

NZRO GULF OF RIGA HERRING (*Clupea harengus membras*) AND SPRAT (*Sprattus sprattus*) TRAWL FISHERY

Central Baltic Herring Component

MSC Certificate code: MSC-F-31463



Herring landed at Skulte port. Picture from: Bureau Veritas

Expedited Audit Report

16th August 2021



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Fishery client	NZRO Nacionālās zvejniecības ražotāju organizācija (Latvian Fisheries Producer Organisation)
Assessment Type	First Surveillance

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2 Glossary

Below are presented the abbreviations and acronyms used in the report. The terms defined here do not contradict terms used in the MSC-MSCI vocabulary.

Concepts and terms:

B_{lim}	Limit Biomass [PRI reference point]
B_{MSY}	Spawning biomass (equilibrium) when fishing at FMSY
BS	Baltic sprat
BSAC	Baltic Sea Advisory Council
BRP	Biological Reference Points
CAB	Conformity Assessment Body (in the case of this particular assessment the CAB is BV)
CBH	Central Baltic herring stock
CFP	(European) Common Fisheries Policy
CoC	Chain of Custody
CPUE	Catch per Unit Effort
DCF	(European) Data Collection Framework
ERS	Electronic recording and reporting system
ETP	Endangered, Threatened and Protected
f/v	Fishing vessel
FCR	[MSC] Fisheries Certification Requirements
F_{lim}	Fishing mortality which should be avoided with high probability because it is associated with unknown population dynamics or stock collapse
F_{MSY}	Fishing mortality at MSY
GoR	Gulf of Riga
GORH	Gulf of Riga herring stock
IPI	Inseparable or practicably inseparable (catches or stocks)
LTL	Low Trophic Level
MAP	Multi-annual (fisheries management) Plan
MCS	Monitoring, Control and Surveillance
MPA	Marine Protected Area
MSY	Maximum Sustainable Yield
MS	(European) Member State
NGO	Non-Governmental Organization
PRI	Point where Recruitment would be Impaired
UoA	Unit of Assessment
UoC	Unit of Certification
VMS	Vessel Monitoring System

Organizations/Institutions/Bodies/Agreements:

AC	(EU) Fisheries Advisory Council
ACOM	[ICES] Advisory Committee
ASCOBANS	Agreement on the Conservation of Small Cetaceans in the Baltic, North East Atlantic, Irish and North Seas

BALTFISH	Baltic Sea Fisheries Forum
BIOR	Latvian Institute of Food Safety, Animal Health and Environment
BSAC	Baltic Sea (EU) Advisory Council
BV	Bureau Veritas
CITES	Convention on International Trade of Endangered Species of Wild Fauna & Flora
CJEC	Court of Justice of the European Communities
EFCA	(EU) Community Fisheries Control Agency
EU	European Union
FAC	(Latvian) Fisheries Advisory Council
FAO	Food and Agriculture Organization of the United Nations
HELCOM	Helsinki Commission -Baltic Marine Environment Protection Commission
ICES	International Council for the Exploration of the Sea
LFPO	Latvian Fishermen's Producers Organization (NZRO in Latvian)
MSC	Marine Stewardship Council
NZRO	Nacionālās zvejniecības ražotāju organizācija Latvian Fishermen's Producers Organization (LFPO in English)
STECF	Scientific, Technical and Economic Committee for Fisheries (EU)
WGBFAS	ICES Baltic Fisheries Assessment Working Group (ICES)

3 Executive summary

This fishery was initially assessed against the MSC Fisheries Certification Requirements v2.0 (1st October 2014). The current expedited audit was conducted against FCP v2.2 and MSC Surveillance Reporting Template v2.1 was used to elaborate the current report.

The assessment team was carrying out the 1st Surveillance audit (off-site visit) of the fishery between the 17th and 21st of June 2021. As new information came to light just before starting the surveillance audit (a harmonization meeting between three CABs, i.e., Lloyd's Register, Global Trust and Bureau Veritas was carried out on the 16/06/2021), an expedited audit was announced on the 17/06/2021 (available at: file:///C:/Users/Gemma/Descarregues/BV%20NZRO%20GoR%20herring%20sprat%20Expedited%20Audit.pdf), thus the surveillance audit included also expedited audit sections. Due to the timing, the expedited audit was considered as part of the surveillance audit rather than triggering a separate expedited audit.

The present report describes only the results of the Expedited Audit for the NZRO GULF OF RIGA HERRING (*Clupea harengus membras*) AND SPRAT (*Sprattus sprattus*) TRAWL FISHERY.

In parallel, the 1st Surveillance audit report is being prepared, but as new conditions have been identified, the CAB will allow a period of up to 30 days after receipt of the Surveillance Report for the client to prepare a Client Action Plan (following FCP #7.28.20.1), therefore, the CAB will upload the Surveillance Report to the MSC database within 90 days of completing the audit for publication on the MSC website (according to FCP #7.28.23).

As the 1st Surveillance audit report will be published approximately a month after the publication of this Expedited Audit (i.e., around mid-September), most of the sections from the current report will be referring to the Surveillance Audit report.

The client group includes 5 different fishing companies, all of them members of the Latvian Fishermen Producer's Organization (Nacionālās zvejniecības ražotāju organizācija, NZRO or LPFO), which are currently owning 12 fishing vessels authorised for, *inter alia*, targeting herring in the Gulf of Riga. The list of first buyers has been updated. These lists are found in **section 7.5**.

The MSC certification process was initiated on February 14th, 2019, following the publication of the official announcement and the timeline at the MSC website. The certificate was issued on 23 January 2020 and expires on 22 July 2025 (after the application of the 6-month MSC Covid-19 Derogation of 27 March 2020, <https://www.msc.org/media->

centre/briefings-statements/covid-19-six-month-pause-assessment-certification). The PCR for the GoR Herring pelagic trawl fishery concluded that all 'Performance Indicators' for NZRO Gulf or Riga herring and sprat trawl fishery meet the SG60 level, and a weighted average score of 80 or more was achieved for each of the 3 MSC Principles. The team set 3 binding conditions for certification and 1 non-binding management recommendation. The conditions have been drafted to be closed within the first certification period. Furthermore, a new condition on PI 1.1.1A for the Baltic Sprat UoC has been set at the 1st surveillance audit (more details will be found in the report that will be published in September 2021). To download the PCR, please see <https://fisheries.msc.org/en/fisheries/nzro-gulf-of-riga-herring-and-sprat-trawl-fishery/@assessments>

The fishery is currently certified with three target stocks

- Gulf of Riga Herring (UoA1)
- Central Baltic Herring (UoA2)
- Baltic Sprat (UoA3)

There are other MSC certified fisheries that also exploit these stocks, see **section 7.4**. Harmonisation of the scoring of the Central Baltic Herring was triggered based on the ICES 2021 stock assessment (ICES, 2021b). At these Harmonisation sessions scoring of Baltic Sprat and of Central Baltic herring scoring elements were considered and changes in scoring were concluded for 1.1.1A (Sprat), 1.1.1A (Central Baltic herring), 1.2.1 (Central Baltic Herring and Baltic Sprat) and 1.2.4 (Baltic Sprat). The present report only shows the changes for the Central Baltic herring UoC, the others will be found in the 1st Surveillance Audit report that will be published in September 2021.

Based on these changes, the scoring of Principle 1 PIs for the Central Baltic herring UoC is now:

	Central Baltic Herring (UoA2)
PIs	Change in stock status
1.1.1	N/R
1.1.1A	<60
1.1.2	(Not scored)
1.2.1	(90)
1.2.2	(75)
1.2.3	(90)
1.2.4	(95)
Overall	Fail

3.1 Main Findings of the Expedited Audit

Main findings from this expedited audit are summarized below:

- The status of Central Baltic herring has changed. The interbenchmark assessment (ICES, 2020), which introduced updated natural mortalities for 1974–2018, led to a downward revision of SSB and an upward revision of fishing mortality (ICES, 2021a). On that basis Bureau Veritas, participated in a harmonisation process with other CABs (i.e., Global Trust Certification and Lloyd's Register) and with another of BV's fisheries (i.e., LFPO pelagic sprat trawl fishery). This harmonisation resulted in change of the scoring for UoA2 to '**Fail**'.

- Harmonisation with the Polish pelagic fishery (Global Trust) resulted in rescoring of several Performance Indicators under Principle 1.
- Updated information on the UoC catch species composition confirms that almost the entire catch is comprised by sprat and herring.
- A summary of the scoring that currently applies to the NZRO (LFPO) Pelagic Trawl fishery in the Gulf of Riga is found in **Section 5.1.1**.

3.2 Conclusion

The Assessment team concludes that the Central Baltic Herring component of the catch (UoC2) shall be suspended as this part of the certificate FAILS.

4 Report details

4.1 Surveillance information

Table 4.1 – Surveillance information

1	Fishery name	
	NZRO GULF OF RIGA HERRING (<i>Clupea harengus membras</i>) and SPRAT (<i>Sprattus sprattus</i>) TRAWL FISHERY	
2	Unit(s) of Assessment (UoA)	
	<div>UoA1</div> <div>UoA2</div> <div>UoA3</div>	<div>Target stock</div> <div>Fishing Area</div> <div>Fishing method</div> <div>Fishing operators</div> <div>Other eligible fishers</div>
		Gulf of Riga herring (ICES SD 28.1)
		ICES Subdivision 28.1 (Gulf of Riga)
		Pelagic trawl
		12 vessels owned by the fishing companies' members of the NZRO (See section 6.6)
		No other eligible fishers
		<div>Target stock</div> <div>Fishing Area</div> <div>Fishing method</div> <div>Fishing operators</div> <div>Other eligible fishers</div>
		Central Baltic herring (ICES SD 25, 26,27, 28.2, 29 & 32)
		ICES Subdivision 28.1 (Gulf of Riga)
		Pelagic trawl
		12 vessels owned by the fishing companies' members of the NZRO (See section 6.6)
		No other eligible fishers
		<div>Target stock</div> <div>Fishing Area</div> <div>Fishing method</div> <div>Fishing operators</div> <div>Other eligible fishers</div>
		Baltic Sea sprat (ICES SD 22-32)
		ICES Subdivision 28.1 (Gulf of Riga)
		Pelagic trawl
		12 vessels owned by the fishing companies' members of the NZRO (See section 6.6)
		No other eligible fishers
3	Date certified	Date of expiry
	23 January 2020	22 July 2025 (Updated based on MSC Covid-19 Derogation of 27 March 2020)
4	Surveillance level and type	

Level	The PCR determined surveillance audits at the surveillance level 4, MSC FCP Table 5 (see Appendix 7.3 for more details).	
Type	Current expedited audit was carried out as a remote-site audit together with the first surveillance audit (see Appendix 7.1 for more details).	
5	Surveillance number	
	1st Surveillance	X
	2nd Surveillance	
	3rd Surveillance	
	4th Surveillance	
	Other (expedited etc)	X (expedited audit for Central Baltic herring) – The present report
6	Surveillance team leader	
	- Hans Lassen (Team leader and also P1 and P3 expert, off-site)	
7	Surveillance team members	
	- Gemma Quilez (BV project manager and P2 expert, off-site) - Sarmite Zoltnere (Traceability and Chain of Custody, Local contacts, on-site)	
8	Audit/review time and location	
	Off-site audit using Microsoft TEAMS video conferencing, 17 and 18 June 2021.	
9	Assessment and review activities	
	The team conducted assessment activities in accordance with FCP 7.28.15-18. The team focused on: (i) checking for any relevant changes in operations, regulations and stock status affecting the fishery; (ii) assessing progress against the conditions and recommendations set to the fishery. See Appendix 7.1 for details on the people interviewed and on the stakeholder engagement strategy, and for details on topics discussed during the site visit and other stakeholder inputs. Input from WWF is considered in Appendix 7.2 . Harmonization activities with overlapping fisheries are described in Appendix 7.4	
10	Stakeholder opportunities	
	<ul style="list-style-type: none"> - The announcement of the surveillance audit was published on the MSC website on 17 May 2021. In addition, an email was sent to stakeholders on 19 May 2021. In both, it was stated that stakeholders could send their inputs until the 16th of June. - Stakeholders were also informed that during the surveillance audit all team members were going to be available to meet remotely (FCP v2.2 7.28.15.b). - Stakeholders were informed on the Expedited Audit of the status of the Central Baltic Herring on 17 June 2021 via the MSC web site (available at: https://fisheries.msc.org/en/fisheries/nzro-gulf-of-riga-herring-and-sprat-trawl-fishery/@@assessments). 	

4.2 Background

Changes to the fishery since its certification are outlined below.

4.2.1 Management systems and Relevant regulations

The Team concluded that the management system is unchanged based on the EU CFP, the agreement between EU and Russia Federation and the agreement between Estonia and Latvia, the latter concerning the fishery in the Gulf of Riga. There are no changes to relevant regulations for the Latvian pelagic trawl fishery in the Gulf of Riga.

4.2.2 Personnel involved in science, management or industry

There were no changes to key personnel at the Client, in management and in science.

4.2.3 Certified fleet and client group

The list of members of the Client group and vessel list were updated. Furthermore, the list of first buyers was also updated. The lists are given in **Appendix section 7.5**.

4.2.4 Distribution of the fishery

BIOR shared with the team the updated effort distribution of the Latvian herring fishery (**Figure 4.1**). The fishery covered the same grounds as in previous years.

The distribution of the fishery remained unchanged.

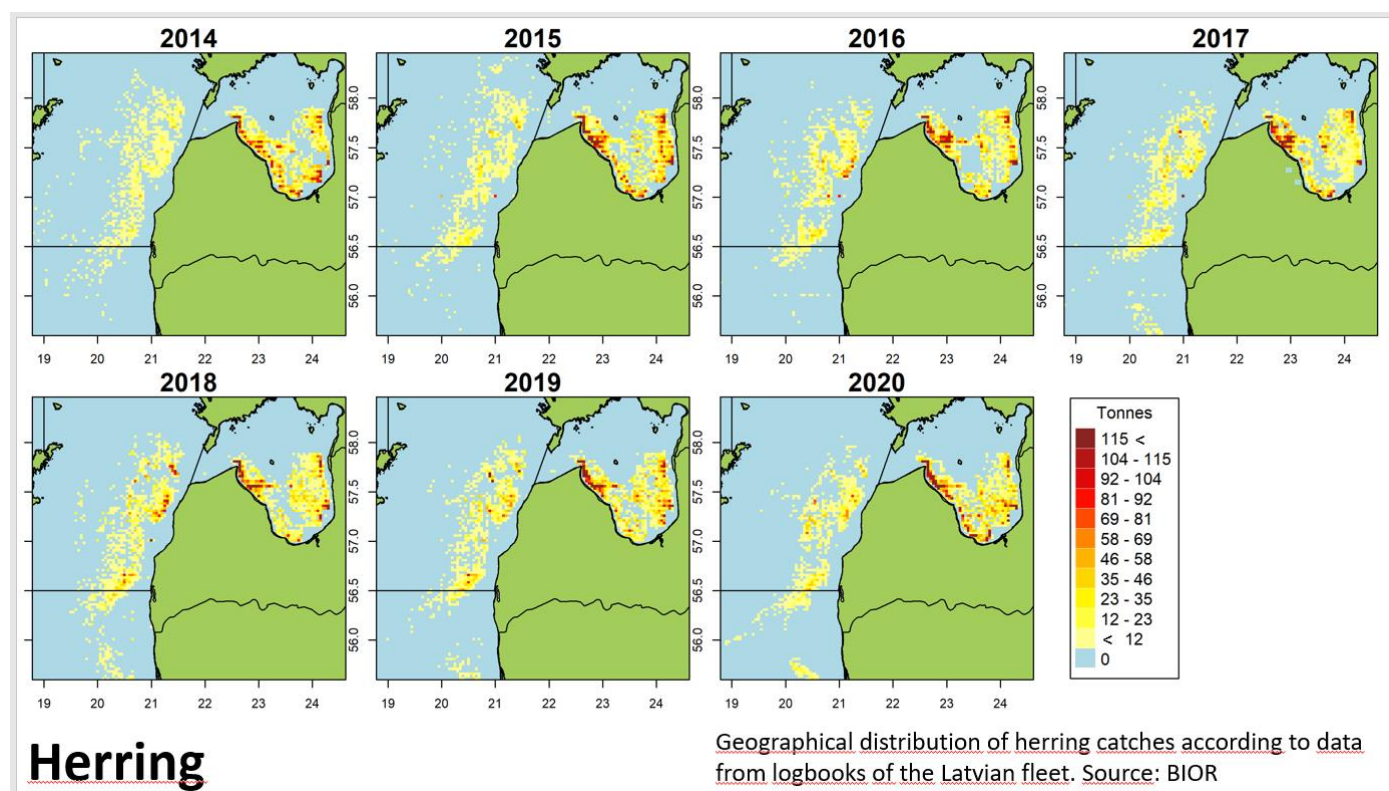


Figure 4.1 Geographical distribution for the Latvian Herring fishery 2014-2020, based on logbooks. Source: BIOR.

4.2.5 Stock status - background

The herring catch in the Gulf of Riga exploits both Gulf of Riga herring as well as Open Sea herring (Central Baltic herring in subdivisions 25, 26, 27, 28.2, 29 and 32).

The UoCs cover fishing in the Gulf of Riga only (ICES 28.1) with three Principle 1 targets: Herring (*Clupea harengus*) and sprat (*Sprattus sprattus*) split into three stocks:

- Gulf of Riga herring
- Central Baltic herring
- Baltic Sprat in Subdivisions 22-32

Management of herring and sprat in these areas are based on TACs set under the EU CFP (Herring in the Gulf of Riga) and by EU and Russia (Sprat and Herring in the Open Sea). An EU multiannual plan for the management of Baltic stocks (MAP) is in place for stocks and includes herring and sprat (EU, 2016; 2019). Herring and sprat are caught together in a trawl fishery. There are well established sampling programmes that provide fairly accurate catch estimates by species. This is supplemented by BIOR that runs a data collection program with 2 BIOR scientists on board a few fishing trips for sampling; in 2020 the sampling effort due to COVID-19 lock-down, was very low. These scientists record catch composition, and sample length and age on sprat and herring. Furthermore, the programme provides data that allows a split of the herring catches into whether the herring is of Gulf or Open Sea origin.

The Central Baltic Herring and the Baltic Sprat mainly occur in the Open Sea outside the Gulf of Riga and only a small proportion of these populations is found in the Gulf of Riga. The stock status of these two species is based on the conditions in the Open Sea and reference points are based on their classification as Key LTL species.

As discussed in the Bureau Veritas PCR for the Latvian trawl fishery for GoR Herring, the Gulf of Riga Herring is not considered as a Key LTL species (Bureau Veritas, 2020).

a. Update on Gulf of Riga Herring stock status

The update on the GoR herring stock status will be found in the 1st Surveillance Audit report that will be published in September 2021.

b. Update on Baltic Sprat stock status

The update on the Baltic sprat stock status will be found in the 1st Surveillance Audit report that will be published in September 2021.

c. Update on the Central Baltic Herring (CBH) stock status

Apart from the GoR herring stock, the other herring stock impacted by the fishery is the Central Baltic herring, ICES (2021a). A recent interbenchmark assessment (ICES, 2020) introduced updated natural mortalities for 1974–2018, which led to a downward revision of SSB and an upward revision of fishing mortality compared to previous assessments. Furthermore, the strength of the 2019 year class was downgraded at the 2021 assessment.

The reference points that are currently accepted are given below in **Table 4.2** (from ICES, 2021a).

Both MSY and PA reference points were re-estimated for both stocks at the interbenchmark (ICES, 2020). For sprat, the biomass reference points were unchanged, while all fishing mortality reference points increased. For herring, the biomass reference points were lowered by about 25%. F_{MSY} and the corresponding range were practically unchanged, while F_{lim} and F_{pa} increased slightly. The regime shift in the Baltic around 1990 is a challenge when deciding which part of the time-series to be used, this applies to both stocks

ICES (2021a) assesses that fishing pressure on the stock is above F_{MSY} and between F_{pa} and F_{lim} and that spawning-stock size is below $MSY_{Btrigger}$ and between B_{pa} and B_{lim} . The SSB estimate for 2021 is found at 365,448 t.

ICES (2021a) provides the following biomass reference points B_{lim} : 330 kt and B_{pa} : 460 kt. Central Baltic herring is classified as a Key LTL stock and this lifts the lower biomass reference level from B_{lim} to $B_{lim} + (B_{pa} - B_{lim})/3 = 375$ kt (rounded, calculation 373,333 t) as the PI 1.1.1A reference point. See section 7.4 for the harmonisation of this scoring.

As SSB_{2021} for this stock is estimated at 365 kt, the SG60 requirements of PI1.1.1A Sla are no longer met (see **Section 5.2.1**).

Table 4.2 Reference points for Central Baltic Herring. Source: ICES, 2021a.

Reference points				
Herring in subdivisions 25–29 and 32, excluding the Gulf of Riga. Reference points, values, and their technical basis. Weights are in tonnes.				
Framework	Reference point	Value	Technical basis	Source
MSY approach	MSY $B_{trigger}$	460 000	B_{pa}	ICES (2020)
	F_{MSY}	0.21	Estimated by EqSim	ICES (2020)
Precautionary approach	B_{lim}	330 000	The lowest SSB that has resulted in above-average recruitment, i.e. year 2002 (the SSB in 2002 happens to correspond to B_{loss})	ICES (2020)
	B_{pa}	460 000	$1.4 \times B_{lim}$	ICES (2020)
	F_{lim}	0.59	Estimated by EqSim as the F with 50% probability of SSB being less than B_{lim}	ICES (2020)
	F_{pa}	0.32	F_{POS} . The F that leads to $SSB \geq B_{lim}$ with 95% probability	ICES (2021a)
Management plan	MAP MSY $B_{trigger}$	460 000	MSY $B_{trigger}$	ICES (2020)
	MAP B_{lim}	330 000	B_{lim}	ICES (2020)
	MAP F_{MSY}	0.21	F_{MSY}	ICES (2020)
	MAP target range $F_{lower}-F_{MSY}$	0.15–0.21	Consistent with the ranges which result in no more than a 5% reduction in long-term yield compared to MSY	ICES (2020)
	MAP target range $F_{MSY}-F_{upper}$	0.21–0.26	Consistent with the ranges which result in no more than a 5% reduction in long-term yield compared to MSY	ICES (2020)

Fishing mortality has shown an increasing trend since 2014 and has been above F_{MSY} since 2015. The high recruitment in 2015 was followed by below average or average recruitment and recruitment in 2020 is average (**Figure 4.2**). Moreover, the estimate of the large 2014 year class is imprecise. In addition, species misreporting of herring has occurred in the past, and there are indications of sprat being misreported as herring (see **Section 7.2** for further details). These effects have not been quantified; however, they may affect the quality of the assessment (ICES, 2021a).

The conclusion is that the stock is below levels relevant to PI 1.1.A (ecosystem needs).

The management of the Central Baltic herring stock is based on an EU multiannual plan (MAP) for stocks in the Baltic Sea (EU, 2016, 2019). This plan affects the different herring stocks in the Baltic Sea. This Plan provides measures, primarily TAC adjustments, that are expected to ensure that the UoA does not hinder recovery and rebuilding.

Management has reacted based on the ICES (2021a) assessment and has reduced TACs for 2021 consistent with the advice (**Table 4.3**). This reduction applies to all herring fisheries in the Central Baltic not only the MSC certified fisheries. So, it is ensured that the fisheries collectively do not hinder recovery and rebuilding.

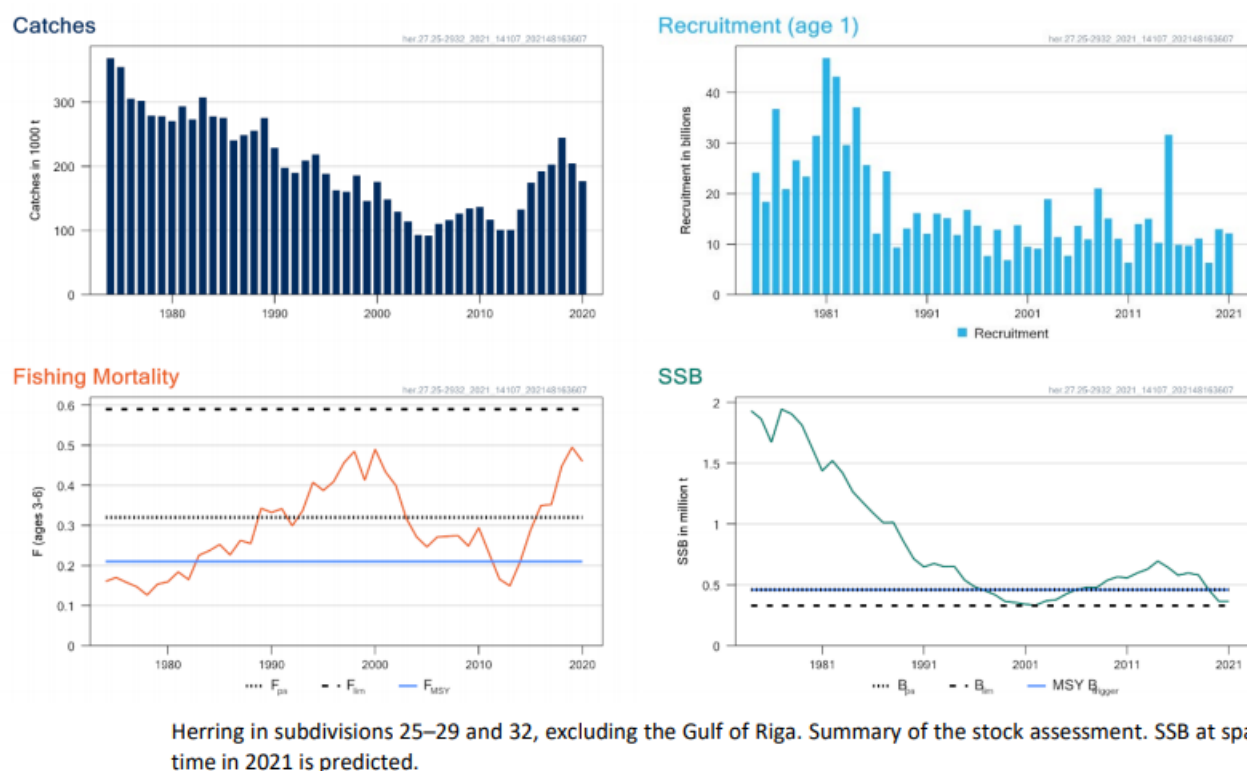


Figure 4.2 Herring in subdivisions 25–29 and 32, excluding the Gulf of Riga (central Baltic Sea). Above: Summary of the stock assessment (SSB at spawning time in 2020 is predicted). Below: State of the stock and the fishery relative to reference points. Source: ICES, 2021a.

Table 4.3 Summary of ICES advice for Central Baltic Herring, Total TAC (EU+Russia) and Total catch. Source: ICES (2021a).

Year	ICES Advice summary	TAC (EU+Russia) (t)	Total catch (t)
2018	MAP target F ranges: Flower to Fupper (0.16–0.28), but F higher than $F_{MSY} = 0.22$ only under conditions specified in MAP 200236–331510 , but catch higher than 267745 only under conditions specified in MAP	258,855	244,365
2019	MAP target F ranges: Flower to Fupper (0.16–0.28), but F higher than $F_{MSY} = 0.22$ only under conditions specified in MAP 115591–192787 , but catch higher than 155333 only under conditions specified in MAP	200,260	204,438
2020	MAP target F ranges: Flower to Fupper (0.16–0.28), but F higher than $F_{MSY} = 0.22$ only under conditions specified in MAP 130546–214553 , but catch higher than 173975 only under conditions specified in MAP	182,484	177,079
2021	MAP 111852 (range 83971–138183)	126,051	

The status of the Central Baltic Herring has changed and Performance Indicator 1.1.1A is rescored, see **section 5.2**.

4.2.6 Central Baltic Herring as IPI species

FCP v2.2 7.5.9.1 informs the that the conditions for applying the IPI criterion is as follows:

7.5.9.1 The CAB shall only recognise stock(s) as being an IPI stock where the inseparability arises because either:

- a. The non-target catch is practicably indistinguishable during normal fishing operations (i.e., the catch is from a stock of the same species or a closely related species), or
- b. When distinguishable, it is not commercially feasible to separate due to the practical operation of the fishery that would require significant modification to existing harvesting and processing methods.

And:

- c. The total combined proportion of catches from the IPI stock(s) do not exceed 15% by weight of the total combined catches of target and IPI stock(s) for the UoA.
- d. The IPI stock(s) are not endangered, threatened or protected (ETP) species.
- e. The IPI stock(s) are not certified separately.

The requirements 7.5.9.1a-d are fulfilled. The 15% criterion is fulfilled (**Table 4.4**). However, the MSC's intent for **FCP 7.5.9.1.e** is that this includes stocks that are suspended.

Table 4.4 Catches of herring in the Gulf of Riga 2016-2020: Source: ICES, 2021b.

Tons	Gulf of Riga Herring	Central Baltic Herring	% of total herring
Catch	29,361	3,448	10.5

4.3 Ecosystem Impacts

The impact on the ecosystem is assessed as unchanged. Details on this will be in the 1st Surveillance Audit report that will be published in September 2021.

4.4 Management system and compliance

Management remained unchanged. Details on this will be in the 1st Surveillance Audit report that will be published in September 2021.

4.5 Version details

Table 4-5 – Fisheries program documents versions

Document	Version number
MSC Fisheries Certification Process	Version 2.2
MSC Fisheries Standard	Version 2.01

MSC General Certification Requirements	Version 2.4.1
MSC Surveillance Reporting Template	Version 2.1

5 Results

5.1 Surveillance results overview

5.1.1 Summary of PI Level Scores

Table 5.1 presents scores given to each MSC Principle as published at the PCR, while **Table 5.2** presents scores for each Performance Indicator. Score changes have been indicated only for the Expedited Audit on UoC2 (Central Baltic herring). The other score changes for the other UoCs will be found in the 1st Surveillance Audit report that will be published in September 2021.

Table 5.1 Scores obtained by the Central Baltic herring UoA for each MSC Principle as published at the PCR and after the current expedited audit.

Principle	PCR	Expedited Audit
Principle 1 – Target Species	86.7	<60
Principle 2 – Ecosystem	88.7	=
Principle 3 – Management System	87.9	=

Table 5.2 PI scores of the Central Baltic herring UoA as published at the PCR and after the current expedited audit (in orange are the scores below 80, meaning a condition was raised for that PI and in red the score below 60, meaning that the PI fails).

Principle	Component	Performance Indicator (PI)	Score (PCR)	Exp. Audit
One	Outcome	1.1.1 Stock status	90	<60
		1.1.2 Stock rebuilding	N/A	Irrelevant
	Management	1.2.1 Harvest strategy	90	Irrelevant
		1.2.2 Harvest control rules & tools	75	Irrelevant
		1.2.3 Information & monitoring	90	Irrelevant
		1.2.4 Assessment of stock status	85	Irrelevant
Two	Primary species	2.1.1 Outcome	100	=
		2.1.2 Management strategy	100	=
		2.1.3 Information/Monitoring	100	=
	Secondary species	2.2.1 Outcome	75	=
		2.2.2 Management strategy	85	=
		2.2.3 Information/Monitoring	80	=
	ETP species	2.3.1 Outcome	75	=
		2.3.2 Management strategy	80	=
		2.3.3 Information strategy	80	=
	Habitats	2.4.1 Outcome	95	=
		2.4.2 Management strategy	85	=

Three	Ecosystem	2.4.3	Information	80	=
		2.5.1	Outcome	100	=
		2.5.2	Management	85	=
		2.5.3	Information	100	=
	Governance and policy	3.1.1	Legal &/or customary framework	85	=
		3.1.2	Consultation, roles & responsibilities	85	=
		3.1.3	Long term objectives	80	=
	Fishery specific management system	3.2.1	Fishery specific objectives	100	=
		3.2.2	Decision making processes	85	=
		3.2.3	Compliance & enforcement	95	=
		3.2.4	Monitoring & management performance evaluation	90	=

5.1.2 Summary of conditions

The summary of conditions will be found in the 1st Surveillance Audit report that will be published in September 2021.

5.1.3 Total Allowable Catch (TAC) and catch data

The TAC and catch data will be found in the 1st Surveillance Audit report that will be published in September 2021.

5.1.4 Recommendations

The Recommendations will be found in the 1st Surveillance Audit report that will be published in September 2021.

5.2 Re-scoring Performance Indicators

As part of the activities to be performed during surveillance audits, the CAB shall re-score where the information for PI scores has changed (FCP v2.2 7.28.15.1). During the current surveillance audit the team found that the information for 2 PI scores changed and shall be re-scored: PI 1.1.1A for UoA2 (Central Baltic herring) and UoA3 (Baltic Sea sprat) and PI 1.2.4. In the first case (i.e., PI 1.1.1A for both UoAs), the re-scoring was downwards as a result of new information available from ICES and harmonization with the LR and GT CABs (see **Section 6.5** for further details). Moreover, an additional PI was also re-scored, i.e., PI 1.2.1. The re-scoring of this PI was the result of a harmonisation initiated by Global Trust on behalf of the Poland herring and sprat midwater trawl and gill net fishery. The result was based on the 'Lowest score principle'.

The only re-scoring table presented below is that from the Central Baltic herring (UoA2), the rest will be found in the 1st Surveillance Audit report that will be published in September 2021. Changes made to the original rationales and scores are highlighted in light blue, while superseded text is crossed out.

5.2.1 Evaluation Table for PI 1.1.1A – Central Baltic Herring

The scoring of this Performance indicator is a result of the Harmonisation as described in **section 7.4**.

The harmonisation discussion focused on the relevant reference point for PI 1.1.1A.

The Standard Guide suggests looking at the biomass at no fishing. However, with regard to the status of the stock relative to the stock level that would be expected in the absence of fishing (B₀), at ICES WKMSYREF3 (2015), the value of B₀ was estimated at or around 2.230 million tonnes. However, that estimation was based on old input data (mainly cod predation). Based on the more recent ICES IBPBASH report (ICES, 2020) estimations and information provided in the report, specifically the SSB vs fishing mortality curve, an estimate of SSB in the absence of fishing cannot be estimated by extrapolation. As a result, a value of B₀ is not available to assess SA2.2.12a against.

PI 1.1.1 A		The stock is at a level which has a low probability of serious ecosystem impacts																									
Scoring Issue		SG 60	SG 80	SG 100																							
a	Stock status relative to ecosystem impairment																										
	Guide post	It is likely that the stock is above the point where serious ecosystem impacts could occur.	It is highly likely that the stock is above the point where serious ecosystem impacts could occur.	There is a high degree of certainty that the stock is above the point where serious ecosystem impacts could occur.																							
	Met?	✗N	✗Not scored	✗Not scored																							
	Justification	<p>The basis for setting reference points for ecosystem needs is as outlined for the Baltic Sprat above.</p> <p>The B_{MSY} level for Central Baltic herring is estimated around 730 kt (SMS simulations) and B_{MSY} is considered to be half of the unexploited biomass (Garcia et al. 1989), the point where serious ecosystem impacts occur is around 292 kt for central Baltic herring (20% of 1460 kt).</p> <p>The stock assessment methodology is XSA which does not provide confidence limits directly. Based on the goodness of fit in the XSA (log (q) SE) the CV for SSB is found at 15% (individual 0.3 around 0.3 for ages 3-6). The error distribution is in the XSA assumed to be lognormal.</p> <p>The SSB estimated in 2018 (938 kt) is three times the point where serious ecosystem impacts occur. The SSB resulted to be fluctuating around this level for the period 2000-2018 and there is a high degree of certainty that the stock is above the point where serious ecosystem impacts could occur.</p> <p>Table 1.1.1.1.-UoA2- Values for SSB (2018), estimated value for the ecosystem impact limit and estimated lower limit of the confidence intervals at SG60, SG80 and SG100</p> <table><tr><td>SSB (2018)</td><td></td><td>938 kt</td><td></td></tr><tr><td>CV</td><td></td><td>15%</td><td></td></tr><tr><td>Ecosystem impairment limit</td><td></td><td>292 kt</td><td></td></tr><tr><td>Likely</td><td>70%</td><td>867 kt</td><td>SG60 is met</td></tr><tr><td>Highly Likely</td><td>80%</td><td>827 kt</td><td>SG80 is met</td></tr><tr><td>High degree of certainty</td><td>95%</td><td>733 kt</td><td>SG100 is met</td></tr></table> <p>Herring in the Central Baltic, Subdivisions 25-29 and 32 is considered a key low trophic level (key LTL) species as in its adult life cycle phase the stock holds a key role in the ecosystem. The fish community of the Baltic Sea consists mainly of only three marine fish species: the Atlantic herring <i>Clupea harengus</i>, the European sprat <i>Sprattus sprattus</i> and the Atlantic cod <i>Gadus morhua</i>. Cod is the only abundant piscivorous fish in the Baltic Sea and much of its diet consists of herring and sprat. More than 50% of the stomach content in Eastern Baltic cod greater than 40</p>			SSB (2018)		938 kt		CV		15%		Ecosystem impairment limit		292 kt		Likely	70%	867 kt	SG60 is met	Highly Likely	80%	827 kt	SG80 is met	High degree of certainty	95%	733 kt
SSB (2018)		938 kt																									
CV		15%																									
Ecosystem impairment limit		292 kt																									
Likely	70%	867 kt	SG60 is met																								
Highly Likely	80%	827 kt	SG80 is met																								
High degree of certainty	95%	733 kt	SG100 is met																								

	<p>cm is herring and sprat, and these two species contribute more than 80% of the total fish fraction in the diet of cod. Only juvenile herring are preyed upon intensively by cod (ICES, 2013 - WKBALT).</p> <p>The four marine mammals of the Baltic Sea: the harbour seal <i>Phoca vitulina</i>, the grey seal <i>Halichoerus grypus</i>, the ringed seal <i>Pusa hispida</i> and the harbour porpoise <i>Phocoena</i> are, together with birds, the natural fish-consuming top predators in the pelagic food web (Snoeijs-Leijonmalm <i>et al.</i>, 2017).</p> <p>The fraction of the biomass removed by the fish predators is in the assessments of herring in SD 25–27, 28.2, 29 and 32 and Baltic sprat accounted for by including predation mortality in the population model. The interbenchmark (2020) concluded “It was found appropriate to use unsmoothed values of natural mortality from the SMS keyrun in the assessments for both stocks [Central Baltic Herring and Baltic Sprat]. Future M values should be predicted using a model which includes cod spawning stock biomass.”</p> <p>According to MSC Fisheries Standard v2.01 – Annex SA PI 1.1.1, the ICES reference point Blim can be treated as the point of recruitment impairment PRI. The guidance also states (SA2.2.12) that when scoring PI 1.1.1 A scoring issue (a), the point where serious ecosystem impacts could occur shall be interpreted as being substantially higher than the PRI as determined in a single species context.</p> <p>Blim reference points have been estimated taking into account predation from the main predator (see par above) therefore, because the reference points for Central Baltic Herring and Baltic Sprat are estimated taking predator needs into account through the use of multi species modelling [SMS key run] and because the natural mortality (M) used in the stock assessments used for formulating the advice on fisheries possibilities dependent on the cod abundance as prescribed by the interbenchmark (ICES, 2020) it is found that the proxy proposed by the MSC interpretation of 1/3 of the distance between Blim and Bpa is found to be applicable as the limit reference point for ecosystem needs, see section 7.4. Based on Norrström <i>et al.</i> (2017) see WGSAM (ICES, 2017) supplemented with a later update, CB herring NE BMSY is estimated at 733 000 tonnes and based on the rule of thumb the limit reference point should be around 50% of this value. This corresponds to the rule Blim + (Bpa-Blim)/3 giving 375 kt. Three bird species that feed mainly on herring and sprat (common guillemot, razorbill, and Arctic tern) have increased in number over recent decades. Likewise, population numbers of grey seals for which herring constitute an important prey grew rapidly between 2000 and 2014 and have now stabilized at about 30 000 individuals (ICES, 2018). Although, no ecosystem models provide an estimate of the impact of current fishing levels on herring on those species, Together, these three bird species and the seals plus the major herring predator, Baltic cod, represent the majority of ecosystem predation impact on CB herring. All this suggests that if anything the reference point corresponding to the ecosystem needs may be higher than the 375 kt SSB applied in this assessment. As the SSB₂₀₂₁ is only 365 kt, and according to MSC Fisheries Standard v2.01 – Annex SA, SG60 is not met. Furthermore, fishing mortality has shown an increasing trend since 2014. It has been above F_{MSY} since 2015 and has been so for more than 5 years. This supports the conclusion.</p> <p>SG80 and SG100 are not scored.</p>		
b	Stock status in relation to ecosystem needs		
	Guide post	The stock is at or fluctuating around a level consistent with ecosystem needs.	There is a high degree of certainty that the stock has been fluctuating around a level consistent with ecosystem needs or has been above this level over recent years.
	Met?	Yes No	No
	Justification	Guidance based on FCR v2.0 SA2.2.13 suggests that the default value is 75% of the virgin biomass while the lower value is 40% of unfished biomass. Based on the analysis presented	

	<p>above these values are around 1,095 kt / 584 kt. The B_{MSY} estimate from SMS model (730 kt) is in this interval and is taken as a system specific estimate of the ‘ecosystem needs’ reference point.</p> <p>The regime shift noted with the sprat assessment above suggests that data before 1990 reflect population dynamics not relevant for the current productivity regime in the Baltic Sea. Furthermore, the stock was at a low level and only improved after 2002. The 2010—2018 SSB geometric average – 843 kt may be appropriate for assessing if the stock currently is fluctuating around a level of ecosystem needs. Hence the stock is fluctuating above a level consistent with ecosystem needs. SG80 is met.</p> <p>The recent 2010-2018 average SSB is 1,155 mill t. The SSB is stable over these three years. The standard error for this average is $(0.15/\sqrt{9} = 0.05)$ suggests that there is a high degree of certainty that the stock is fluctuating around corresponding to a 5% level of 776 kt). The average stock in recent years is above the level of ecosystem needs (730 kt). This would imply that SG 100 is met.</p> <p>Reference limits for forage fish cannot be defined without considering changes in the biomass of their natural predators (Gislason, 1999). Since 2012, the biomass index of Eastern Baltic cod, the main predator of herring, has been declining and the 2021 value is the lowest observed since 2003. The Central Baltic herring BMSY was estimated by the multi-species model SMS (~ 1 million tonnes) in 2013. Based on Norrström <i>et al.</i> (2017) (see WGSAM - ICES, 2017) supplemented with a later update, CB herring NE BMSY is estimated at 733 000 tonnes which is taken as the best estimate currently available. The SSB has been fluctuating slightly above MSY Btrigger (460 kt) for about 20 years, the average 2000-2020 is around 496 kt, while the fishing mortality is above FMSY (average 2000-2020 is 0.32 and FMSY is 0.21); the current average (2015-2000) is 0.40.</p> <p>The stock is not fluctuating around levels consistent with ecosystem needs. SG80 is not met.</p>		
References	<p>Gislason (1999) Norrström <i>et al.</i>, (2017) ICES (2013) WKBALT ICES (2017) WGSAM ICES (2018) ICES (2020) Interbenchmark of Baltic pelagic stocks ICES (2021a) Advice on Central Baltic Herring Snoeijs-Leijonmalm <i>et al.</i>, 2017</p>		
Stock Status relative to Reference Points			
	Type of reference point	Value of reference point	Current stock status relative to reference point
Reference point used in scoring stock relative to ecosystem impairment (Sla)	<p>$B_{20\% \text{ virgin}}$</p> <p>$Blim + (Bpa - Blim)/3$</p> <p>Bpa 460 kt Blim 330 kt</p>	<p>292 kt</p> <p>375 kt (Rounded from 373 kt)</p>	<p>SSB (2018) = 938 kt F(2018) = 0.29</p> <p>SSB₂₀₂₁ 365,448 tons</p>
Reference point used in scoring stock relative to ecosystem needs (Sib)	<p>B_{MSY} F_{MSY}</p> <p>F_{MSY} $0.5 * F_{MSY}$</p>	<p>730 kt 0.22</p> <p>0.21 0.105</p>	<p>$F_{2020} = 0.46$</p>
OVERALL PERFORMANCE INDICATOR SCORE:			90 Central Baltic Herring: <60
CONDITION NUMBER (if relevant):			NA FAIL

5.2.2 Evaluation Table for PI 1.1.1A – Baltic Sprat

The scoring of this Performance indicator will be found in the 1st Surveillance Audit report that will be published in September 2021.

5.2.1 Evaluation Table for PI 1.2.1 – Harvest Strategy

Scoring for GoR herring (UoA1) is unchanged and scoring of Central Baltic Herring (UoA2) is irrelevant because PI 1.1.1A is now scored below 60 for that scoring component.

For the Baltic Sprat (UoA3), the re-scoring will be found in the 1st Surveillance Audit report that will be published in September 2021.

5.2.2 Evaluation Table for PI 1.2.4 – Assessment of stock status – Baltic Sprat

Scoring of the Gulf of Riga herring (UoA1) is unchanged and scoring of Central Baltic Herring (UoA2) is irrelevant because PI 1.1.1A is now scored below 60 for that scoring component. The Baltic Sprat (UoA3) re-scoring will be found in the 1st Surveillance Audit report that will be published in September 2021.

5.3 Conditions

5.3.1 Closed Conditions

There is no condition to be closed.

5.3.2 Progress against conditions

Progress against conditions will be found in the 1st Surveillance Audit report that will be published in September 2021.

5.3.3 New conditions

A new condition will be raised for PI 1.1.1A in the Baltic sprat UoA3. Details will be found in the 1st Surveillance Audit report that will be published in September 2021.

5.4 Client Action Plan

The Client Action Plan for the above-mentioned new condition will be found in the 1st Surveillance Audit report that will be published in September 2021.

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7 Appendices

7.1 Evaluation processes and techniques

7.1.1 Site visits

The Table below summarizes the sessions held as part of the 4th Surveillance audit together with the main topics discussed at these sessions.

The assessment team participated in every session

- Hans Lassen
- Gemma Quilez
- Sarmite Zoltnere

Helle Christensen (MSC Copenhagen, Denmark) took part as observer. Her presence was clarified with the participants in the sessions.

Date	Participation*	Local Time UTC+3	Topic	Participants
17 June (Thursday)	Assessment team only	09:00-10:00h	To review answers to the questionnaire and agree procedure	
	Client	10:00-12:00h	Review of answers to the questionnaire (all questions in the questionnaire). In particular traceability as no other addresses this. Are the overall management and international arrangements unchanged? In particular, are the relations with Russia unchanged?	Viesturs Ulis (NZRO)
	Lunch	12-14h		
	Ministry	14:00-15:30h	Questionnaire Principle 3 (Fishery management)	Inese Bārtule (Latvian Ministry) Santa Jansone (Latvian Ministry)
18 June (Friday)	Assessment team only	09-10h	Team review and last minutes arrangement	
	BIOR	10:00-12:00h	Questionnaire Principle 1 and Principle 2 questions only (Data from the observer programme) Principle 1 and principle 2 questions only.	Ivars Putnis (BIOR) Maris Plikšs (BIOR)
	Lunch	12:00-14:00h		
	Control and enforcement	14:00-15:30h	Is the fleet compliant with the regulations? Have there been any major incidents with the LFPO and the NZRO GoR fleet segments in the sprat and herring fisheries?	Miks Veinbergs (Maritime Control Division of the Fisheries Control Department. State Environmental Service)
	Assessment team only	16:30-17:00h	Team review preliminary conclusions, agreement of deadlines	
	Client	17:00-17:30h	Concluding meeting	Viesturs Ulis (NZRO)

7.2 Stakeholder Participation and Input

Bureau Veritas encouraged stakeholder input as part of the announcement of the 1st surveillance audit of the Gulf of Riga herring and sprat trawl fishery and the 4th surveillance audit of the Sprat trawl fishery published at MSC website on 17 May 2021.

The details on Stakeholder Participation and Input will be found in the 1st Surveillance Audit report that will be published in September 2021.

7.3 Revised surveillance program

The Revised surveillance program will be found in the 1st Surveillance Audit report that will be published in September 2021.

7.4 Harmonised fishery assessments – delete if not applicable

The following fisheries were involved with harmonisation of the scoring of the Central Baltic Herring based on the revision of the stock status as presented by the ICES assessment (ICES, 2021a).

Table 7-1 Baltic Sprat and Herring fisheries with Central Baltic Herring as target species.

Fishery Name	Target Species	Gear Types	MSC Status	CAB
Finland Baltic herring & sprat	- Herring in the Bothnian Sea and Gulf (ICES SD 30+31) - Central Baltic Herring (ICES SD 25, 26, 27, 28.2, 29) - European sprat (ICES SD 22-32)	Traps Trawls - Other	Certified	LR
Denmark, Estonia, Germany, Sweden Baltic herring and sprat	Herring, - European sprat (ICES SD 22-32)	Surrounding Nets - With purse lines (purse seines) Trawls - Midwater trawls	Certified	LR
LFPO pelagic trawl sprat (<i>Sprattus sprattus</i>)	European sprat (ICES SD 22-32)	Trawls - Midwater trawls - otter trawls	Certified	BV
NZRO Gulf of Riga herring and sprat trawl fishery	- GoR Herring (ICES SD 28.1) - Central Baltic Herring (ICES SD 25, 26, 27, 28.2, 29) - European sprat (ICES SD 22-32)	Trawls - Midwater trawls	Certified	BV
Poland herring and sprat midwater trawl and gill net	- Western Baltic Herring (ICES SD 20-24 and eastern part 4) - Central Baltic Herring (ICES SD 25, 26, 27, 28.2, 29) - European sprat (ICES SD 22-32)	Gillnets And Entangling Nets - Gillnets, Trawls - Bottom trawls - pair trawls, Trawls - Midwater trawls - pair trawls	In Assessment	Global Trust

As will be seen from the Table above there are overlaps but also distinct differences both in the gears involved as well as the resource basis.

The LFPO pelagic trawl sprat (*Sprattus sprattus*) assesses the Central Baltic Herring as a by-catch under Performance indicator 2.1 (Primary species) and as a 'main' by-catch.

The NZRO trawl fishery has three Principle 1 species (GoR Herring, Central Baltic Herring and Baltic Sprat). The GoR herring is not under discussion in these harmonisation discussions. There is agreement among the CABs on the scoring of the Central Baltic Herring (<60) based on ICES (2021a). The scoring of the Sprat was agreed previously.

Regarding the Central Baltic herring, ICES (2021a) has revised its perception of stock biomass downwards and correspondingly increased its estimate of F (https://www.ices.dk/sites/pub/Publication%20Reports/Advice/2021/2021/her.27.25-2932.pdf).

Scoring **PI1.1.1A Sla for Central Baltic Herring** – the text below is an update of the existing scoring rationale with the new assessment data:

The stock is below Bpa/ MSY Btrigger (2021 SSB = 365 thousand tonnes). The previous rationale for scoring the stock on PI1.1.1A a) was the following:

In the absence of a reliable current estimate of B_0 , it is necessary to determine the status of the stock relative to its PRI using the MSC interpretation of ICES reference points ("Scoring stock status against Bmsy for ICES stocks (FCR v2.0 - Annex SA PI 1.1.1)"). This interpretation states that the ICES reference point B_{lim} can be treated as the PRI. The interpretation also states that in relation to scoring issue (a): stock status with respect to the point of recruitment impairment (PRI):

1. To meet the 60-scoring guidepost and "*in the absence of an explicit probability distribution of stock size, CABs should normally assess this situation as met when the stock is estimated above 1/3 of the distance between B_{lim} and Bpa*".
2. to meet the 80-scoring guidepost, "*in the absence of an explicit probability distribution of stock size, CABs should normally assess this situation as met when the stock is estimated above 1/2 of the distance between B_{lim} and Bpa*".
3. To meet the 100-scoring guidepost MSC requires that a "high degree of certainty" generates only a 5% probability that a stock is less than the PRI. ICES states that, at Bpa, there is a very low probability of being below B_{lim} , which can be assumed to be equivalent to the MSC "high degree of certainty".

The latest biomass estimate does not meet the SG60 requirement, as the 2020 SSB estimate is less than the biomass that is $\frac{1}{3}$ of the distance between B_{lim} and Bpa (Bpa= 460 thousand t and B_{lim} = 330 thousand t).

Table 7-2 – Overlapping fisheries

Supporting information

See **sections 7.4.1, 7.4.2 and 7.4.3** for detailed information on the harmonisation meetings carried out.

Was either FCP v2.2 Annex PB1.3.3.4 or PB1.3.4.5 applied when harmonising?

Yes

Date of harmonisation meeting

**16th June 2021
1st July 2021
14 July 2021**

If applicable, describe the meeting outcome

1.1.1A: Central Baltic herring, Agreement on scoring (<60 based on ICES, 2021a)
1.1.1A: Baltic sprat, Lowest score adopted
1.2.1 Sla: Baltic sprat, Lowest score adopted
2.1.1: Central Baltic herring, Agreement on approach to defining reference points, other fisheries score this under principle 1 (Target species)

Table 7-3 – Scoring differences for pelagic trawl fisheries in the Gulf of Riga

Performance Indicators (PIs)	Finland Baltic herring & sprat	Denmark, Estonia, Germany, Sweden Baltic herring and sprat	LFPO pelagic trawl sprat	NZRO Gulf of Riga herring and sprat trawl fishery	Poland herring and sprat midwater trawl and gill net
PI 1.1.1A [Central Baltic Herring]	<60 (70)	<60 (70)	NA	<60 (70)	<60
PI 2.1.1 [Central Baltic herring]	NA	NA	90	NA (regulated under a different regime GoR Herring TAC)	NA

Table 7-4 – Rationale for scoring differences

If applicable, explain and justify any difference in scoring and rationale for the relevant Performance Indicators (FCP v2.2 Annex PB1.3.6)

The fisheries differ in several respect

1. The Latvian pelagic fishery occurs only in the Central Baltic Sea and does not affect the Western Baltic Herring (Polish fishery)
2. The Latvian fishery is for human consumption only, there is no fishery for animal feed, fish meal and fish oil involved (Danish, Swedish, Polish, Finnish fisheries)
3. The Latvian fishery is using trawl only while other fisheries also certify purse seine, gillnets and traps
4. The NZRO [LPFO] fishery occurs in the Gulf of Riga where the other fisheries do not have access and where a separate management setup applies

If exceptional circumstances apply, outline the situation and whether there is agreement between or among teams on this determination

There are no exceptional circumstances

7.4.1 Harmonisation meeting 1

Central Baltic Herring Harmonisation Discussion

16th June 2021, 1000BST

Attendance

Gemma Quilez, Bureau Veritas
Hans Lassen, Bureau Veritas
Giuseppe Scarcella, Lloyd's Register
Gillian Irvine, Lloyd's Register
Jim Andrews, Lloyd's Register
Maciej Tomczak, Global Trust
Conor Donnelly, Global Trust

Apologies

Beatriz Roel, Lloyd's Register
Geraldine Criquet, Global Trust

Notes of Meeting

The purpose of the meeting was to discuss the implications of the most recent ICES advice for Central Baltic herring for the scoring of the certified and in-assessment fisheries. Key points discussed and agreed are presented below:-

1. Scoring of PI1.1.1A
 - a. All agreed with Beatriz Roel's conclusion that SSB for this stock [is now $<1/3$ of the distance between Bpa and Blim, and that accordingly the SG60 requirements of PI1.1.1A Sla are no longer met.
2. Implications for certification
 - a. For BV and LR it was clear that this would require the suspension Central Baltic Herring] of existing certified fisheries.
 - i. BV can progress this through the surveillance audit that is being carried out at present [Latvian Pelagic Sprat and Gulf of Riga Herring] **[Action: BV]**
 - ii. LR will need to announce an expedited audit within 30 days of becoming aware of this situation (which was 5th June, so we need to announce by 5th July) **[Action: LR]**
 - b. For GT, the overall scoring of P1 for CBH was already <80 , so no action would be required.
3. Suspension
 - a. BV and LR agreed to harmonise timescales and processes for suspension of their CB herring UoCs. **[Action: BV & LR]**
 - b. It was noted that this would probably require a VR for the LFPO surveillance to synchronise it with the LR expedited audit process which will start at a later date.
4. Implications for P2 scoring
 - a. It was noted that if CB herring are $<PRI$, this will have implications for the scoring rationales and possibly also the scores for PI2.1.1 and PI2.1.2 in the sprat fishery [CBH is scored as primary main species in the Latvian Sprat trawl fishery and as Target species in the Gulf of Riga Herring fishery].
 - b. BV and LR agreed to evaluate these implications and feed back to GT. **[Action: BV & LR]**
 - c. GT noted that unless the rescoring results in a material change, they would harmonise with any rescoring at a surveillance audit.
5. Date for next meeting
 - a. All agreed to meet again on **14th July at 1000BST**

7.4.2 Intersessional Harmonisation Meeting 2

This meeting was called based on a discussion with ASI and LR with respect of PI1.2.1 Sla,

MSC Harmonisation Discussion: Central Baltic Herring Certified Fisheries 1st July 2021

Participants

Gemma Quilez, Bureau Veritas
Hans Lassen, Bureau Veritas
Gillian Irvine, Lloyd's Register
Jim Andrews, Lloyd's Register

Notes

1. **Response to Stock Status** – the 2021 ICES Advice resulted in agreement between the CABs that PI1.1.1A is no longer met at the SG60 level. In response:-
 - a. BV announced an expedited audit for the LFPO CB Herring UoA on 17th June 2021
 - b. LR have been in discussions with their clients about how to proceed (either an expedited audit or self-suspension). The deadline for determining the course of action is 5th July 2021.
 - c. LR will harmonise its suspension timescale with BV by obtaining a variation from the MSC on timescales if the client opts for self-suspension.

2. **Condition for PI1.1.1A** – the CABs agreed that when this PI is rescored at <60, the basis for the existing condition will no longer exist and that the clients for all of the CB herring fishery will no longer be required to take any action in respect of this condition. The research that would address this issue would therefore no longer be necessary, and the clients would not be expected to progress it. It was agreed that:-
 - a. Client groups should be informed that work to address the condition proposed for PI1.1.1A would not be necessary.
3. **Scoring of PI1.2.1 Sla** – [This applies to both Central Baltic Herring as well as Baltic Sprat] discussion of aligning the score of this SI with the lower score of 80 proposed by Global Trust for the Polish fishery that is under assessment. It was further noted that no new information had been advanced by Global Trust to justify the reduction in score from 100 to 80 and that all of the other P1 assessors felt that a score of 100 remained appropriate. In response to this situation: -
 - a. BV will re-score PI1.2.1 Sla at 80 during the current expedited/surveillance audit, noting the reasons why this score reduction was necessary; and
 - b. LR will re-score PI1.2.1 Sla at 80 at the next surveillance audit (likely in November 2021), harmonising with the BV rationale.
4. **IPI stocks** – LR were in discussion with the MSC about whether or not the CB herring would be an IPI stock for the sprat fishery. Clarifications were being sought about aspects of the definition, and LR will keep BV informed of the outcome.

7.4.3 Harmonisation meeting 3

Central Baltic Herring Harmonisation Discussion 14th July 2021, 1000BST

Attendance

Gemma Quilez, Bureau Veritas
Hans Lassen, Bureau Veritas
Giuseppe Scarcella, Lloyd's Register
Gillian Irvine, Lloyd's Register
Jim Andrews, Lloyd's Register

Apologies

Beatriz Roel, Lloyd's Register
Geraldine Criquet, Global Trust
Maciej Tomczak, Global Trust
Conor Donnelly, Global Trust (technical problem with e-mail address)

Notes of Meeting

The purpose of the meeting was to discuss progress with the suspension of the NZRO, FFA and DDES Central Baltic herring UoAs.

Key points discussed and agreed are presented below:-

1. Timescales
 - a. BV had announced an expedited audit on 15th June. The audit report will be published by the 15th August, resulting in an effective suspension date of 15th September for one of their UoCs.
 - b. LR have
 - i. Spoken to their clients, who have elected to request self-suspension. They each wrote to LR to request this on 5th July.
 - ii. Submitted a Variation Request to the MSC to allow the effective date of suspension for the LR fisheries to be synchronised with BV (i.e. 15th September).
 - iii. Announced an Expedited Audit on 5th July, in accordance with the MSC FCP timescales for announcing expedited audits within 30d of a material change (NB – this expedited audit will be cancelled when / if the MSC agree to the VR).

2. Scoring of PI1.2.1 Sla
 - a. It was agreed that the score of this SI would need to be harmonised by BV and LR to agree with the in-assessment Global Trust fishery (reduction from 100 to 80)
 - b. LR noted that following the recent ASI findings on this issue it would be necessary to make explicit and clear reference to PB1.3.4.5.a.ii (i.e. that the score reduction arises from the lack of agreement between teams and harmonisation to the lowest score).
3. Date for next meeting
 - a. It was agreed that it was not necessary to schedule a further meeting, and that BV and LR should stay in close contact to ensure that suspension timescales are implemented appropriately.

7.5 Operators and Vessels

7.5.1 LFPO fishing companies targeting GoR Herring in 2021

Updated on 23/01/2020.

The Latvian fleet of trawlers fishing in the Gulf of Riga amounts to a total of 26 vessels, but only 13 belong to NZRO members. Among those 13 vessels, 12 out of the 13 vessels are included in the certificate. Those 12 vessels (listed below) were the ones included in the Unit of Certification at the PCR. Only this fleet is entitled to use the MSC-Fishery certificate MSC-F-31463.

List of vessels included in the Unit of Assessment as provided by the client:

#	Vessel name	Vessel reg Nº	Special fishing permit for the gulf of Riga	Fishing Company
1	Zane	LVR 0518	Yes	"A.I. UN KO" Ltd.
2	Sencis	LVR 0662	Yes	
3	Vergi	LVR 0829	Yes	"VERGI" Ltd
4	Urga	LVR 0786	Yes	
5	Ulrika	LVR 0814	Yes	
6	Unions	LVR 0805	Yes	
7	Stella	LVR 0841	Yes	
8	Daugava	LVR 1504	Yes	"LĪCIS - 99" Ltd
9	Varita	LVR0657	Yes	"VARITA" Ltd.
10	Una	LVR0844	Yes	
11	Bukaisi	LVR2058	Yes	"Kursas Jura" Ltd
12	Bravo	LVR0813	Yes	

7.5.2 First Buyers

Updated on 25.02.2021.

See:

https://www.zm.gov.lv/public/files/CMS_Static_Page_Doc/00/00/00/73/21/Pirmo_pirceju_apliecibas_uz_25022021.pdf

NpK	Nosaukums	Reģ.numurs	Apliecības Nr	Apliecība derīga no	Apliecība derīga līdz
1	SIA "A.I. un KO"	40103077269	ZP000203	26.07.2019	26.07.2022
2	SIA "Agm-V"	42103062670	ZP000250	28.07.2020	27.07.2023
3	"Akciju sabiedrība "KIHNU KALA""	10251016	ZP000163	01.10.2018	30.09.2021
4	SIA "ALANTA"	40103203223	ZP000185	04.03.2019	03.03.2022
5	"Alfred Gurmee OU"	12780243	ZP000145	25.05.2018	25.05.2021
6	SIA "Am Ko"	40103259231	ZP000268	16.02.2021	15.02.2024
7	"Anatolijs Žaika"	26086210813	ZP000198	19.06.2019	18.06.2022
8	IK "Anete Š"	40002028823	ZP000253	08.10.2020	07.10.2023
9	SIA "ANTARES LATGALE SIA"	41503003194	ZP000174	23.11.2018	22.11.2021
10	"Arso EE OÜ"	10083688	ZP000209	26.09.2019	25.09.2022
11	SIA "Arvja zivis"	41203068596	ZP000216	17.11.2019	16.11.2022
12	IK "Asarītis"	42102030733	ZP000262	04.01.2021	03.01.2024
13	IK "Attālkalni L"	52102039931	ZP000152	18.09.2018	18.09.2021
14	"Auzas Talsu Individuālais uzņēmums"	41202007109	ZP000199	29.06.2019	28.06.2022
15	"Ādolfā Grefa-Erba Individuālais uzņēmums"	46102002990	ZP000173	23.11.2018	22.11.2021
16	IK "Āte-I"	50002152211	ZP000231	28.02.2020	27.02.2023
17	SIA "BAAL"	42103065183	ZP000214	23.12.2019	22.12.2022
18	SIA "Baltic Fish Trade"	42103082395	ZP000141	24.04.2018	24.04.2021
19	SIA "BALTICFISH"	40103050048	ZP000190	26.03.2019	25.03.2022
20	"Baltorderfish OÜ"	12124434	ZP000249	03.07.2020	02.07.2023
21	SIA "Banga Ltd"	41203031343	ZP000232	04.03.2020	03.03.2023
22	SIA "Baņķis"	50003253041	ZP000220	09.12.2019	08.12.2022
23	SIA "Belkovit"	40103560144	ZP000238	07.05.2020	06.05.2023
24	SIA "Bella AK"	41203045254	ZP000186	04.03.2019	03.03.2022
25	ZVS "Beta 2"	41201007807	ZP000224	16.01.2020	16.01.2023
26	SIA "Bērziems"	49203002489	ZP000171	23.11.2018	22.11.2021
27	SIA "Boroffish"	42103065234	ZP000147	15.06.2018	15.06.2021
28	SIA "BraDava"	41203006647	ZP000182	06.04.2019	05.04.2022
29	SIA "Branga"	40003738079	ZP000237	08.04.2020	07.04.2023
30	AS "Brīvais vilnis"	40003056186	ZP000192	25.04.2019	24.04.2022
31	SIA "D.Lana"	51503061461	ZP000179	22.12.2018	21.12.2021
32	SIA "Decent"	40103566289	ZP000265	12.01.2021	11.01.2024
33	SIA "Dūzis"	41203063194	ZP000142	24.04.2018	24.04.2021
34	SIA "Ervils"	42102017932	ZP000242	26.05.2020	25.05.2023
35	SIA "Fish Trade"	40103193866	ZP000244	30.05.2020	29.05.2023
36	SIA "FORELE-AN"	46103004772	ZP000201	28.06.2019	28.06.2022
37	SIA "Gaisma AR"	49002002760	ZP000230	28.02.2020	27.02.2023
38	SIA "Grants & Ko"	41203008084	ZP000259	26.11.2020	25.11.2023
39	SIA "Grīva"	41203003782	ZP000261	18.12.2020	17.12.2023
40	SIA "GRM Plus"	40103267737	ZP000257	13.11.2020	12.11.2023
41	AS "Grobiņa"	40003017297	ZP000212	14.10.2019	13.10.2022
42	"I.Petrišina Ventspils individuālais uzņēmums "Risks""	41202002065	ZP000172	23.11.2018	22.11.2021
43	"Ilgvars Godiņš"	18096311095	ZP000227	29.01.2020	29.01.2023
44	"Indra Grīnvalde"	02126311090	ZP000233	19.03.2020	18.03.2023
45	"Indra Matisone"	20086910900	ZP000143	25.05.2018	25.05.2021
46	"Iveta Mitenberga"	16107112501	ZP000228	28.02.2020	27.02.2023

47	IK "JŪRA AK"	59202001401	ZP000156	07.09.2018	06.09.2021
48	SIA "Jūraslīča zvejnieki"	40003597827	ZP000205	31.07.2019	31.07.2022
49	ZVS "Jūrkalnes pagasta" zvejnieku saimniecība "Labrags"	41201011287	ZP000258	20.11.2020	19.11.2023
50	SIA "Jūrmala AL"	40203286679	ZP000270	16.02.2021	15.02.2024
51	SIA "KALTENES ZIVIS"	40103330538	ZP000226	21.01.2020	21.01.2023
52	SIA "Karlīnes nams"	41203023882	ZP000176	20.12.2018	19.12.2021
53	ZVS "Kolkas pagasta zvejnieku saimniecība "RĀMAS"	41201006426	ZP000197	13.07.2019	12.07.2022
54	"Kopra OŪ"	14323095	ZP000151	16.07.2018	16.07.2021
55	AS "Kursa Liepājas SEZ"	52103005171	ZP000217	18.12.2019	17.12.2022
56	SIA "Kursas jūra"	52103061501	ZP000251	30.09.2020	29.09.2023
57	SIA "Kurzeme GB"	40003291094	ZP000165	08.10.2018	07.10.2021
58	"Kurzemes Zvejniecības Ražotāju Organizācija biedrība"	40008148010	ZP000218	04.12.2019	03.12.2022
59	"Kurzemes Zvejnieku asociācija"	40008075770	ZP000195	20.05.2019	19.05.2022
60	SIA "Lamprey"	42103105857	ZP000229	28.02.2020	27.02.2023
61	"Latvijas Savvaļas putnu palīdzības biedrība "Drauga spārns"	40008193885	ZP000215	15.11.2019	14.11.2022
62	"Latvijas Zvejas produktu ražotāju grupa biedrība"	40008085529	ZP000256	22.10.2020	21.10.2023
63	SIA "Libava"	40103295711	ZP000166	15.10.2018	14.10.2021
64	ZVS "Liepājas rajona Pāvilostas pilsētas Zvejnieku saimniecība "Kaija"	42101022724	ZP000247	19.06.2020	18.06.2023
65	ZVS "Limbažu rajona Salacas Pagasta zvejnieku saimniecība "Bute"	44101023037	ZP000264	05.01.2021	04.01.2024
66	SIA "Līcis-93"	42103103038	ZP000222	14.01.2020	13.01.2023
67	SIA "Līcis-99"	40003139971	ZP000181	25.01.2019	24.01.2022
68	SIA "Marlin – 11"	42103053610	ZP000248	03.07.2020	02.07.2023
69	"Merineitsi OŪ"	10212022	ZP000153	20.08.2018	19.08.2021
70	"Mikhail Shonya"	10044810849	ZP000223	18.01.2020	18.01.2023
71	IK "Mincis"	40002028151	ZP000234	31.03.2020	30.03.2023
72	IK "MOS-N"	40002178100	ZP000170	22.11.2018	21.11.2021
73	"Nacionālās zvejniecības ražotāju organizācija biedrība"	40008083320	ZP000189	14.04.2019	13.04.2022
74	SIA "Nord Fish Z"	40103995629	ZP000204	19.07.2019	19.07.2022
75	SIA "Nord Star Fisher's"	42103066422	ZP000240	18.05.2020	17.05.2023
76	SIA "Normundīne"	44103078491	ZP000225	18.01.2020	18.01.2023
77	"NS Estate"	40103845006	ZP000175	27.11.2018	26.11.2021
78	SIA "ONYX International"	40103292749	ZP000168	14.11.2018	13.11.2021
79	"Osaūhing Marvi Kalandus"	11379178	ZP000158	19.09.2018	18.09.2021
80	"Osaūhing TTG"	10129516	ZP000177	20.12.2018	19.12.2021
81	"Osaūhing Vitarsis"	10045707	ZP000254	12.10.2020	11.10.2023
82	IK "Oskars Celkarts"	40002111635	ZP000243	30.05.2020	29.05.2023
83	SIA "Osta 3"	41203035769	ZP000219	03.12.2019	02.12.2022
84	SIA "Ostbaltfish"	42103049899	ZP000193	14.05.2019	13.05.2022
85	"OŪ Baltrecord"	11028823	ZP000221	11.01.2020	10.01.2023
86	"OŪ Morobell"	10217077	ZP000266	29.01.2021	28.01.2024
87	SIA "Parks H"	42103064597	ZP000157	19.09.2018	18.09.2021
88	SIA "Piestātne 85"	42103059204	ZP000252	09.10.2020	08.10.2023
89	SIA "Ramuss KV"	40103582902	ZP000162	27.09.2018	26.09.2021
90	SIA "Reneta"	40003502366	ZP000235	08.04.2020	07.04.2023
91	SIA "RN Zivtiņa N"	40203100453	ZP000164	03.10.2018	02.10.2021
92	SIA "Roja F.C.T."	46103003940	ZP000169	15.11.2018	14.11.2021
93	SIA "Rude 96"	41203007996	ZP000245	12.06.2020	11.06.2023
94	IK "Runcis zābakos"	41202027228	ZP000208	25.09.2019	24.09.2022
95	"Ruslans Mizins"	04086311641	ZP000196	27.05.2019	26.05.2022

96	SIA "Sabiedrība ar ierobežotu atbildību "Alges 1""	44103083651	ZP000272	26.02.2021	25.02.2024
97	SIA "Saimnieks OTTO"	42103060468	ZP000149	30.06.2018	30.06.2021
98	SIA "Sairas"	41203026681	ZP000148	15.06.2018	15.06.2021
99	SIA "Salate"	40203114542	ZP000236	08.04.2020	07.04.2023
100	SIA "Saldus galas kombināts"	48503005555	ZP000161	29.09.2018	28.09.2021
101	SIA "SALMAR"	50103570981	ZP000155	03.09.2018	02.09.2021
102	"Samiko Ventspils individuālais uzņēmums "Nastja S""	41202013548	ZP000267	16.02.2021	15.02.2024
103	SIA "Sanda-B"	40003122674	ZP000159	19.09.2018	18.09.2021
104	ZVS "Saulkrastu pagasta "G.Šadurska zvejnieka saimniecība""	40001016738	ZP000213	17.11.2019	16.11.2022
105	SIA "Sedums K"	40103590933	ZP000200	19.06.2019	19.06.2022
106	"Semilux VS OŪ"	10672290	ZP000144	25.05.2018	25.05.2021
107	SIA "Senga"	49003001584	ZP000271	23.02.2021	22.02.2024
108	SIA "Sibilla"	49203003817	ZP000191	25.04.2019	24.04.2022
109	SIA "Silverfish"	42103077619	ZP000210	25.09.2019	26.09.2022
110	SIA "Sovsts"	40003887906	ZP000239	07.05.2020	06.05.2023
111	SIA "Statuss SD"	41203063989	ZP000246	12.06.2020	11.06.2023
112	SIA "Stellar marine food"	41203073192	ZP000263	23.12.2020	22.12.2023
113	SIA "Stoderis"	40103623929	ZP000167	24.10.2018	23.10.2021
114	SIA "Šoneris"	44103095631	ZP000146	28.05.2018	27.05.2021
115	SIA "Talsu zivju kombināts"	40203151178	ZP000207	29.08.2019	29.08.2022
116	"Tōnis Malla FIE"	11541495	ZP000154	20.08.2018	19.08.2021
117	SIA "Unda"	59203002531	ZP000180	11.01.2019	10.01.2022
118	ZS "Užavas pagasta zemnieku saimniecība "Krastkalni""	41201003932	ZP000260	11.01.2021	10.01.2024
119	SIA "Varita"	51203006441	ZP000178	25.01.2019	24.01.2022
120	SIA "Venta FM"	41203027348	ZP000150	05.08.2018	05.08.2021
121	SIA "Ventspils Alus Darītava"	41203058314	ZP000211	14.10.2019	13.10.2022
122	SIA "Verģi"	40002010380	ZP000184	27.03.2019	26.03.2022
123	SIA "VeTa Trading"	40103962331	ZP000269	15.02.2021	14.02.2024
124	SIA "Vētra S"	52102017991	ZP000194	20.05.2019	19.05.2022
125	SIA "Vētra SM"	52103100211	ZP000255	22.10.2020	21.10.2023
126	"Vido"	42102014033	ZP000202	04.07.2019	04.07.2022
127	SIA "Virskavi R"	42103078313	ZP000241	26.05.2020	25.05.2023
128	"Ziemeļkurzemes zivsaimnieku apvienība biedrība"	40008130305	ZP000206	10.09.2019	10.09.2022
129	SIA "Zivtiņa N"	49202002072	ZP000188	26.03.2019	25.03.2022
130	SIA "Zītars"	40103070345	ZP000160	19.09.2018	18.09.2021
131	SIA "Zvejnieku saimniecība IRBE"	41201006534	ZP000187	20.04.2019	19.04.2022