surveillance audit took place on-site on the 16th October 2018 in Bergen and on 17th October 2018 in Oslo. The team met with representatives of the Client, Norwegian Ministry for Trade, Industry and Fisheries, the Norwegian Directorate for fisheries and the Institute for Marine Research (IMR).

Table 2 Principle scores – Re- assessment and later amendments:

Principle	Original Re-Assessment		SA4 2018 (Rescoring PI 1.2.2 and PI 2.1.1)	
	PS	PT	PS	PT
Principle 1 – Target Species	96.3		95.0	
Principle 2 – Ecosystem Impact	94.3	94.7	Unchanged	Unchanged
Principle 3 – Management System	96.1		Unchanged	

2.3 Summary of Assessment Conditions

There were no conditions for the re-assessment of this fishery in July 2014 and none during surveillance audits 1 to 3. A new condition has been raised at the 4th surveillance audit of 2018:

Table 3 Summary of Assessment Conditions

Condition number	Performance indicator (PI)	Status	PI original score	PI revised score
1	1.2.2: Evidence should be provided to demonstrate that the harvest control tools in place are appropriate and effective in achieving the exploitation levels required under the harvest control rules.	New at 4 th surveillance	80	70

2.4 Conclusion

The fishery continues to be within the scope of the MSC fisheries standard according to the following determinations (MSC FCP v2.1 § 7.4):

- The target species is a fish and the fishery does not use poisons or explosives;
- The fishery is not conducted under a controversial unilateral exemption to an international agreement;
- The client does not include an entity that has been successfully prosecuted for a forced labour violation in the last 2 years;
- The fishery has mechanisms for resolving disputes and disputes do not overwhelm the fishery;
- The fishery is not enhanced or based on an introduced species.

The Assessment team concludes that

- The fishery continues to be within the scope of the MSC fisheries standard
- The state of the North Sea Autumn spawning herring stock remained unchanged
- The state of the Western Baltic Spring Spawning stock has changed and PI 2.1.1 is rescored but the scores did not change
- However, the fishery in Skagerrak is dominated by WBSSH herring and these will not meet SG 60 for PI 1.1.1 (stock is below B_{lim} and has been so for a longer period). Hence, the fishery in Skagerrak is proposed to be removed from the certificate.

- There are no changes with respect to stock assessment data and assessment methodology, on habitats and on ecosystem functioning
- There are no changes in the management of the fishery
- MCS and compliance is unchanged
- Personnel and management organisation are unchanged
- There is one condition on this fishery set at the fourth surveillance audit (December 2018)

PI 2.1.1 for the Western Baltic Spring Spawning herring was rescored at the fourth Surveillance audit and the scoring Table is repeated in this report, see section 4.4. This was a result of the 2018 ICES advice which is based on new reference points resulting from a benchmarking exercise carried out in early 2018. As a consequence, the stock is now perceived to be below the point at which recruitment would be impaired, which is the minimum level required by MSC. The Skagerrak herring fishery is suspended in fisheries targeting WBSSH herring. Hence herring caught in the Skagerrak area cannot be sold with the MSC logo and therefore the Norwegian fishery in Skagerrak is no longer certified.

Table 4 Conclusion

Fishery	Status of certification	Comment
Norway North Sea and Skagerrak herring fishery	North Sea (ICES 4.a & 4.b) remains certified. Skagerrak (ICES IIIa) is no longer certified	The assessment team concludes that the MSC Certificate for the Norway North Sea herring fishery shall remain active. The assessment team concludes that the MSC Certificate for the Norway Skagerrak herring fishery shall not be active.

3 REPORT DETAILS

3.1 Surveillance information

The audit was conducted as a desk study.

Table 5 Audit information

1	Fishery name																															
	Norway North Sea and Skagerrak herring fishery																															
2	Unit(s) of Assessment (UoA)																															
	<table><tr><td>Species:</td><td colspan="3">Herring (<i>Clupea harengus</i>)</td></tr><tr><td>Stock:</td><td colspan="3">North Sea herring</td></tr><tr><td>Geographical area:</td><td colspan="3">North Sea and Skagerrak; ICES Division IV and IIIa; within EEZ of Norway</td></tr><tr><td>Harvest method:</td><td colspan="3">Purse-seine and Pelagic trawl</td></tr><tr><td>Management:</td><td colspan="3">The stock is managed according to EU-Norway Agreement. This agreement is implemented in Norway under National management systems, advised by ICES.</td></tr><tr><td>Client group:</td><td colspan="3">The fishery is certified by the client Norges Fiskarlag on behalf of all registered vessels in the Norwegian fleet fishing within the Unit of Certification.</td></tr><tr><td>Other eligible fishers:</td><td colspan="3">Not applicable</td></tr></table>				Species:	Herring (<i>Clupea harengus</i>)			Stock:	North Sea herring			Geographical area:	North Sea and Skagerrak; ICES Division IV and IIIa; within EEZ of Norway			Harvest method:	Purse-seine and Pelagic trawl			Management:	The stock is managed according to EU-Norway Agreement. This agreement is implemented in Norway under National management systems, advised by ICES.			Client group:	The fishery is certified by the client Norges Fiskarlag on behalf of all registered vessels in the Norwegian fleet fishing within the Unit of Certification.			Other eligible fishers:	Not applicable		
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Other eligible fishers:	Not applicable																															
	Date certified	30 July 2014	Date of expiry	29 July 2019																												
3	Surveillance level and type																															
	The expedited audit was done as a desk study based on the ICES advice and on a review of the traceability of the fish products																															
3	Surveillance number																															
	1st Surveillance																															
	2nd Surveillance																															
	3rd Surveillance																															
	4th Surveillance																															
	Other (expedited etc)	Expedited audit																														
4	Proposed team leader																															
	<p>Mrs. Sandhya Chaudhury: Sandhya Chaudhury is a Principal Specialist at DNV GL Business Assurance. She holds a Bachelor degree in Biological sciences and a MBA. Sandhya Chaudhury has been the Lead Auditor/Team Leader for various MSC Pre- and Full Assessments since 2005. She has participated in various MSC workshops introducing certification methodology for MSC Fisheries and Chain of Custody to workshop participants. She is well-versed in project management with proven ability to lead cross-disciplinary teams. Sandhya has auditor experience with other quality management standards since 2002 and industry experience since 1991. Sandhya has been previously involved with the assessment of this fishery until 2013.</p> <p>Sandhya has no conflicts of interest in relation to the fishery under assessment. She meets the competence criteria in MSC Certification requirements v. 2.0, annex PC, in having appropriate skills</p>																															

	<p>related to Chain of Custody requirements. She also has the knowledge of the country, language and local fishery. She is trained as a team leader, incl. traceability, according to v. 1.3 and 2.0.</p> <p>She has been traceability responsible for several MSC assessments and is a qualified MSC CoC auditor and technical reviewer and has also been responsible for both the Fisheries and CoC schemes. Sandhya has no conflict of interest in relation to the fishery under assessment.</p>
5	Proposed team members <i>[remove if not applicable]</i>
	<p>Team expert: HANS LASSEN is an independent consultant. He holds a cand. scient. (M.Sc.) from Copenhagen University (1969) and a HD (B.Sc.) from the Copenhagen Business School (1978). His background is in fish stock assessments, particularly in the application of computers and models.</p> <p>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 as a private consultant on projects within his expertise.</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), 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. He is author and co-author of more than 30 peer reviewed papers in prime scientific journals and numerous papers for scientific symposia.</p> <p>He has been a member of MSC certification assessment and surveillance teams for fisheries in the Northeast Atlantic including on Westgreenland shrimp, Greenland halibut and lumpfish, for Barents Sea stocks, for fisheries around Faroe Islands, in the North Sea and in the Baltic Sea. He has reviewed MSC assessment reports including cod, haddock, shrimps, anchovy, sardine and vendace.</p> <p>He has completed MSC training as fishery team leader (v1.3 and v2.0) including the risk based framework and traceability modules. Hans has no conflict of interest in relation to the fishery under assessment.</p>
6	Audit/review time and location
	Off-site, desk top audit in week 22, 2019

This report contains the findings of an expedited audit conducted for the Norway North Sea and Skagerrak herring fishery during April-May 2019.

The purpose of this Expedited Report is:

1. To establish and report on any material changes to the circumstances and practices affecting the original complying assessment of the fishery for Principle 1 (Target species) in response to the revisions made by ICES in its stock assessment of the Western Baltic Spring Spawning Herring;
2. To re-score any Performance Indicators (PI) where practice or circumstances have materially changed during the intervening year.
3. To review traceability risks.

For a complete picture of the fishery, this report should be read in conjunction with the Public Certification Report available for download at www.msc.org.

3.2 Background

The announcement of the expedited audit included review of information with emphasis on:

1. Considerations of changes in the fishery due to proposed change to fishery UoC, i.e. removing the Western Baltic Spring Spawning herring from the certificate
2. Review information on the stock status of herring in ICES IIIa, the requirement to have non-certified status for this stock, management and traceability and measures if and when fishing ban is lifted
3. How traceability risks are being managed (FCR 7.23.12.4), and will be managed in the future
4. Possibility of mixing non-certified products with certified - the possibility of vessels from the UoC fishing outside the UoC on the same trips or different trips
5. Verifying that certified fish sold can be traced back to the UoC

The North Sea herring mix with the Western Baltic spring-spawning herring (WBSSH) stock. This latter stock distinguished as a separate stock by spawning period and areas, extends from the Skagerrak/Kattegat (ICES Division IIIa) into the Baltic (ICES Subdivisions 22-24). The WBSSH stock is mixing with NSAS in Division 3.a and to a very small degree in the North Sea area immediately adjacent (eastern part of 4.a).

3.2.1 Key LTL species

The Atlantic herring is a low-trophic level (LTL) species, being a small, pelagic and planktivorous fish that has a shoaling habit. The herring is a Clupeid and as such a candidate for a key LTL species in the North Sea – Skagerrak ecosystem, MSC FCR v2.0 SA 2.2.8-10 and Box SA1.

NSAS nor WBSSH herring is not considered as a key LTL species. This is consistent with other evaluations of the North Sea herring status viz-a-viz key LTL, e.g. Gascoigne et al (2015) and the status of the Western Baltic Spring spawning herring, Andrew and Nichols (2018b).

3.2.2 North Sea Herring - Stock Status and Management

The Stock assessment is based on ICES (2018a) October 2018. The stock assessment is considered to be of good quality. The assessment is based on an analytical assessment model (SAM) that uses catches in the model and in the forecast. The data available include Commercial catches and five survey indices (IBTS Q1 1-ringer, IBTS0, LAI as SSB index, HERAS 1-8 ringers, IBTS Q3 0-5-ringings); there are annual maturity data from HERAS survey, and natural mortalities from SMS North Sea multispecies model. The database has been the same for a longer period.

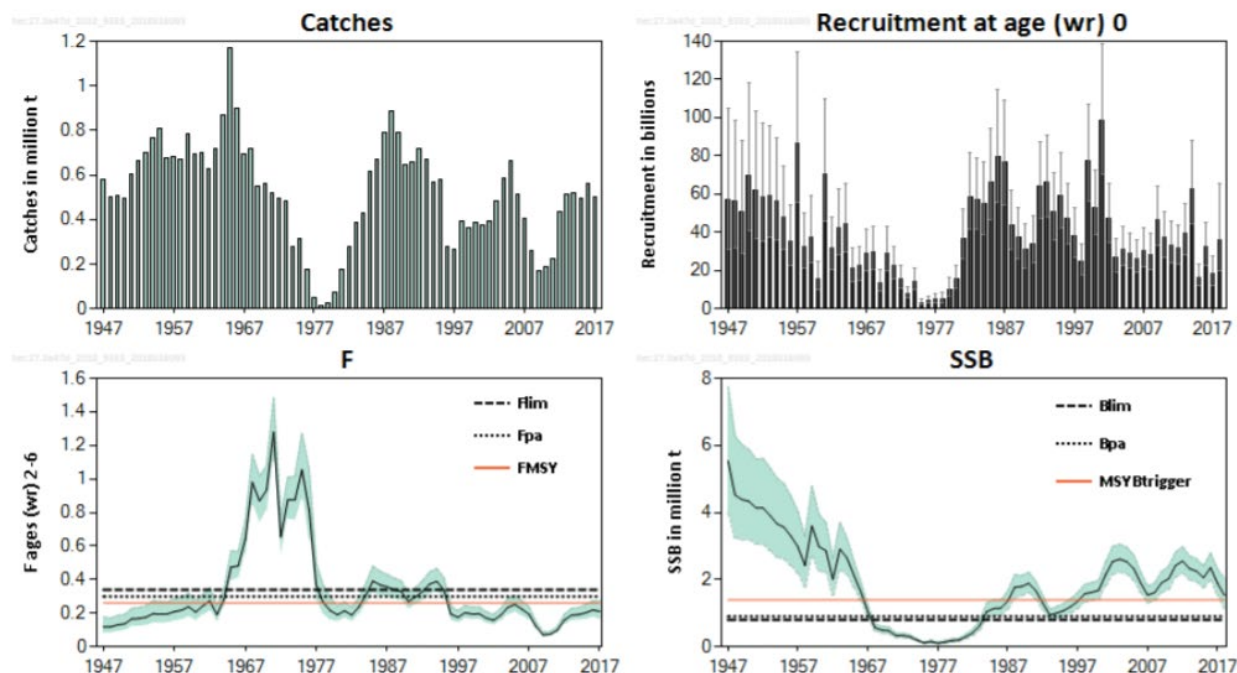
The stock was benchmarked in 2018 (ICES, 2018b). Reference points (Blim, Flim, Fpa, FMSY, and MSY Btrigger) were updated (ICES, 2018b).

The Norwegian herring fishery in ICES Divisions IVa and IVb (Norwegian fishing zone) affects two herring stocks a) the autumn spawning North Sea herring (Herring in 4 and 7.d) and the Western Baltic Spring Spawning herring (ICES 20-24). The catch of the Western Baltic herring is minute (0.1%), Table 9.

Spawning-stock biomass (SSB) fluctuated between 1.5 and 2.6 million tonnes between 1998 and 2017, and in all these years it was above MSY Btrigger. Fishing mortality (F) has been below F_{MSY} since 1996. Even though the size of the stock has been large, the recruitment (R) has been relatively low since 2002, with the two lowest year classes falling within the recent four of the last 30 years.

Fishing pressure on the stock is below F_{MSY} , F_{pa} and F_{lim} ; and spawning stock biomass (SSB) is above $MSY B_{trigger}$, B_{pa} , and B_{lim} .

North Sea Autumn Spawning Herring



Herring in Subarea 4 and divisions 3.a and 7.d, autumn spawners. State of the stock and fishery relative to reference points.

		Fishing pressure				Stock size		
		2015	2016	2017		2015	2016	2017
Maximum Sustainable Yield	F_{MSY}	✓	✓	✓	Appropriate	$MSY B_{Trigger}$	✓	✓
Precautionary Approach	F_{pa} , F_{lim}	✓	✓	✓	Harvested sustainably	B_{pa} , B_{lim}	✓	✓
Management plan	F_{MGT}	✓	✓	✓	Below	B_{MGT}	✓	✓

Figure 1 North Sea Autumn Spawning Herring. Stock status and stock trends.

Source: ICES (2018f) Figure 1 and Table 1

The stock was benchmarked in 2018 (ICES, 2018c). The time-varying natural mortality was updated, using the outputs from the North Sea multispecies assessment model, and a method implemented to make it consistent in future updates. New survey indices were added, and assessment methodology updated. These modifications resulted in more precise stock estimates and reduced assessment bias. The stock trend did not change substantially compared to the 2017 assessment. However, the change in natural mortality resulted in a rescaling of the SSB and F time-series to levels similar to the 2015 assessment. The reference points were updated accordingly, Table 6.

Table 6 Reference points for North Sea Autumn Spawning herring. Source: ICES (2018a)

Framework	Reference point	Value	Technical basis
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MSY approach	MSY Btrigger	1,400,000 t	5th percentile of B_{FMSY}
	FMSY	0.26	Stochastic simulations with a segmented regression and Ricker stock–recruitment curve from the short time-series (2002–2016).
Precautionary Approach	Blim	800,000 t	Breakpoint in the segmented regression of the stock–recruitment time-series (1947–2016).
	Bpa	900,000 t	$B_{pa} = B_{lim} \times \exp(1.645 \times \sigma)$ with $\sigma \approx 0.10$, based on the average CV from the terminal assessment year.
	Flim	0.34	$F_{50\%}$ leading to 50% probability of $SSB > B_{lim}$ with a segmented regression and Ricker stock–recruitment curve (2002–2016).
	Fpa	0.30	$F_{pa} = F_{lim} \times \exp(-1.645 \times \sigma)$ with $\sigma \approx 0.08$, based on the average CV from the terminal assessment year.

The status of the North Sea herring remained unchanged compared to previous years.

Herring fisheries in this area is managed by a joint EU–Norway Management Strategy (EU–Norway, 2018). For 2019 ICES gives advice based on the MSY approach; the existing EU–Norway Management Strategy is thus not used as basis of the advice for this shared stock and is not considered valid by the Parties. This is based on the revision of the reference points. The Parties agreed to establish a total TAC in 2019 of 385,008 tonnes for the A-fleet including the Norwegian fishery with a TAC of 111,652 t. This represents a 35.9% decrease compared to the TAC for 2018.

Norway and the European Union have submitted a joint request to ICES to evaluate possible elements for long-term management strategy, ICES (2019). The Parties have not yet agreed on a specific management.

The management of the North Sea herring has remained unchanged in recent years.

3.2.3 Western Baltic Spring Spawning Herring – Stock status and Management

The western Baltic herring is more abundant of the herring stocks in the herring fisheries in ICES 3.a (ICES 2018b). In Skagerrak the total Norwegian catch was around 3.4 kt in 2018 (purse seine and trawl combined) and around 70% of this catch was from the WBSSH stock, ICES (2018d). The total fishery on the WBSSH stock was 46,360t in 2017. WBSSH catches are small in the North Sea (632 t in 2017 or ~1.3 % of the Norwegian herring catch in the North Sea and Skagerrak,

In the 2014 re-assessment Western Baltic spring spawning herring (WBSSH) was defined as IPI catches, as they are practically inseparable from the target stock of North Sea herring during normal fishing operations, they comprise less than 15% of the overall catch (~1.5% in the most recent assessment) they are not certified separately and they are not ETP species. Therefore, WBSS herring was scored under PI 2.1 and not classified as a ‘main’ species. This classification has not changed since the proportion that the WBSS herring constitutes of the total catch is unchanged and below 2% of the Norwegian catch.

The biomass reference points were updated in 2018 (Blim from 90 000 to 120 000 tonnes, MSY Btrigger from 110 000 to 150 000 tonnes, ICES, 2018b) combined with the continued decline in recruitment have changed the perception of the stock dynamics. Based on the 2018 assessment SSB has been below Blim since 2006, Figure 3. The basis for changing the reference points is the extension of the time-series where consistently low recruitment at low SSB is observed since 2006. Fishing mortality (F) has been relatively constant slightly above F_{MSY} since 2010. Recruitment has been low since the mid-2000s and has been declining in recent years, with the lowest values of the time-series in 2016 and 2017.

The herring fishery in Skagerrak is regulated under a joint EU – Norway regulation while the fishery for other components of the WBSSH stock is management under the EU Baltic Sea Multiannual Plan. This plan (MAP; EU, 2016) was established in 2016 and applies to herring in subdivisions 22–24, which is part of the distribution area of the WBSS stock. The MAP is in the process of being updated (EC, 2018), the main change expected is the reference to latest reference points rather than to a fixed list. This plan is not adopted by Norway.

Western Baltic Sea Spring Spawning Herring

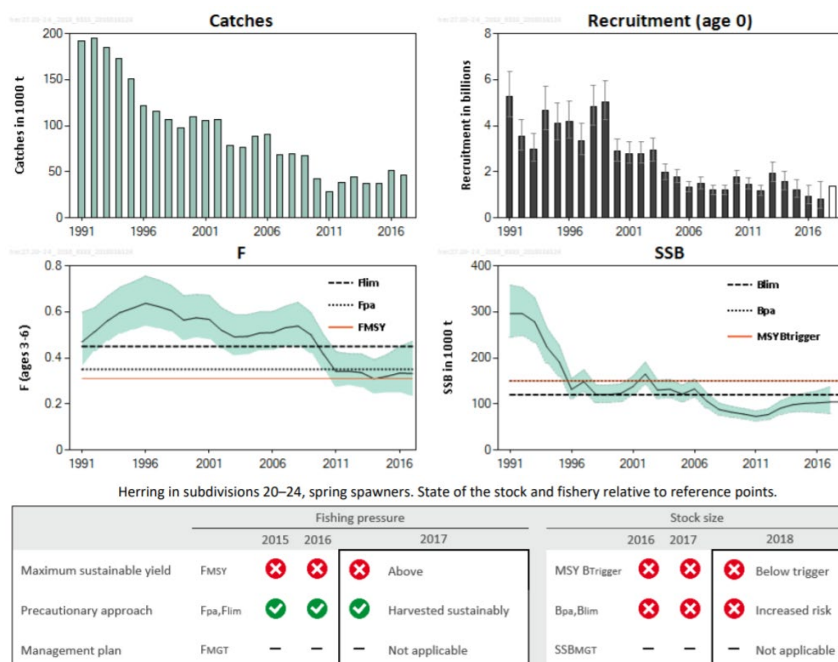


Figure 2 Western Baltic Spring Spawning Herring. Stock status and stock trends. Source: ICES (2018g) Figure 1 and Table 1

Table 7 Western Baltic Spring Spawning Herring. Reference points, values and their technical basis. Source: ICES (2018b)

Framework	Reference point	Value	Technical basis
MSY Approach	MSY Btrigger	150,000 t	B _{pa} equal to the upper 95% confidence limit of B _{lim} .
	FMSY	0.31	Stochastic simulations (Eqsim) with Beverton-Holt, Ricker, and segmented regression stock–recruitment curve from the full time-series (1991–2016).
Precautionary Approach	Blim	120,000 t	Chosen as the mean of the two lowest SSB (1998, 1999) values with above average recruitment.
	Bpa	150,000 t	Upper 95% confidence limit of B _{lim} with $\sigma \approx 0.136$, using the CV from the final-year SSB estimate in the assessment.
	Flim	0.45	F _{P50} leading to 50% probability of SSB > B _{lim} under stochastic simulations with Beverton-Holt, Ricker, and segmented stock–recruitment from the full time-series (1991–2016).
	Fpa	0.35	$F_{pa} = F_{lim} \times \exp(-1.645 \times \sigma)$ with $\sigma \approx 0.145$, based on the CV from the terminal assessment year.

The status of the fishery has changed, and PI 2.1.1 was rescored for WBSSH for both gears combined at the fourth surveillance audit.

3.2.4 Impact on the ecosystem

The fisheries have continued as in previous years without any major changes. Fishing grounds were unchanged, see 4th Surveillance audit report.

3.2.5 Changes to the management system

The regulations for the fisheries are unchanged compared to previous years. See 4th Surveillance audit report.

3.2.6 CoC considerations

The status, with regard to the Chain of Custody has remained unchanged since the last surveillance audit in 2017.

There are no changes in landing points from earlier years and the catch that is landed by foreign vessels cannot be mixed with certified catch based on the traceability system described in the public certification report.

The systems of tracking and tracing in the fishery are still considered sufficient to make sure all fish and fish products identified and sold as certified by the fishery originate from the certified fishery.

TRACEABILITY in the Norway North Sea herring fishery is ensured as follows:

1. All sales of herring, within Norway and outside, for catches by vessels in the Norwegian fleet and covered by this certification, is done through Norges Sildesalgslag.

2. Vessels cannot fish in both UoC's (IV a&b and IIIa) in the same trip. This is regulated by the "Regulations of fishing for herring in the North Sea and Skagerrak in 2018" which states in § 9 -Requirements for notification of departure for fishing in the Skagerrak: No vessel can start a fishing trip to the Skagerrak without having previously notified Norges Sildesalgslag's sales team. Notice of departure must be given for each trip. Vessels must have completed other fishing activities, have delivered all other catch, and must have actually been completely unloaded and have a seine or trawl on board before the departure to Skagerrak is reported. Vessels cannot catch from other areas than the Skagerrak on the same trip on board or on landing.

Vessels reporting a departure to the Skagerrak shall report daily at 12.00 to Norges Sildesalgslag sales team. If the vessel has not had any catch in the Skagerrak, notification shall be given to Norges Sildesalgslag when the vessel leaves the Skagerrak.

Fishing in the Skagerrak (ICES IIIa) is forbidden as of 4th September 2018, (ref: J-260 -2018: Regulations on fishing for herring in the North Sea and Skagerrak in 2018). If and when resumed, the process described above negates any risk of mixing catches from other areas and thereby being sold as certified.

3. Real time VMS monitoring of catch area. All vessels are monitored by the Directorate of Fisheries through VMS data and every catch is identified by catch area thereby validating certified status of catch in the revised UoC.

4. Vessels report start of catch and Norges Sildesalgslag, the sole auction agent for the Norwegian herring fisheries, initiate catch certificates that are unique to the catch. The buyer is, most often, already identified at this stage. Norges Sildesalgslag has the authority (specified in the Regulations) to stop/divert fishing operations already at this stage, if not found complaint to Regulations.

5. For all landings, catches are delivered to landing sites accompanied by a "sluttseddel" or contract note which specifies catch area, recorded by the fishers and verified by the landing sites. MSC certified status is documented on the "sluttseddel" based on the species and catch area. This contract note is the basis for sales invoicing.

6. For landings outside Norway the following steps are also documented:

- a) Prior notification for Norwegian fishing vessels referred to in Commission Regulation No 1010/2009 Article 2 (2)- refers to catch certificate number.
- b) Pre-landing declaration for Norwegian fishing vessels referred to in Commission Regulation No 1010/2009 Article 3(1)- refers to catch certificate number & catch area (NO-4242)
- c) Landing note: This document provides detailed information about one catch taken and reported by a specific Norwegian fishing vessel and refers to a catch certificate number.
- d) Norges Sildesalgslag also assists direct landings outside Norway with NEAFC reporting. Both Norwegian and foreign control authorities are involved at these landings.

Norway North Sea herring products landed by Norwegian vessels, recorded by the Directorate of Fisheries and the sales organization Norges Sildesalgslag, and sold through or by approval from the sales organization Norges Sildesalgslag are eligible to enter further Chain of Custody. The scope of the MSC Fishery certification is up to the point of landing and Chain of Custody commences from the point of landing.

Norway Skagerrak herring products are no longer certified- ref. and therefore cannot enter further Chain of Custody.

3.3 Version details

This report is based on the following versions of the fisheries program documents.

Table X – Fisheries program documents versions

Document	Version number
MSC Fisheries Certification Process	Version 2.1
MSC Fisheries Standard and Guidance	Version 2.1
MSC General Certification Requirements	Version 2.3
Default assessment tree from Certification Requirements	Version 1.3
MSC Surveillance Reporting Template	Version 2.01

4 RESULTS

4.1 Surveillance results overview

4.1.1 Summary of conditions

No conditions were raised at this expedited audit. Condition 1 on PI 1.2.2 was raised at the 4th surveillance audit (2018), see **Table 3**.

4.1.2 Total Allowable Catch (TAC) and catch data

Table 8 Total Allowable Catch (TAC) and catch data

TAC	Year	2017	481,608 MT
UoA share of TAC	Year	2017	145,282 MT
UoA share of total TAC	Year	2017	145,282 MT
Total green weight catch by UoC	Year (most recent)	2017	135,804 MT
Total green weight catch by UoC	Year (second most recent)	2016	154,171 MT

Table 9 Herring (excl. Atlanto-scandian herring). Catch (tons) by Norwegian fleet (all gears) and by area.
Source: Fiskeridirektoratet downloaded 28 May 2019

Catch by Norwegian fleet tons Area	Year			
	2015	2016	2017	2018
ICES IIIa	2,475	3,924	3,343	3,410
ICES IVa	114,343	135,164	131,961	152,100
ICES IVb	20,077	15,002	2,172	10,495
ICES IVc	8			
ICES VIa	0			4
ICES IIa.2	16	199	118	
Not known				0
Total	339,920	154,289	137,594	166,009

4.1.3 Recommendations

No recommendations were set at this expedited audit. Neither were there any recommendation set at earlier assessment or audits.

4.2 Conditions

Table 10 Condition 1 Harvest Control Rule

Performance Indicator	1.2.2 There are well defined and effective harvest control rules in place
Score	70
Justification	<p>Rationale SI 1.2.2(c): Available evidence indicates that the tools in use are appropriate and effective in achieving the exploitation levels required under the harvest control rules. The principal tool used to achieve the exploitation levels required under the harvest control rules for the North Sea herring fishery is the TAC agreed annually between the EU and Norway. The harvest control rules for North Sea herring fisheries are set out in the LongTerm Management Strategy agreed between the EU and Norway on 1st January 2015. These harvest control rules require, inter alia, that the TAC shall be calculated using a value of F of no more than 0.26 (or a lower value if the stock is under 1.5Mt). The inter-annual variation of TAC is constrained by these harvest control rules to "...no more than 15% greater or 15% less than the TAC of the preceding year." At the meeting of the EU and Norway delegations in December 2017 the parties agreed to follow the ICES advice pertaining at that time (which was that F_{msy} was 0.33 rather than the previous estimate of 0.26). This was based on changes in the time series of natural mortality made by the ICES assessment working group. The meeting concluded that "...it would be appropriate to follow the ICES MSY advice rather than the management strategy. The TAC of 600,588t represents a 25% increase compared to 2017." The TAC set for 2018 therefore exceeds the inter-annual constraints set out in the harvest control rules and was based on a value of F that exceeds the value set out in the harvest control rules. It will, nevertheless, control the exploitation of North Sea herring during 2018. It is noted that: a) At the time when the 2018 TAC was agreed, ICES had advised that an F value of 0.33 would be consistent with MSY. b) The ICES advice for the North Sea herring fishery in 2019 would indicate a TAC of 311,572t. Attaining this level of exploitation would require a further breach of the harvest control rules presently in place (because the TAC would need to fall by</p>

	nearly 50% between 2018-19). c) Inter-annual TAC variations have exceeded the levels required by the harvest control rules for this fishery before, resulting in a condition of certification that was raised in 2011 and closed in 2014. It is further noted that in June 2018, Norway and the EU made a formal request to ICES to provide advice on proposals for revised harvest control rules for the fishery that would allow the TAC to be based on the current ICES estimate of F _{target} and which would allow for a larger inter-annual variation. The harvest control rules in place for the fishery might therefore change. ICES have not yet provided a response to this request. Having considered the information available, it is concluded that the SG60 requirements for this SI are met because there is evidence that the harvest control tools used to implement the harvest control rules have been effective in controlling the exploitation of North Sea herring in the past. The inter-annual variation of TAC between 2017 and 2018 exceeded the constraints specified in the harvest control rules for this fishery and have resulted in an exploitation level in 2018 that is higher than the level set out in the HCRs. As a result, the TAC has allowed for a level of exploitation that is higher than that set out in the HCRs, so the SG80 requirements are not considered to be met.
Condition	Evidence should be provided to demonstrate that the harvest control tools in place are appropriate and effective in achieving the exploitation levels required under the harvest control rules. Milestones Given the substantial reduction in TAC that is likely to be required to restore fishing mortality to the level specified in the Harvest Control Rules, it is considered appropriate to set out milestones over a period of 4 years.
Milestones	<p>Year 1: Evidence shall be presented to demonstrate that the harvest control tools are being used to restore fishing mortality to a level that is closer to the value set out in the harvest control rules in force. Resulting Score: 70</p> <p>Year 2: Evidence shall be presented to demonstrate that the harvest control tools are being used to restore fishing mortality to a level that is closer to the value set out in the harvest control rules in force. Resulting Score: 70</p> <p>Year 3: Evidence shall be presented to demonstrate that the harvest control tools are being used to restore fishing mortality to a level that is closer to the value set out in the harvest control rules in force. Resulting Score: 70</p> <p>Year 4: Evidence shall be presented to demonstrate that the harvest control tools are appropriate and effective in achieving the exploitation levels required under the Harvest Control Rules in place. Resulting Score: 80</p>
Consultation on condition	None. The condition relies upon NFAs well-established position as a delegation participant at coastal states negotiations and as a recognized stakeholder with significant lobbying power towards Norwegian management authorities. This status is also well documented through P3 assessment.
Progress on Condition (Year X)	ICES (2019) presented its evaluation of the proposal for a revised HCR. These are not yet processed through the management system.
Status	<i>There is progress but the condition has only lived for a few months and no significant progress could be expected</i>
Additional information	None.

4.3 Client Action Plan

The action plan as given in the 4th surveillance report December 2018 is unchanged.

In June 2018, EU and Norway met to discuss long term management strategies for the jointly managed stocks, including North Sea herring. An advice request was drafted and sent to ICES seeking options for revised long- term management strategies, this included North Sea herring. The key component embedded in the long- term

management strategy will be a precautionary harvest control rule. On receiving the request, ICES notified EU and Norway that given the extensive scope of work involved the advice could not be delivered before the first quarter of 2019. EU and Norway accepted this timeframe. In the meantime, the parties informed ICES to provide the 2019 TAC advice based on MSY principles. The outline plan is that EU and Norway will meet shortly after the ICES LTMS options have been delivered in 2019 to agree a new LTMS for North Sea herring. Once this has been agreed ICES will be asked to provide the 2020 TAC advice based on the new LTMS.

Year 1: NFA will continue its work as a long- standing member of the Norwegian delegation to the coastal states negotiations and argue for the 2019 TAC to be set at a level based on the harvest control rule in place at the time the TAC is determined. Furthermore, NFA will participate at the ICES workshop drafting the options for a new long- term management strategy. NFA will participate in the EU/Norway meeting considering the ICES LTMS options.

Year 2 NFA will continue to work with the Norwegian Ministry of trade, industry and fisheries ("Ministry") and participate in delegations to coastal states negotiations with the goal to set the 2020 TAC based on the harvest control rule in place at the time the TAC is determined.

Year 3 NFA will continue to work with the Ministry and participate in delegations to coastal states negotiations with the goal set the 2021 TAC based on the harvest control rule in place at the time the TAC is determined.

Year 4 NFA will continue to work with the Ministry and participate in delegations to coastal states negotiations with the goal set the 2022 TAC based on the harvest control rule in place at the time the TAC is determined. Within SA4, evidence should be available to allow for a rescoring of 1.2.2 to a level of 80 or above.

4.4 Re-scoring Performance Indicators

PI 2.1.1 was rescored at the fourth audit and this rescoring is repeated below because the trigger of the expedited audit was the need to review the status of the Western Baltic Spring Spawning herring.

PI 2.1.1		SG60	SG80	SG100
A Retained species status	Guidepost	Main retained species are likely to be within biologically based limits. If not, go to scoring issue c below.	Main retained species are highly likely to be within biologically based limits. If not, go to scoring issue c below.	There is a high degree of certainty that retained species are within biologically based limits and fluctuating around their target reference points.
	Met?	NA	NA	N
	Justification	There is no 'main' retained species in this fishery. WBSS herring is below 2% of the total fishery and therefore SG60 and SG80 are not relevant for this fishery. By default, SG80 is met. The WBSS herring is at increased risk, i.e. below Blim so SG100 is not met.		
B Target reference points				Target reference points are defined for retained species.
	Met?			Y
	Justification	The target reference point for this stock is MSY Btrigger, which corresponds to a SSB of 150,000t. Target reference points are defined for the retained species. SG100 is met.		
C Recovery and rebuilding	Guidepost	If main retained species are outside the limits there are measures in place that are expected to ensure that the fishery does not hinder recovery	If main retained species are outside the limits there is a partial strategy of demonstrably	

		and rebuilding of the depleted species.	effective management measures in place such that the fishery does not hinder recovery and rebuilding.	
	Met?	NA	NA	
	Justification	There is no 'main' retained species in this fishery. This Scoring issue is not scored		
D Measures if poorly understood		If the status is poorly known there are measures or practices in place that are expected to result in the fishery not causing the retained species to be outside biologically based limits or hindering recovery.		
	Met?	NA		
	Justification	The status of WBSS herring is well documented through fishery statistics and survey results. Furthermore, there are management measures under the EU CFP and in consultation with Norway that that are expected to keep the stock above biologically based limits and not hindering recovery. This scoring issue is not relevant		
	References	ICES (2018a) ICES (2018b) ICES (2018c)		
OVERALL PERFORMANCE INDICATOR SCORE				90
CONDITION NUMBER				NA

5 APPENDICES

5.1 Evaluation processes and techniques

5.1.1 Site visits

The expedited audit was conducted as a desk study.

5.1.2 Stakeholder participation

There were no stakeholder (NGO) participation.

5.2 Stakeholder input

There were no stakeholder (NGO) input.

5.3 Revised surveillance program – NA

5.4 Harmonised fishery assessments

Harmonisation with other fisheries for herring in the North Sea is presented in the 4th Surveillance report. No further harmonisation was necessary at this expedited audit. The overlapping fisheries are listed below.

5.4.1 North Sea Herring fisheries

The following fisheries are certified for the North Sea autumn spawning herring:

- DPPO and DFPO North Sea herring.
- SPFPO Swedish North Sea herring
- From NORD North Sea & Eastern channel pelagic trawl herring
- Hastings Fleet Pelagic herring
- PFA & SPSG North Sea herring

The harmonisation done by the PFA & SPSG North Sea herring fisheries, certified in April 2017, shows that the scoring of these fisheries is similar across Principle 2 and 3 and for the majority of Principle 1.

No further harmonisation has been conducted nor found to be required.

5.4.2 Western Baltic Spring Spawning Herring fisheries

There are presently two MSC-certified fisheries for Western Baltic Spring Spawning herring:

- Western Baltic Spring spawning herring Erzeugergemeinschaft der Nord– und Ostseefischer GmbH (CAB: Lloyd's Register). Suspended 21 September 2018
- DFPO, DPPO and SPFPO Skagerrak, Kattegat and Western Baltic Herring Fishery (CAB: MRAG). Suspended 21 September 2018.

Another fishery for Western Baltic Spring Spawning herring is presently under assessment:

- Germany Mecklenburg-Vorpommern Western Baltic spring spawning herring

These fisheries however, have the WBSS herring as target species and score these under PI 1 while the Norwegian fishery has this stock as by-catch scored under 2.1 (retained catch).

Harmonisation activities have been carried out between MRAG Americas and Lloyd's Register as described in the Fourth Surveillance report. No further harmonisation has taken place for this expedited audit.

These activities have included:

- Technical discussions of perception of stock status to ensure that both CABs arrive at a harmonised outcome.
- Coordinated audit planning to ensure that timescales for responding to the changes in perceived stock status will ensure a harmonised response with respect to MSC-certified products from the fishery entering chains of custody.

These discussions have ensured that the conclusions and actions of the two CABs in respect of the certified fisheries are harmonised. With regard to the Germany Mecklenburg-Vorpommern Western Baltic spring spawning herring fishery that is under assessment, the Lloyd's Register Team Leader and Principle 1 expert for the Western Baltic Spring Spawning herring Erzeugergemeinschaft der Nord- und Ostseefischer GmbH are also the Team Leader and Principle 1 expert for the assessment.

The team has discussed the implications of the change in perception resulting from the stock assessment with the client.

The fisheries for Western Baltic Spring Spawning herring are currently suspended.

5.5 Client approval

From: [Tor Bjørklund Larsen](#)
To: [Chaudhury, Sandhya](#)
Cc: [Knut Torgnes](#); [Jan Ringer Jørgensen](#)
Subject: SV: Norway North Sea and Skagerrak herring - change of UoC (to remove Skagerrak component from the certificate)
Date: søndag 2. juni 2019 11:04:25

Dear Sandhya,

We have reviewed the North sea and skagerrak herring expedited audit report and accept it – you may move forward with publication.

We can also confirm that systems are in place to address traceability issues at client level through the Sales organization Norges Sildesalgslag that control all sales of herring.

-Existing IT systems for issuing sales notes already have MSC UoC information well integrated. MSC status on sales notes is clearly indicated, and is generated based on variables such as gear, catch location, species, etc. The technical issue of excluding ICES IIIa, and make sure MSC status is excluded in the paperwork, is a simple and seamless task.

-Vessels cannot fish in ICES IV and IIIa on the same trip, so trip-based mixing is not an issue. As stated in the report: This is regulated by the "Regulations of fishing for herring in the North Sea and Skagerrak in 2018" which states in § 9 -Requirements for notification of departure for fishing in the Skagerrak: No vessel can start a fishing trip to the Skagerrak without having previously notified Norges Sildesalgslag's sales team. Notice of departure must be given for each trip. Vessels must have completed other fishing activities, have delivered all other catch, and must have actually been completely unloaded and have a seine or trawl on board before the departure to Skagerrak is reported. Vessels cannot catch from other areas than the Skagerrak on the same trip on board or on landing.

Vessels reporting a departure to the Skagerrak shall report daily at 12.00 to Norges Sildesalgslag sales team. If the vessel has not had any catch in the Skagerrak, notification shall be given to Norges Sildesalgslag when the vessel leaves the Skagerrak.

Fishing in the Skagerrak (ICES IIIa) is forbidden as of 4th September 2018, (ref: J-260 -2018: Regulations on fishing for herring in the North Sea and Skagerrak in 2018). If and when resumed, the process described above negates any risk of mixing catches from other areas and thereby being sold as certified.

-Real time VMS monitoring of catch area. All vessels are monitored by the Directorate of Fisheries through VMS data and every catch is identified by catch area thereby validating certified status of catch in the revised UoC.

-Vessels report start of catch and Norges Sildesalgslag, the sole auction agent for the Norwegian herring fisheries, initiate catch certificates that are unique to the catch. The buyer is, most often, already identified at this stage. Norges Sildesalgslag has the authority (specified in the Regulations) to stop/divert fishing operations already at this stage, if not found compliant to Regulations.

-For all landings, catches are delivered to landing sites accompanied by a "sluttseddel" or contract note which specifies catch area, recorded by the fishers and verified by the landing sites. MSC certified status is documented on the "sluttseddel" based on the species and catch area. This contract note is the basis for sales invoicing.

-For landings outside Norway the following steps are also documented:

a) Prior notification for Norwegian fishing vessels referred to in Commission Regulation No 1010/2009 Article 2 (2)- refers to catch certificate number.

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b) Pre-landing declaration for Norwegian fishing vessels referred to in Commission Regulation No 1010/2009 Article 3(1)- refers to catch certificate number & catch area (NO-4242)

c) Landing note: This document provides detailed information about one catch taken and reported by a specific

Norwegian fishing vessel and refers to a catch certificate number.

d) Norges Sildesalgslag also assists direct landings outside Norway with NEAFC reporting. Both Norwegian and foreign control authorities are involved at these landings.

In addition to these systems, that should be more than adequate to ensure mislabelling will not occur, NFA and Norges Sildesalgslag will make sure that the industry is informed of the change in UoC by posting the news on its respective websites in due time before the exclusion takes place.

Med vennlig hilsen

Tor Bjørklund Larsen

Miljørådgiver

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5.7 Vessel list – NA

6 TEMPLATE INFORMATION AND COPYRIGHT

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Template version control

Version	Date of publication	Description of amendment
1.0	08 October 2014	Date of issue
2.0	17 December 2018	Release alongside Fisheries Certification Process v2.1
2.01	28 March 2019	Minor document change for usability

A controlled document list of MSC program documents is available on the MSC website (msc.org)

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