

SAI Global

Lake Erie multi-species commercial

MSC Surveillance Announcement

1. Introduction

MSC certification requires regular surveillance audits of all certified fisheries, this Announcement marks the start of a surveillance audit of this fishery. SAI Global is required to submit this announcement for posting on the MSC website at least 30 days before the audit activities are carried out.

The information SAI Global is required to provide when formally announcing annual surveillance activities, including how stakeholders may get involved in the process, is outlined on the following pages.

2. Marine Stewardship Council surveillance announcement

Table 1. Surveillance announcement.

1	Fishery name
	Lake Erie multi-species commercial
2	Surveillance level and type
	Surveillance level 1 'Minimum surveillance', off-site surveillance audit. The surveillance program for this fishery has changed from that previously indicated in the 3 rd surveillance audit announcement and report. An updated surveillance program has been provided in Appendix 2.
3	Surveillance number
	1 st Surveillance
	2 nd Surveillance
	3 rd Surveillance
	4 th Surveillance
	Other (expedited etc)
4	Proposed team leader
	<p>Vito Romito, primary responsible for Principle 2 and Traceability</p> <p>Vito meets Fishery Team Leader Qualification and Competency Criteria outlined in MSC FCP Annex PC Table PC1.</p> <ul style="list-style-type: none"> ▪ A degree in a relevant subject. ▪ 3 years' fisheries experience. ▪ Pass MSC's fishery team leader training at least every 5 years. ▪ Review any updates to the MSC Fisheries Program Documents at least annually. ▪ Pass new versions of the online training prior to undertake assessments against the revised MSC Fisheries Standard or certification process. ▪ Pass the Lead Auditor ISO 19011 course. ▪ Have undertaken 2 MSC fishery assessment or surveillance site visits as a team member in the last 5 years. ▪ Experience in applying different types of interviewing and facilitation techniques. <p>Vito holds a BSc in Ecology and a MSc in Coastal Management. His studies were focused on fisheries bycatch, and impacts of fishing gears and fishing methods on benthic habitats.</p> <p>He completed MSC's Fishery Team Leader training both for FCR v.2.0 and FCP v.2.1, and passed the Lead Auditor ISO 19011 course. Vito has undertaken 3 MSC fishery surveillance site visits as a team member in the last 5 years.</p> <p>Vito will be in charge of coordinating the Assessment Team's work and be responsible for the completion of the re-assessment in accordance with FCP v.2.1.</p> <p>In addition to leading the Assessment Team, Vito will be the team's expert on Principle 2 and Traceability. He meets the Principle 2 and Traceability components of the Fishery Team Qualification and Competency Criteria in Annex PC Table PC3:</p> <ul style="list-style-type: none"> ▪ 3 years more experience in research into, policy analysis for, or management of, fishery impacts on aquatic ecosystems. ▪ Pass MSC's Traceability training module. <p>His studies were focused on fisheries bycatch, and impacts of fishing gears and fishing methods on benthic habitats in various part of the World. He passed the MSC's traceability training.</p> <p>In addition, Vito has a current knowledge of the country, language and local fishery context as well as two assignments in the country or region in which the fishery under assessment is based in the last 10 years.</p>

	<p>Vito was involved in numerous fisheries projects in North America in the last 5 years, including 3 MSC surveillance audits of Canadian fisheries. He is fluent in English which is the language of harvesters in Lake Erie.</p> <p>Vito does not have any conflicts of interest in relation to the fishery; and a short biography is provided in Appendix 1.</p>
5	Proposed team members
	<p>Dr. John Casselman, primary responsible for Principle 1</p> <p>John meets the Fishery Team Member Qualification and Competency Criteria outlined in MSC FCP Annex PC Table PC2 as well as qualification and competencies for fish stock assessment and fish stock biology/ecology in Table PC3.</p> <ul style="list-style-type: none"> ▪ A degree in a relevant subject. ▪ 3 years’ fisheries experience. ▪ Pass MSC’s fishery team member training at least every 5 years. ▪ Review of updates to MSC Fisheries Program Documents. ▪ 3 years or more experience of applying relevant stock assessment techniques being used by the fishery under assessment. ▪ 3 years or more experience working with the biology and population dynamics of the target species or species with similar biology. <p>John completed a Ph.D. in Zoology (ecology and environmental physiology) at University of Toronto in 1978. John was involved in long-term studies of the cool-water fish communities of the outlet basin of Lake Ontario and the warm-water and cool-water fish communities of the Bay of Quinte. His studies involved long-term trends, year-class strength, and growth dynamics of such species as yellow perch, freshwater drum, and lake whitefish, and he developed stock separation techniques for a number of freshwater species. He has most recently been involved in analysis of long-term datasets has demonstrated the significant overriding effects of climate on community dynamics and population abundance, year-class strength, and the role of predator-prey interaction, especially in early life stages.</p> <p>John passed MSC’s Fishery Team Member training and was involved in the 2nd and the 3rd surveillance audits of the Lake Erie multi-species commercial.</p> <p>In addition, John has a current knowledge of the country, language and local fishery context as well as two assignments in the country or region in which the fishery under assessment is based in the last 10 years.</p> <p>John was involved in long-term studies of the cool-water fish communities of the outlet basin of Lake Ontario and the warm-water and cool-water fish communities of the Bay of Quinte. His studies involved long-term trends, year-class strength, and growth dynamics of such species as yellow perch, freshwater drum, and lake whitefish, and he developed stock separation techniques for a number of freshwater species.</p> <p>He was involved in the 2nd and the 3rd surveillance audits of the Lake Erie multi-species commercial. John’s mother tong is English which is the language of harvesters Lake Erie.</p> <p>John Ennis does not have any conflicts of interest in relation to the fishery; and a short biography is provided in Appendix 1.</p>
	<p>Bob Allain, primary responsible for Principle 3.</p> <p>Bob meets the Team Member Qualification and Competency Criteria outlined in MSC FCP Annex PC Table PC2 as well as Principle 3 components of the Fishery Team Qualification and Competency Criteria outlined in MSC FCP Annex PC Table PC3.</p> <ul style="list-style-type: none"> ▪ A degree in a relevant subject. ▪ 3 years more experience as a practicing fishery manager and/or fishery/ policy analyst. ▪ Passed MSC’s fishery team member training at least every 5 years. ▪ Review of updates to MSC Fisheries Program Documents. ▪ Two assignments in the country or region in which the fishery under assessment is based in the last 10 years. <p>Bob has a Bachelor of Science and is a former senior executive with over 30 years’ experience with Canada’s Federal Department of Fisheries and Oceans in fisheries management, strategic policy development and analysis, facilitation and conflict resolution, and mentoring. He passed MSC’s Fishery Team Member training</p>

	<p>and was involved in numerous MSC fisheries assessments in Canada in the last 5 years, including in the 3rd surveillance audit of the Lake Erie multi-species commercial.</p> <p>In addition, Bob has a current knowledge of the country, language and local fishery context as well as two assignments in the country or region in which the fishery under assessment is based in the last 10 years. Bob's mother tongue is English which is the language of harvesters in Lake Erie. Bob is based in New Brunswick, Canada and was involved in numerous MSC fisheries assessments in Canada and U.S. in the last 5 years.</p> <p>Bob does not have any conflicts of interest in relation to the fishery; and a short biography is provided in Appendix 1.</p>
6	Audit/review time and location
	Surveillance activities will take place on 9 th -11 th October 2019. This is an off-site audit and surveillance activities will be carried out from auditors' office.
7	Assessment and review activities
	<p>The objectives of the surveillance audit are:</p> <ol style="list-style-type: none"> 1. To review any changes in the management of the fishery, including regulations, key management or scientific staff or stock evaluation. 2. To evaluate the progress of the fishery against outstanding Condition of Certification raised during the Initial Assessment. 3. To review any developments or changes within the fishery which impact traceability and the ability to segregate MSC from non-MSC products. 4. To review any other significant changes in the fishery.

3. Stakeholder Input into Fishery Surveillance Assessments

During each surveillance audit, SAI Global is required to hold interviews and actively seek the views of stakeholders to ensure that the Audit Team is aware of stakeholders' concerns. Therefore, SAI Global wishes to invite organisations or individuals with an interest in this fishery to meet with the Audit Team and/or provide information relevant to the surveillance process.

SAI Global would like to encourage stakeholders not to withhold information, including their concerns and knowledge about the fishery in question. At the same time we must inform you that we are unable to reference or use information that cannot be shared with all stakeholders. An exception may be possible where the information relates to either; 1) financial transactions about certification; 2) the financial affairs of individual companies or information that may lead to this information being made public, or; 3) information that is the subject of relevant national privacy or data protection legislation in the Client's country.

Prior to becoming involved, and to ensure effective participation in the MSC process, SAI Global would encourage stakeholders to familiarise themselves with the process using the resources provided on the MSC's website (www.msc.org).

The Audit Team will be available for conference calls with stakeholders during the period specified in the "Audit/review time and location" Section of the Table 1 above.

If you would like to speak with the Audit Team, please advise us of your interest by 17:00 UTC on 7th October 2019, providing the following details when doing so:

- Your name and contact details.
- Your association with the fishery.
- The issues you would like to discuss (in order for us to arrange appropriate representation).

If you do not wish to be interviewed, or if you are unavailable during the timeframe outlined in Table 1 above, you may instead make a written submission to the Audit Team. Written submissions must be made via the 'MSC Template for Stakeholder Input into Fishery Assessments' which can be found on the MSC website [here](#).

Comments/responses should be sent to:

SAI Global Ireland Client Services

E: ClientServicesie@saiglobal.com

Submitted by: SAI Global Ireland Client Services

Date: 04 September 2019

Appendix 1: Summary of Audit Team's CVs

Surveillance Audit Team Leader: Vito Romito, Primary Responsibility for P2 and Traceability.

Vito holds a BSc (Hons) in Ecology and a MSc in Coastal Management from Newcastle University, U.K. For five years he worked at Global Trust Certification/ later SAI Global as Lead Assessor and ecosystem impacts expert for all the fisheries assessments in Alaska, Iceland and Louisiana. He is an ISO14001 Certified Lead Auditor and MSC V2.0 and v.2.1 Lead Auditor trained (including RBF), and has assisted with MSC pre-assessments, as a Peer Reviewer and as part of certification committees. Vito has also carried out several International Fishmeal and Fishoil Organisation (IFFO) forage fisheries assessments in Chile, Peru, Europe and other various pre-assessments in Atlantic and Pacific Canada. Starting July 2015, with RS Standards Ltd., Vito has been primarily involved with leading the further development of the Alaska RFM Certification Program (and Standard to Version 2.0). Vito recently joined again SAI Global.

Surveillance Audit Team Member: Dr. John Casselman, Primary Responsibility for P1.

Dr John Casselman has experience in marine biology going back more than 40 years including as Senior Aquatic Scientist at J.F. MacLaren, Engineers and Environmental Scientists, research Scientist at the Ontario Ministry of Natural Resources and as Senior Research Scientist at the Ontario Ministry of Natural Resources (OMNR) from 1976 until 2005. Has most recently been involved in analysis of long-term datasets. Has demonstrated the significant overriding effects of climate on community dynamics and population abundance, year-class strength, and the role of predator-prey interaction, especially in early life stages. In 2005, Dr Casselman was awarded the Fruetel Memorial Award of the Ontario Ministry of Natural Resources for significant contributions to Ontario's fisheries research, assessment, and management programs. In 2008, received the Award of Excellence of the 10,000-member American Fisheries Society, the most prestigious award of the 138-year-old society, given annually in recognition of original and outstanding contributions to fisheries science and aquatic biology for lifetime achievements as a researcher, mentor, and leader.

Surveillance Audit Team Member: Bob Allain Primary Responsibility for P3.

R. J. (Bob) Allain is the president and principal consultant of OceanIQ Management Services Inc. He is a former senior executive with over 30 years' experience with Canada's Federal Department of Fisheries and Oceans in fisheries management, strategic policy development and analysis, facilitation and conflict resolution, and mentoring. He has consulted internationally for the Canadian International Development Agency, the (former) International Centre for Ocean Development, the World Bank, and the Food and Agricultural Organization of the United Nations. Bob has participated in several Atlantic Canadian pelagic, demersal, and crustacean fishery assessments under the MSC Standard since 2010 as a P3 expert, auditor, client representative, and, most recently, as a peer reviewer.

Appendix 2: Surveillance frequency

The surveillance program for this fishery has changed from that previously indicated in the 3rd surveillance audit announcement and report. However, please note that the surveillance level has not changed from indicated in the 3rd surveillance audit announcement and report (Level 1)

As the surveillance program for this fishery has changed from that previously indicated in the 3rd surveillance report, the following is presented below:

1. A rationale for any deviations from carrying out the surveillance audit before or after the anniversary date of certification.
2. A completed revised fishery surveillance program.

Table 2. Surveillance level rationale.

Year	Surveillance activity	Number of auditors	Rationale
4	Off-site audit	3 auditors off-site	Although the surveillance level has not changed from that previously indicated in the 3 rd surveillance audit announcement and report, the 4 th surveillance audit was scheduled to be on-site in combination with the re-assessment site visit. SAI Global proposes to conduct a 4 th surveillance audit off-site. From client action plan it can be deduced that information needed to verify progress towards outstanding condition on 1.2.2 HCRs can be provided remotely in year 4. SAI Global is confident that all information about the fishery can be collected remotely. Therefore, the audit will be conducted with 3 auditors off-site (via conference calls).

Table 3. Timing of surveillance audit.

Year	Anniversary date of certificate	Proposed date of surveillance audit	Rationale
4	20 th August 2019	9 th -11 th October 2019	To avoid conducting the 4 th surveillance not to close form the 3 rd surveillance audit that was completed in April 2019. Also due to key stakeholders' availability.

Table 4. Fishery surveillance program.

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

4. Template information and copyright

This document was drafted using the 'MSC Surveillance Announcement Template v2.0'. While amendments have been made to formatting in order to comply with SAI Global's corporate identity, SAI Global has ensured that content and structure follow that of the original template.

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Table 5. Template version control.

Version	Date of publication	Description of amendment
1.0	8 October 2014	Date of issue
1.1	12 June 2015	Appendix 2 with surveillance frequency Table added
2.0	17 December 2018	Release alongside Fisheries Certification Process v2.1

A controlled document list of MSC program documents is available on the [MSC website \(www.msc.org\)](http://www.msc.org).

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