



## **Marine Stewardship Council 3<sup>rd</sup> Surveillance Report**

*For:*

**CHMSF British Columbia albacore Tuna North Pacific**

*Facilitated by*

**Canadian Highly Migratory Species Foundation  
(CHMSF)**

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## Foreword

The Canadian Highly Migratory Species Foundation (CHMFS) North Pacific Albacore Tuna Fishery was certified by SAI Global (Formerly known as Global Trust) in March 2010 against the MSC Principles and Criteria for Sustainable Fishing and reassessed again in May 2015. There were two conditions found on the first assessment (PI 1.1.2, 1.2.2) that remained open after the conclusion of the reassessment of this fishery. In view of the foregoing, SAI Global has determined that the 3<sup>rd</sup> Annual Surveillance Audit of the (CHMFS) North Pacific Albacore Tuna reassessment have to be conducted as a Level 6 (default) fishery surveillance audit in accordance with the provisions of the MSC Fisheries Certification Requirements v.2.0 (effective 1<sup>st</sup> April 2015) 7.24.2 1,7.24.2 2. A notification to this effect was published on the MSC website on 8th August 2018.

This reports contains the findings of the 3<sup>rd</sup> surveillance audit which objectives were:

1. To review any changes in the management of the fishery, including regulations, key management or scientific staff or stock evaluation;
2. To evaluate the progress of the fishery against any Conditions of Certification raised during the main assessment;
3. To review any developments or changes within the fishery which impact traceability and the ability to segregate MSC from non-MSC products; and
4. To review any other significant changes in the fishery.

The MSC Fisheries Standard sets out requirements that a fishery must meet to enable it to claim that its fish come from a well-managed and sustainable source. The standard applies to wild-capture fisheries that meet the scope requirements. The MSC Fisheries Standard comprises three core principles:

### **Principle 1: Sustainable target fish stocks**

A fishery must be conducted in a manner that does not lead to over-fishing or depletion of the exploited populations and, for those populations that are depleted, the fishery must be conducted in a manner that demonstrably leads to their recovery.

### **Principle 2: Environmental impact of fishing**

Fishing operations should allow for the maintenance of the structure, productivity, function and diversity of the ecosystem (including habitat and associated dependent and ecologically related species) on which the fishery depends.

### **Principle 3: Effective management**

The fishery is subject to an effective management system that respects local, national and international laws and standards and incorporates institutional and operational frameworks that require use of the resource to be responsible and sustainable.

A full description of the MSC Certification Requirements and Processes followed during this surveillance audit can be found in MSC Certification Requirements and Guidance. This audit uses the version of the MSC Standard outlined in the MSC Certification Requirements v1.3 and the version of the process outlined in MSC Fisheries Certification Requirements v.2.0. The definitive version of all documents are maintained on the MSC's website [www.msc.org](http://www.msc.org). Any discrepancy between copies, versions or translations shall be resolved by reference to the definitive English version.

Readers should verify that they are using the copy of the MSC CR v.1.3 and MSC FCR v.2.0 (and other documents) that are relevant to this assessment. Updated documents, together with a master list of all available MSC documents, can be found on the MSC's website.

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## Glossary

ALBWG	Albacore Working Group of ISC
Blim	Stock size below which the recruitment would be impaired
BMSY	Stock size that can produce maximum sustainable yield when it is fished at a level equal to FMSY
CAB	Conformity Assessment Body
CHMSF	Canadian Highly Migratory Species Foundation
C&P	Conservation and Protection (DFO Enforcement Unit)
CoC	Chain of Custody
COSEWIC	Committee on the Status of Endangered Wildlife in Canada
CPUE	Catch per Unit Effort
CR	Certification Requirements
DFO	Fisheries and Oceans Canada
DMP	Dockside Monitoring Program
EAM	Ecosystem Approach Management
EEZ	Exclusive Economic Zone
ESBA	Ecologically and Biologically Significant Areas
ETP	Endangered, Threatened and Protected species
F	Fishing Mortality Rate
Flim	Fishing mortality rate that causes a stock to fall below Blim
FMSY	Fishing mortality rate at the level that would produce maximum sustainable yield from a stock that has size of BMSY
FAO	United Nations Food and Agriculture Organization
IATTC	Inter-American Tropical Tuna Commission
IFMP	Integrated Fisheries Management Plan
ISC	International Scientific Committee for Tuna and Tuna-like Species in the North Pacific Ocean
HCR	Harvest Control Rule
LRP	Limit Reference Point
MPA	Marine Protected Area
MSC	Marine Stewardship Council
MSY	Maximum Sustainable Yield, it is the largest average catch that can be continuously taken from a stock under existing environmental conditions
PA	Precautionary Approach
P1	MSC Principle 1
P2	MSC Principle 2
P3	MSC Principle 3
PI	MSC Performance Indicator
PNCIMA	Pacific North Coast Integrated Management Area
SAR	Science Advisory Report
SARA	<i>Species At Risk Act</i>
SFF	Sustainable Fisheries Framework
SG	Scoring Guidepost
SPC	Secretariat of Pacific Community
SSB	Female spawning biomass
UoA	Unit of Assessment
UoC	Unit of Certification
VR	Variation Request
WCPFC	Commission for the Conservation and Management of Highly Migratory Fish Stocks in the Western and Central Pacific Ocean

## 1. Executive Summary

This report contains the findings of the 3<sup>rd</sup> surveillance audit in relation to the Canadian Highly Migratory Species Foundation (CHMSF) certificate of the CHMSF British Columbia albacore tuna North Pacific fishery.

The 3<sup>rd</sup> surveillance audit focused on any changes to the fishery and its management since the 2<sup>nd</sup> surveillance audit in August 2017 (Mateo and Stocker, 2017), the 1<sup>st</sup> Audit in 2016 (Mateo and Stocker, 2016), and the re-certification (Criquet, Mateo and Stocker, 2015), and monitoring continued compliance with the MSC Principles and Criteria. Also, the assessment team evaluated progress against the 2 conditions (PIs PI No. 1.1.2 Reference Points, and PI No. 1.2.2 Harvest Control Rules).

Table 1 summarizes conditions status, Performance Indicator (PI) and Principle score changes.

**Table 1.** Summary of Assessment Conditions

Condition number	Performance indicator (PI)	Status	PI original score	PI revised score
1	1.1.2	Behind target Not closed	70	65*
2	1.2.2	Behind target Not closed	60	Not revised

\*Score revised in 2016 to 65 (see section 9.1.2 and 9.2 Mateo and Stocker, 2016).

Although SAI Global determines that the progress against the conditions were not back on target within 12 months of falling behind target (FCR 7.23.13.2), the fishery certificate is not suspended as per a CABs joint Variation Request (VR) submitted to and accepted by MSC.

On 12<sup>th</sup> November 2018, accredited CABs submitted a joint VR for all tuna fisheries currently in the MSC Program. MSC has accepted this VR, MSC's response is in Appendix 5.

This VR allows:

- **Not to suspend fisheries that are behind target on P1 conditions raised against CR v.1.3.**
- **To upgrade all tuna fisheries currently under CR v.1.3 to V.2.0 at the next available opportunity.**
- **To harmonise P1 conditions and timelines for all tuna fisheries on the same stock**
- **To set a share deadline for achievement of conditions based on the most recent RFMO workplan.**
- **This VR covers only certified and harmonised fisheries.**

This VR will contribute to an alignment of P1 conditions timeline between certified tuna fisheries, and will in theory incentivise all parties fishing on a particular tuna stock to work towards a common deadline of meeting shared P1 conditions.

Both VR and MSC's response are available at:

<https://fisheries.msc.org/en/fisheries/canada-highly-migratory-species-foundation-chmsf-british-columbia-albacore-tuna-north-pacific/@@assessments>

**SAI Global determines that:**

**The CHMSF British Columbia albacore tuna North Pacific fishery, even though milestone time frames for Conditions 1 and 2 for the 3<sup>rd</sup> surveillance audit have not been reached, continues to operate a well-managed and sustainable fishery and therefore, continued certification to the MSC Principles and Criteria for Sustainable Fishing is awarded.**

On behalf of the MSC client, the Canadian Highly Migratory Species Foundation (CHMSF), SAI Global would like to extend thanks to the management organisations and stakeholders of the CHMSF Albacore Tuna (*Thunnus alalunga*) North Pacific Fishery who took part in this surveillance audit.

- Lead Assessor: Dr. Ivan Mateo is a fishery assessment officer for SAI Global and an approved MSC Fishery Team Leader.
- Assessor: Dr. Max Stocker is a contractor for SAI Global with extensive experience in fisheries science, he held the position of research scientist with DFO at the Pacific Biological Station conducting population dynamic studies, conducting peer reviewed stock assessments of many marine species, and communicating results to fisheries managers and stakeholders.

Both Ivan and Max were part of the re-assessment team. Skills and experience are summarized below.

**Dr. Ivan Mateo**

Dr. Mateo has over 20 years' experience working with natural resources population dynamic modelling. His specialization is in fish and crustacean population dynamics, stock assessment, evaluation of management strategies for exploited populations, bioenergetics, ecosystem-based assessment, and ecological statistical analysis. Dr. Mateo received a Ph.D. in Environmental Sciences with Fisheries specialization from the University of Rhode Island. He has studied population dynamics of economically important species as well as candidate species for endangered species listing from many different regions of the world such as the Caribbean, the Northeast US Coast, Gulf of California and Alaska. He has done research with NMFS Northeast Fisheries Science Centre' Ecosystem Based Fishery Management on bio-energetic modelling for Atlantic cod. He also has been working as environmental consultant in the Caribbean doing fieldwork and looking at the effects of industrialization on essential fish habitats and for the Environmental Defence Fund developing population dynamics models for data poor stocks in the Gulf of California. Recently Dr. Mateo worked as National Research Council postdoc research associate at the NOAA National Marine Fisheries Services Ted Stevens Marine Research Institute on population dynamic modelling of Alaska sablefish.

**Dr. Max Stocker**

Dr. Stocker is a scientist with over 30 years of extensive experience in fisheries science. Dr. Stocker held the position of research scientist with DFO at the Pacific biological Station conducting population dynamic studies, conducting peer reviewed stock assessments of many marine species, and communicating results to fisheries managers and stakeholders. He authored and co-authored over 90 scientific papers and reports. In 2007-07 he acted as marine fisheries consultant under contract with Fisheries and Oceans Canada (DFO) to provide scientific advice on highly migratory species in the Pacific Ocean. He was the lead Canadian scientist for highly migratory species for the Western and Central Pacific Fisheries Commission (WCPFC) and the Inter-American Tropical Tuna Commission (IATTC).

## 2. General Information

<b>Fishery name</b>	CHMSF British Columbia albacore tuna North Pacific		
<b>Unit(s) of assessment</b>	<b>Species:</b> <i>Thunnus alalunga</i> , Albacore Tuna <b>Geographical Area:</b> Fishing for this UoC is within the Canadian EEZ, the U.S. EEZ and the North Pacific Ocean. <b>Method of Capture:</b> Troll and jig <b>Client Group:</b> Canadian Highly Migratory Species Foundation (CHMSF) <b>Other eligible fishers:</b> There are no other eligible fishers.		
<b>Date certified</b>	9 <sup>th</sup> June, 2015	<b>Expiry date</b>	8 <sup>th</sup> June, 2020
<b>Surveillance level and type</b>	Surveillance level 6 (Default Surveillance), on-site surveillance audit		
<b>Date of surveillance audit</b>	13 <sup>th</sup> September 2018		
<b>Surveillance stage (tick one)</b>	<b>1<sup>st</sup> Surveillance</b>		
	<b>2<sup>nd</sup> Surveillance</b>		
	<b>3<sup>rd</sup> Surveillance</b>	<b>x</b>	
	<b>4<sup>th</sup> Surveillance</b>		
	<b>Other (expedited etc.)</b>		
<b>Surveillance team</b>	Lead assessor: Dr. Ivan Mateo Assessor(s): Dr. Max Stocker		
<b>CAB name</b>	SAI Global		
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	<b>Contact name(s)</b>	Lorne Clayton	

### **3. Introduction**

This report sets out the results of the 3<sup>rd</sup> surveillance audit in relation to the CHMSF British Columbia albacore tuna North Pacific fishery.

To be awarded an MSC certificate for the fishery, the applicants agreed in a written contract to develop an action plan for meeting the required 'Conditions' against the performance indicators that scored below 80% in the initial assessment. Action Plans for each Condition were submitted by the fishery client and these were approved by SAI Global as the certification body of record. Given that conditions are behind target the assessment team formulated a revised action where the conditions need to be met for next surveillance audit.

The applicant also agreed in a written contract to be financially and technically responsible for surveillance visits by an MSC accredited certification body, which would occur at a minimum of once a year, or more often at the discretion of the certification body (based on the applicant's action plan or by previous findings by the certification body from annual surveillance audits or other sources of information).

#### **Announcement of Surveillance Audit**

An announcement of the surveillance site visit was published on the MSC website on the 8th of August 2018 (SAI Global, 2018) to provide an opportunity to stakeholders to meet with or submit information on the fishery to the assessment team. Additionally, written notification was sent to the list of stakeholders representing the consultation plan during the initial assessment of this fishery and in many cases follow up e-mails were also made to ensure that stakeholders had been provided with sufficient opportunity to participate in consultation.

Table 5 provides a list of the stakeholders and management organizations engaged in the process either through meetings, conference call or submission of information. These consultations focused on the questions and evidence that demonstrates the performance of the fishery throughout the year and measures that supported the fulfilment of the Conditions of Certification placed upon at the re-certification decision.

Meetings were held with the following management and scientific organizations responsible for the CHMSF British Columbia albacore tuna North Pacific fishery:

- **Fisheries and Oceans Canada (DFO), Pacific Region**
- **NOAA National Marine Fisheries Service (NMFS), La Jolla, CA**
- **International American Tropical Tuna Commission (IATTC), La Jolla, CA**
- **British Columbia Ministry of Agriculture, Victoria, BC**

A number of scientific and meeting reports were also examined by the surveillance team in producing this report, as detailed in the information sources section.

## 4. Background

### 4.1. Fishery Observations

In total, 48,836 t of North Pacific Albacore Tuna were caught in 2017 (ISC, 2018a). Of the 48,836 t caught, 1,831 t were caught by 152 vessels that are members of the client group (ISC, 2018d). The list of actively fishing vessels in 2017 has been provided by CHMSF. Table 2 details the total catch, and the UoA/UoC shares of the catch (i.e., the total certified catch in 2017 and 2018).

There is no TAC.

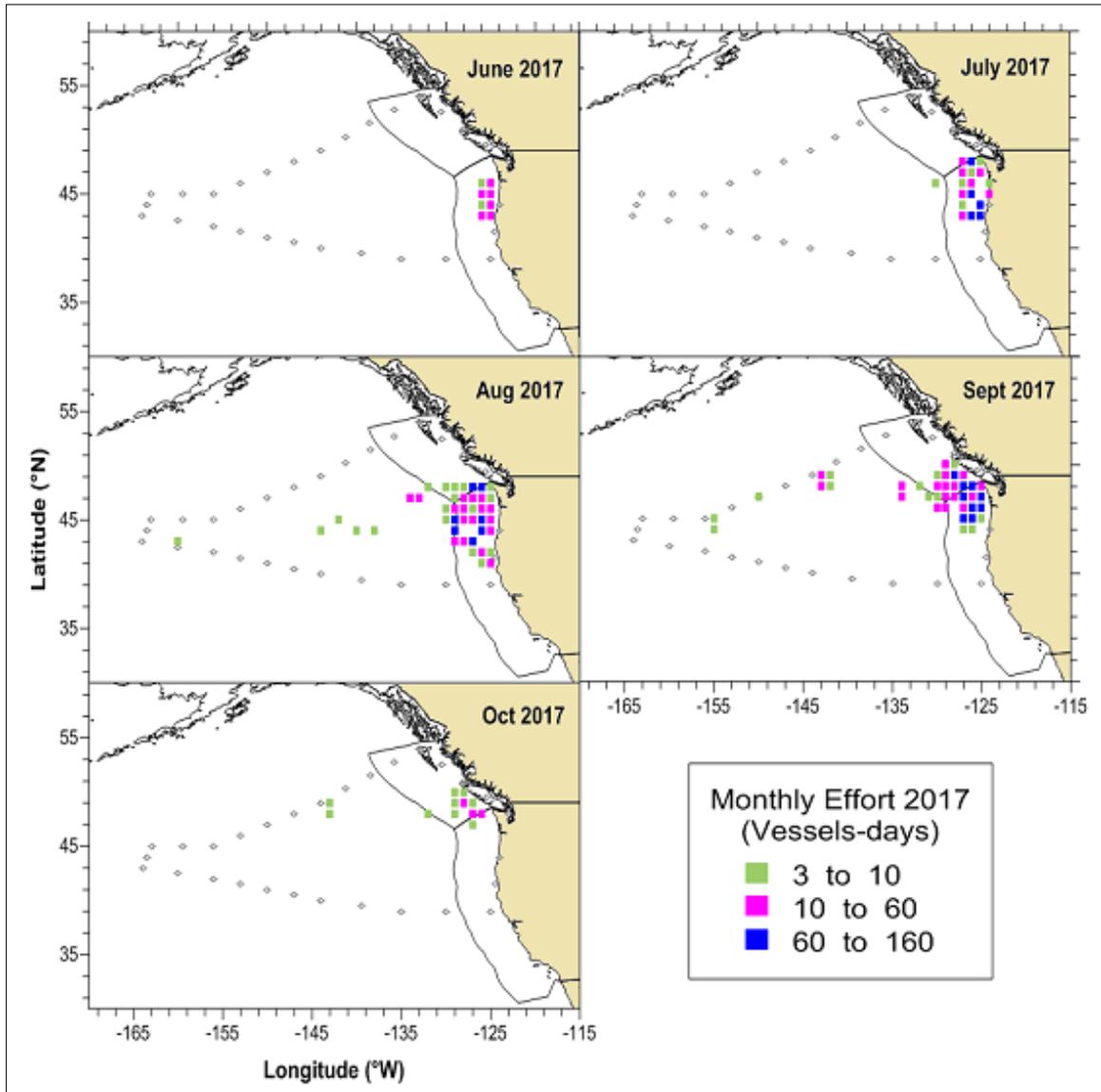
**Table 2.** TAC and Catch Data.

<b>Total North Pacific Albacore Tuna catch (Note – no TAC is applied)</b>	<b>Year</b>	2017	<b>Amount</b>	48,836 t (ISC, 2018a)
<b>Total UoA catch of North Pacific Albacore Tuna (Note – no TAC)</b>	<b>Year</b>	2017	<b>Amount</b>	1,831 t (ISC, 2018d)
<b>Total UoA catch of North Pacific Albacore Tuna (Note – no TAC)</b>	<b>Year</b>	2018	<b>Amount</b>	2,715 t (Zane Zheng, DFO; pers. Com.)
<b>Total green weight catch by UoC</b>	<b>Year (most recent)</b>	2018	<b>Amount</b>	2,715 t (Zane Zheng, DFO; pers. com.)
	<b>Year (second most recent)</b>	2017	<b>Amount</b>	1,831 t (ISC, 2018d)

In 2016, the Canadian fleet of 152 vessels targeted juvenile North Pacific Albacore Tuna (NPALB) exclusively and operated primarily in the coastal waters of Canada and the United States. Provisional 2017 estimates of catch and effort are 1,831 t and 4,978 vessel-days, respectively, which represent a 36% decrease in catch and 7.1% increase in effort relative to 2016. The explanation given for the 36% decrease in catch was that the albacore were far off shore and the fleet does not go that far offshore (Zane Zheng, DFO; pers. com.). Both catch and catch rate are close to the lowest levels since 1995 (ISC, 2018d). The 2017 catch was primarily distributed between US coastal waters (75.0%), Canadian coastal waters (11.2%), and adjacent high seas waters (10.8%) (ISC, 2018d). About 93% of the catch occurred in a sea surface temperature band of 15-18 °C. The assessment team noted that there was 100% compliance with the fleet submitting logbooks in 2017.

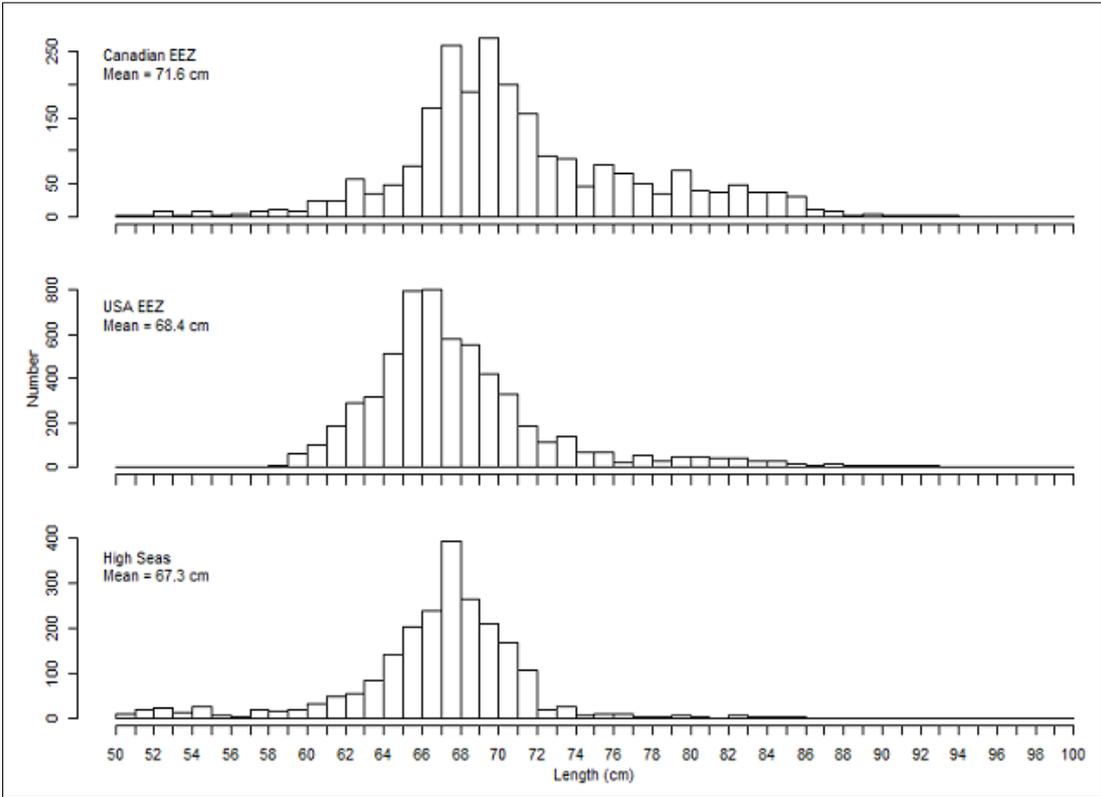
In 2017, the Canadian troll fleet operated primarily in the Canadian and US EEZs, where about 85% of the 2017 fishing effort and catch occurred (Figure 1). The proportion of effort and catch occurring within United States EEZ waters was considerably higher in 2017 (58% and 75%, respectively) than in 2016 (35% and 44%, respectively). Compared to 2016, the Canadian troll fleet operation in 2017 was more widely distributed. Two Canadian vessels fished in the coastal waters off California and adjacent high seas waters, and five Canadian vessels fished in the WCPFC convention area. No Canadian vessels fished in these waters in 2016 (ISC, 2018d, WCPFC, 2018b).

In 2018, the Canadian troll fleet caught 2,715 t of albacore, expending 4,192 vessel days (provisional estimate; Zane Zheng, DFO; pers. com.). The Canadian fleet of 120 vessels operated primarily in the Canadian and US EEZs where 828 t, and 1879 t were caught in the Canadian and US EEZs respectively.



**Figure 1.** Monthly spatial distribution of reported effort by the Canadian Albacore Tuna troll fishery in 2017. Data are plotted on 1° x 1° strata with symbols located on the bottom-right corner of each stratum. Strata in which fewer than three vessels reported are not shown. Empty dots approximate the border line of the operational area of the Canadian fishery in 2017 (ISC, 2018d).

Forty-two (42) vessels measured 10,517 fork lengths on 72 trips in 2017 for a sampling rate of 3.6% of the reported catch (Figure 2). Fork lengths (FL) ranged from 50 to 96 cm and were dominated by a single mode at 66-68 cm FL (ISC, 2018d). The majority of measurements are of fish caught in the US EEZ (56.8%), followed by the Canadian EEZ waters (22.2%) and the high seas (21.0%) (ISC, 2018d).



**Figure 2.** Length distribution of North Pacific Albacore Tuna harvested by the Canadian troll fishery in 2017 in Canadian EEZ, USA EEZ and High Seas (including WCPFC convention area) (ISC, 2018d).

#### 4.2. Changes to scientific base of information, including stock assessment

The Albacore Working Group (ALBWG) of the International Scientific Committee for Tuna-and Tuna-like Species in the North Pacific Ocean (ISC) assessed the north Pacific albacore stock in 2017 (ISC, 2017). A summary of the stock assessment and the stock status was presented in the 2<sup>nd</sup> Audit report and is not repeated here (Mateo and Stocker, 2017).

The stock status and conservation information adopted by the ISC17 Plenary was endorsed by ISC18 (ISC, 2018a):

*“The following information on the status of the north Pacific albacore stock is provided:*

- 1. The stock is likely not overfished relative to the limit reference point adopted by the Western and Central Pacific Fisheries Commission (20%SSB current  $F=0$ ), and*
- 2. No  $F$ -based reference points have been adopted to evaluate overfishing. Stock status was evaluated against seven potential reference points. Current fishing intensity ( $F_{2012-2014}$ ) is below six of the seven potential reference points, except  $F_{50\%}$ .*

#### Conservation Information

- 1. If a constant fishing intensity ( $F_{2012-2014}$ ) is applied to the stock, then median female spawning biomass is expected to undergo a moderate decline, with a  $<0.01\%$  probability of falling below the limit reference point established by the WCPFC by 2015. However, expected catches in this scenario will be below the recent average catch level for this stock.*
- 2. If a constant average catch ( $C_{2010-2014} = 82,432$  t) is removed from the stock in the future, then the decline in median female spawning biomass will be greater than in the constant  $F$  intensity scenario and the probability that SSB falls below the LRP will be greater by 2025 (30%). Additionally, the estimated fishing intensity will double relative to the current level ( $F_{2012-2014}$ ) by 2025 as spawning biomass declines.”*

The same stock status and conservation information text was also summarised by the Northern Committee of the WCPFC (WCPFC, 2017a).

As there has been no change in the stock status and the conservation information there seems to be no need to update the stock status scoring for north Pacific albacore.

### 4.3. Harvest strategy and harvest control rules

The progress of achieving closure of condition 1 (PI 1.1.2, reference points) and condition 2 PI 1.2.2, harvest control rules) is reviewed).

At the 14<sup>th</sup> Regular Session the WCPFC adopted the Interim Harvest Strategy for North Pacific Albacore Fisheries recommended by the Northern Committee (WCPFC, 2018a, Attachment I). This modifies and replaces the previously adopted precautionary management framework for North Pacific albacore and is to be recognised as a harvest strategy (see Appendix 9.1)

The north Pacific albacore Management Strategy Evaluation (MSE) is an international collaborative effort involving ISC-ALBWG, WCPFC, and IATTC. The MSE examines performance of alternative management strategies and reference points for north Pacific albacore given uncertainty. So far three workshops have been held:

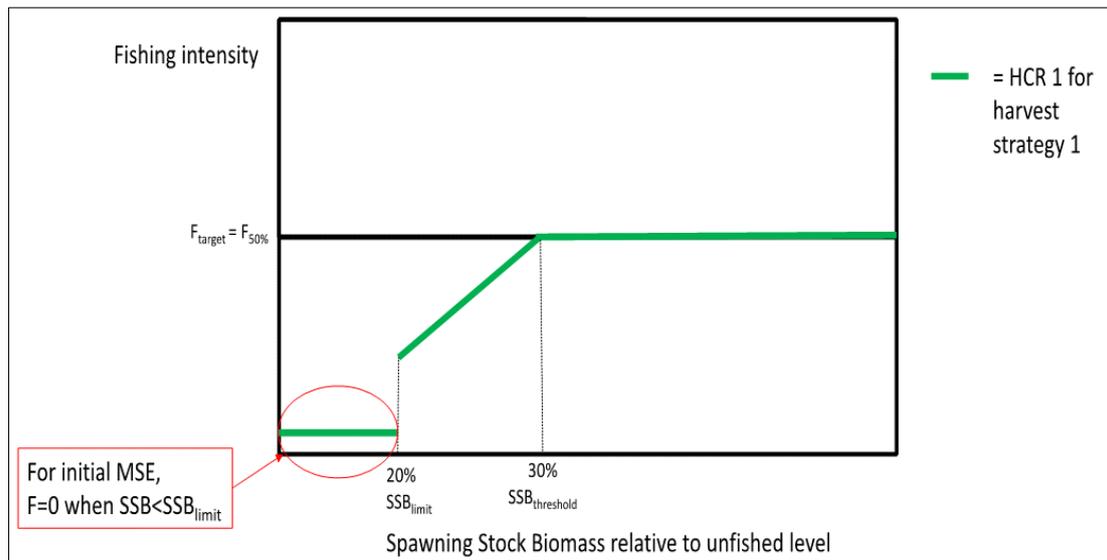
- 1<sup>st</sup> ISC MSE WS (16-17 April 2015 at Yokohama, Japan)
- 2<sup>nd</sup> ISC MSE WS (24-25 May 2016 at Yokohama, Japan)
- 3<sup>rd</sup> ISC MSE WS (17-19 October 2017 at Vancouver, Canada) (ISC, 2018b).

The objectives of the 3<sup>rd</sup> ISC MSE workshop were to: (1) discuss the Management Strategy Evaluation (MSE) framework, including the MSE Operating Model (OM), to be applied in the testing of the harvest strategies developed at the 3<sup>rd</sup> ISC MSE Workshop, and (2) identify key uncertainties and scenarios to be considered for initial MSE testing (ISC, 2018b). During the workshop the management objectives for the North Pacific Albacore Tuna were updated and candidate harvest strategies, along with corresponding lists of candidate reference points (RPs) and harvest control rules (HCRs), to be evaluated in the initial MSE, were identified (ISC, 2018b).

A second intersessional workshop of the Albacore Working Group (ALBWG or WG) of the International Science Committee for Tuna and Tuna-like Species in the North Pacific Ocean (ISC) was convened at the Southwest Fisheries Science Center (NOAA/SWFSC), La Jolla, CA, 30 April – 5 May 2018 (ISC, 2018c). The objectives of this workshop were to: (1) Review the outcomes of the 3<sup>rd</sup> workshop on Management Strategy Evaluation (MSE) of North Pacific Albacore Tuna (NPALB) and a workshop of the ALBWG in Vancouver, Canada during October 2017; (2) Review MSE model development and conditioning; (3) Review preliminary MSE results, and (4) Prepare draft executive summary of the MSE progress for the ISC18 plenary (ISC, 2018c: Attachment 4). The ALBWG also developed a work plan for the completion of the first round of the NPALB MSE and the stock assessment scheduled for 2020 (ISC, 2018c):

Date	Task/Event
May 2018	9 <sup>th</sup> SAC of IATTC: review of preliminary MSE results
July 2018	ISC18 Plenary: review of progress report and preliminary MSE results
August 2018	SC14: report preliminary MSE results
September 2018	NC14: present preliminary MSE results to managers
March 2019	4 <sup>th</sup> ISC MSE workshop (tentative)
	ALBWG meeting: discuss MSE framework and first round of MSE results
May 2019	10 <sup>th</sup> SAC of IATTC: review of first round of MSE results
July 2019	ISC18 Plenary: review of first round of MSE results
August 2019	SC14: report first round of MSE results
September 2019	NC14: present first round of MSE results

An overview of the north Pacific albacore MSE was presented at the IATTC Scientific Advisory Committee meeting (IATTC, 2018). An example of a harvest control rule developed in the MSE process is shown in Figure 3 (Tommasi, 2018).



**Figure 3.** Example harvest control rule (HCR) for Harvest Strategy (HS) 1 (IATTC, 2018).

The Northern Committee proposed a work programme to the WCPFC with the following objectives for the years 2018-2020 (WCPFC, 2017a: Attachment I): Implement the Interim Harvest Strategy, including: (1) monitor if LRP is breached; (2) continue to work to establish TRP and other elements of harvest strategies, if appropriate based on MSE; (3) recommend any changes to CMM 2005-03. This work programme was updated for the years 2019-2021 in 2018 (WCPFC, 2018c).

At the Fourteenth Regular Session the Northern Committee observed that North Pacific albacore are not overfished nor experiencing overfishing, although it was noted that catch has been decreasing since 2012 (WCPFC, 2018c).

The Northern Committee also noted that a third MSE workshop for North Pacific albacore was held in Vancouver, Canada, in October 2018 (see above) and that the ISC Plenary agreed and recommended a revised workplan for the ALBWG focusing on testing and providing advice on suitable target reference points, in support of the Harvest Strategy for NP Albacore. The ALBWG is scheduling a 4th workshop, March 5-7, 2019, to discuss initial results with stakeholders and formulate a plan for future MSE activities (WCPFC, 2018c).

While substantial progress is being made, at this point a target reference point and Harvest Control Rules (HCRs) have not yet been defined for North Pacific albacore by WCPFC or IATTC. There is no need to rescore condition 1 (PI 1.1.2, reference points) or condition 2 (PI 1.2.2, harvest control rules).

#### 4.4. Research Update

Canadian highly migratory species research in the Pacific Ocean has focused on improving understanding of the biology and ecology of north Pacific Albacore Tuna to enhance assessments of the effects of fishing and the environment on stock dynamics and status (Holmes and Chen, 2015; Holmes and Zhang, 2017). Zane Zhang is working on correlations between climatic indices (NPGO and PDO) and abundance of Albacore Tuna in waters off Northwest coast of North America (ISC, 2018c, WCPFC, 2018b).

At the second intersessional workshop (30 April - 5 May, 2018) Barbara Muhling (SWFSC) gave an oral presentation on influence of oceanographic environment on recruitment, productivity and distribution of albacore in the eastern North Pacific and California Current (ISC, 2018c). Desiree Tommasi (SWFSC) gave an oral presentation: Overview of OM Conditioning and MSE Framework (ISC, 2018c). Hirotaka Ijima upgraded

the future projection program used by the ALBWG. The main upgrade point to the upgrade was to respond to the Stock Synthesis Program version 3.30 and MCMC results (Ijima, 2018).

American Fishermen's Research Foundation (AFRF) has been working on a cooperative research project with NMFS scientists at SWFSC tagging west coast Albacore Tuna with archival tracking tags since 2001. This program is ongoing (J. Childers NMFS-SWFSC, pers. Com.)

#### 4.5. MSC Harmonisation

The CHMSF Albacore Tuna north Pacific fishery overlaps with t other tuna fisheries in the MSC program:

- AAFA and WFOA north Pacific Albacore Tuna pole and line and troll/jig fishery (recertified in 2018).
- Japanese pole and line skipjack and albacore fishery (certified in 2016)
- Ishihara Marine Products albacore and skipjack pole and line fishery (in full assessment)
- Pan Pacific yellowfin, bigeye and albacore longline fishery (in full assessment)

At an MSC workshop held in Hong Kong (21-22 April, 2016) Principle 1 for North Pacific Albacore was harmonized (MSC, 2016). The outcome of the harmonization workshop for north Pacific albacore was included in the 1<sup>st</sup> CHMSF surveillance audit (Mateo and Stocker, 2016).

Given the 2017 ALBWG north Pacific albacore stock assessment (ISC, 2017) the audit team reviewed the P1 scores and concluded that no changes from the harmonized P1 scores are required

On 12<sup>th</sup> November 2018, accredited CABs submitted a joint Variation Request (VR) for all tuna fisheries currently in the MSC Program. MSC has accepted this VR, MSC's response is in Appendix 5.

This VR allows:

- **Not to suspend fisheries that are behind target on P1 conditions raised against CR v.1.3.**
- **To upgrade all tuna fisheries currently under CR v.1.3 to V.2.0 at the next available opportunity.**
- **To harmonise P1 conditions and timelines for all tuna fisheries on the same stock**
- **To set a share deadline for achievement of conditions based on the most recent RFMO workplan.**
- **This VR covers only certified and harmonised fisheries.**

Both VR and MSC's response are available at:

<https://fisheries.msc.org/en/fisheries/canada-highly-migratory-species-foundation-chmsf-british-columbia-albacore-tuna-north-pacific/@assessments>

#### 4.6. Relevant Changes to Legislation and Regulations

IATTC staff recommendation (IATTC, 2018a) on north Pacific albacore: *"Given the relative stability in the biomass and fishing mortality in recent years, and in view of the ongoing MSE, the staff considers that the current resolutions should be continued. The current resolutions (C-05-02 and C-13-03) should be continued."* An amendment to resolution C-13-03 supplementing resolution C-05-02 on north Pacific albacore was adopted in 2018 (IATTC, 2018b). The IATTC adopted resolution will result in CPCs having to pass legislation in their countries (Mark, Maunder IATTC; pers. com.).

At the Northern Committee meeting, Canada noted that IATTC Resolution on North Pacific albacore was revised to change the data reporting frequency from every 6 months to 1 year. Canada intends to submit a revision of CMM 2005-03 to change the obligation in conformity with IATTC in NC15 (WCPFC, 2018c).

In 2017, DFO issued licence conditions for Canadian albacore vessels fishing in the Canadian EEZ, and High Seas (DFO, 2017b) and in the US EEZ (DFO, 2017c).

#### **4.7. Relevant Changes to the Management Regime**

In 2017, DFO amended the 2015-2017 Albacore Tuna Integrated Fisheries Management Plan (DFO, 2015). The 2017-2019 Pacific Region Albacore Tuna Integrated Fisheries Management Plan (IFMP) is valid for the period of April 1, 2017 to March 31, 2019 in Canadian, high seas, and U.S.A fisheries waters (DFO, 2017a). This multi-year IFMP provides for longer term planning and increases stability for the fishery participants.

IFMP updates for 2017 included (DFO, 2017a):

- Section 3: Social, cultural and economic importance; added 2016 data for landings and economic value;
- Section 4: Management issues; Canada-US Treaty Renewal;
- Appendix 1: Post-season review; assessment of 2016/17 fishery objectives;
- Appendix 5: Commercial fishing plan (Canadian EEZ, High Seas); and
- Appendix 6: Commercial fishing plan (USA EEZ).

At the conclusion of the March 2017 treaty meeting the U.S.A and Canada agreed to a three-year fishing regime under the Canada/US Albacore Tuna Treaty for the 2017 to 2019 fishing seasons.

#### **4.8. The General Conditions of Certification**

The general 'Conditions' set out for the Canadian Highly Migratory Species Foundation (CHMSF) as the certificate holder at initial full assessment were as follows:

- The Client must recognize that MSC standards require regular monitoring inspections at least once a year, focusing on compliance with the 'Conditions' set forth in this report (as outlined below) and continued conformity with the standards of certification;
- The Client must agree by contract to be responsible financially and technically for compliance with required surveillance audits by an accredited MSC certification body, and a contract must be signed and verified by SAI Global prior to certification being awarded;
- The Client must recognize that MSC standards require a full re-evaluation for certification (as opposed to yearly monitoring for update purposes) every five years;
- Prior to receiving final certification, the Clients fulfilled the requirement to document an 'Action Plan' for Meeting the Conditions for Continued Certification' and have these approved by SAI Global; and
- The Client must provide a list of all the entities eligible for certification as well as a list of active vessels fishing under the certificate. This list must be updated annually prior to each annual surveillance audit activity.

Fulfilment of General Conditions- Surveillance Audit 1.

- An Action Plan was submitted and accepted prior to the re-certification of the Canadian Highly Migratory Species Foundation (CHMSF) Fishery and actions undertaken against the milestones of each Condition in the intervening period are reported upon in the next following sections.
- An up-dated list of members of the client group has been provided and a list of active vessels during the 2017 fishery.

#### 4.9. The Specific Conditions of Certification

During the re-assessment of the Canadian Highly Migratory Species Foundation (CHMSF) British Columbia albacore tuna North Pacific fishery, a conditional score was allocated for PIs (PI 1.1.2 Limit and target reference points are appropriate for the stock, and PI 1.2.2 (Table 3). There are well defined and effective harvest control rules in place).

**Table 3.** Summary of Assessment Conditions.

Condition number	Performance indicator (PI)	Status	PI original score	PI revised score
1	1.1.2	Behind target	70	65*
2	1.2.2	Behind target	60	Not revised

\* Score revised to 65 (see section 10.1.2 and 10.2 Mateo and Stocker, 2016).

The fishery is considered to be behind target with respect to the milestones for conditions 1 and 2 as specified in the public certification report (Criquet, Mateo, and Stocker, 2015), and the revised milestones specified during the 2<sup>nd</sup> audit (Mateo and Stocker, 2016).

It is noted that the WCPFC (2014) and IATTC (2014, 2015) set out definitions of harvest strategies to be developed and implemented. The definitions include target and limit reference points and decision rules or (“harvest control rules”), with a clear intention that harvest control rules, tested using simulation approaches (MSE), will be part of the implemented harvest strategies. The WCPFC agreed to adopt a work plan at the 2015 Commission meeting, with potential revision in 2017, with application to skipjack, bigeye, yellowfin, Pacific Bluefin, and South and North Pacific Albacore Tuna. In fact, work towards establishing reference points and harvest control rules is already well underway through the Management Objectives Workshop (MOW) process. IATTC (2014, 2015) has also adopted measures to progress development and adoption of TRP, LRP, and HCR. The ISC ALBWG held a Stock Assessment Workshop: Management Strategy Evaluation Mini-Workshop, 20-22 April 2015, in Shimizu-ku, Japan, with the aim to develop a MSE plan. A follow up 2<sup>nd</sup> ISC sponsored MSE workshop on fishery objectives and harvest control rules for managers was held 24-25 May 2016 in Yokohama, Japan (ISC, 2016: Attachment 5). A 3<sup>rd</sup> ISC MSE workshop was held in Vancouver, Canada from 17-19 October 2017 (ISC, 2018b). At the 3<sup>rd</sup> workshop, the ALBWG developed a work plan for the completion of the first round of the NPALB MSE and the stock assessment scheduled for 2020 (ISC, 2018c).

The audit team considers these to be very positive developments, and present critical steps towards the introduction of appropriate biological reference points effective harvest control rules for North Pacific albacore.

More details are provided in the results section (Section 6) below.

## 5. Assessment Process

The surveillance audit followed the current version of MSC procedures implemented by SAI Global's accredited MSC Procedures (QP).

MSC Scheme Document	Issue Date	Implementation
MSC Certification Requirements v1.3	January 14 <sup>th</sup> , 2013	Standard
MSC FCR and Guidance v2.0	October 1 <sup>st</sup> , 2014	Process
General Certification Requirements v.2.2	March 1 <sup>st</sup> , 2018	Process
Surveillance Reporting Template v1.0	October 8 <sup>th</sup> , 2014	Process

**Table 4.** Fishery Surveillance Program.

Surveillance Level	Year 1	Year 2	Year 3	Year 4
Level 6	On-site surveillance audit	On-site surveillance audit	On-site surveillance audit	On-site surveillance audit & re-certification site visit.

The surveillance audit was conducted as a normal onsite audit.

The Surveillance Audit was comprised in general of:

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

The surveillance audit consisted of the announcement to stakeholders and interested parties as required through the MSC website and more direct stakeholder contact with the original stakeholders that took part in the initial assessment and management organizations that comprise the management system and regime for the CHMSF Albacore Tuna (*Thunnus alalunga*) North Pacific Fishery. Through this process, a stakeholder consultation plan was developed as part of the on-site assessment.

Emails and information on objectives of the surveillance audit were sent to stakeholders and management agencies. From this, a surveillance on-site meeting plan was organized and appointments for each individual meeting set. Due to the nature of the management of the CHMSF Albacore Tuna (*Thunnus alalunga*) North Pacific Fishery, and the geographic location of the respective clients and stakeholders, the on-site audit meeting was proposed to be in Nanaimo, BC.

- On site Surveillance Audit date was 13 September, 2018.
- On-site audits were performed by Ivan Mateo (Lead Auditor), and Max Stocker (Auditor).

The surveillance audit meeting was informed by a pre-determined agenda. The agenda was set out so as to allow specific stakeholder interests and concerns to be covered through a structured approach.

In addition to the site visit, 3 separate calls were held with the British Columbia Ministry of Agriculture on 11 September 2018, the IATTC on 12 September 2018, and the NMFS Southwest Fisheries Science Center on 13 September 2018. The surveillance audit team also met with the client (CHMSF) on September 13, 2018.

Information and notes from the consultation phase of the assessment were combined with a review of formal documentation from science and management agencies, and the direct evidence collected during each of the consultation meetings (Table 5).

### **5.1. Summary of stakeholder and client meetings**

Arising out of the stakeholder consultation plan preparation a considerable number of stakeholders were contacted directly by e-mail and a final direct consultation plan for the audit was prepared. Table 5 details the dates, meeting locations and organisations that were consulted through direct meetings or conference calls during the on-site surveillance assessment.

All meetings were conducted by the Surveillance Team Assessors.

**Table 5.** Consultation Meetings during the On Site Surveillance Assessment of the CHMSF Fishery.

Name of Organisation	Present at Meetings	Location	Venue	Date/Time	Purpose
<b>CHMSF</b> 4829 Maplegrove Street Victoria, BC Canada, V8Y 3B9	CHMSF: Lorne Clayton, Executive Director MSC: Kurtis Hayne	Nanaimo, BC	Meeting	13 September 2018 11:30 AM	Progress with conditions set at re- certification for the client fishery. (A conditional score was achieved for performance indicator 1.1.2: Limit and Target reference points are appropriate for the stock), and 1.2.2 Harvest Control Rules.
<b>Fisheries and Oceans Canada (DFO)</b> Pacific Biological Station, 3190 Hammond Bay Rd., Nanaimo, BC V9T6N7	DFO: Brenda Spence, Meghan Chen, Zane Zhang, Nicole Gallant, Jason Gibson MSC: Kurtis Hayne	Nanaimo, BC	Meeting	13 September 2018 10:00 AM	Discussion performance of the fishery. Discussion on changes to the management regime for North Pacific Albacore Tuna. Updates on changes/amendments to regulations, up-dates on scientific evaluation.
<b>BC Ministry of Agriculture</b> Victoria, BC	BC: Darah Gibson MSC: K. Hayne	Nanaimo, BC	Teleconference	11 September 2018 3:00 PM	Discussion on role of BC Government in promoting sustainable fishing (e.g., fisheries training programs, funding to support the industry). Discussion on role of BC Government in the conservation and protection of marine resources and marine environment. Discussion on role of BC Government in the decision making process regarding Albacore Tuna fishery. Discussion on information on fishery performance and management action available for the stakeholders.
<b>IATTC</b> 8901 La Jolla Shores Drive La Jolla CA 92037-1509, USA	IATTC: Alexandre Aires-da-Silva, Carolina Minte-Vera, Mark Maunder	Nanaimo, BC	Teleconference	12 September 2018 3:00 PM	Discussion on recent science and management activities that support the determination of reference points and harvest control rules. Management objectives for North Pacific Albacore.
<b>NOAA/NMFS</b> Southwest Fisheries Science Center, 8901 La Jolla Shores Dr., La Jolla, CA 92037-1508, USA	NMFS: John Childers, Desiree Tommasi	Nanaimo, BC	Teleconference	September 13 2018 2:00 PM	Stock status of the North Pacific Albacore Tuna. Management Strategy Evaluation Update. Update on research programs on the abundance, biology and ecology of the North Pacific Albacore Tuna.

## 6. Results

Tables below show updates for conditions 1 and 2 as per the findings of the first surveillance audit following the re-certification of the CHMSF British Columbia albacore tuna North Pacific fishery.

### 6.1. Evaluation tables for Conditions during the 3<sup>rd</sup> Surveillance Audit 2018.

#### 6.1.1. Condition 1

Table 6. Condition 1.

Performance Indicator(s) & Score(s)	PI Number(s)	Scoring Issue/ Scoring Guidepost	Score
	1.1.2	SG 80: <ul style="list-style-type: none"> <li>• Slb The limit reference point is set above the level at which there is an appreciable risk of impairing reproductive capacity.</li> <li>• Sic The target reference point is such that the stock is maintained at a level consistent with <math>B_{MSY}</math> or some measure or surrogate with similar intent or outcome.</li> </ul>	65*
<b>Condition</b>	The client must provide evidence of implementation of limit reference point set above the level at which there is an appreciable risk of impairing reproductive capacity, and target reference point such that the stock is maintained at a level consistent with $B_{MSY}$ or some measure or surrogate with similar intent or outcome.		
<b>Revised Milestones</b>	<p>Based on the results of the 2<sup>nd</sup> annual surveillance audit (Mateo and Stocker, 2017), the audit team concluded that the client's progress on Condition 1 is determined to be behind target. The score for PI 1.1.2 remained at 65*.</p> <p>The guidelines provided by the MSC v1.3 scheme document MSC CR 27.22.8.1b state: "The CAB shall document whether progress is 'on target', 'ahead of target' or 'behind target', as well as its rationale for such a judgment."</p> <p>(i). "If progress against the measurable outcomes, expected results or (interim) milestones specified when setting the condition is judged to be behind target, the CAB shall specify the Corrective action, and any <b>revised milestones</b>, that are required to bring the process back on track at the next surveillance audit to achieve the original condition by the original deadline".</p> <p>The following revised milestones were introduced in 2017 (Mateo and Stocker, 2017):</p> <ol style="list-style-type: none"> <li>1. By the third annual surveillance audit the CAB will be presented with evidence that Reference Points have been defined and approved</li> <li>2. By the third surveillance audit the CAB will be presented with evidence that reference limits have been implemented.</li> </ol>		
<b>Client Action Plan</b>	<p>Action plan:</p> <ol style="list-style-type: none"> <li>1. CHMSF will continue its active work to develop and promote the determination of appropriate target and limit reference points (or measures or surrogates with similar intent or outcome) for the North Pacific Albacore Tuna stock. These efforts will work in conjunction with the CHMSF ongoing support for appropriate measures to further increase compliance with conservation and management measures of the appropriate regional fishery management organization. CHMSF will continue its ongoing work with the Government of Canada and international bodies to support recommendations for reference points and harvest control rules for adoption at the IATTC and WCPFC.</li> <li>2. CHMSF will continue to actively work toward having the IATTC and WCPFC adopt appropriate target and limit reference points (or measures or surrogates with similar</li> </ol>		

	<p>intent or outcome) for the North Pacific Albacore Tuna stock. CHMSF will continue to work with the Government of Canada and provide evidence of the work and collaboration with Canadian and regional managers, attend and participate in international and regional meetings and forums, where appropriate, to continue to support the adopting of appropriate target and limit reference points (or measures or surrogates with similar intent or outcome) will be provided in the form of RFMO meeting papers and minutes.</p> <ol style="list-style-type: none"> <li>In accordance with these actions, CHMSF will continue to work with, and will report on, ongoing efforts to explore appropriate opportunities with other tuna fisheries, associations, or organizations with complimentary objectives.</li> <li>In addition, CHMSF agrees to fulfil Condition 1 before proceeding beyond the site visit stage for the next recertification process.</li> </ol> <p><b>Responsible parties</b></p> <ol style="list-style-type: none"> <li>The client will support all activities of DFO in development and implementation of the Reference Points.</li> <li>DFO, in consultation with the Canadian Highly Migratory Species Foundation and the Canadian Albacore Tuna fishery stakeholders/participants, will develop appropriate Reference Points.</li> <li>DFO, in consultation with client harvester groups, will ensure that the Reference Points are consistent with MSC Principles 1.</li> <li>DFO will conduct consultations with relevant stakeholder groups.</li> </ol> <p><b>Timeframe for Milestones</b></p> <ol style="list-style-type: none"> <li>By the first annual surveillance audit the CAB will be presented with evidence that consultations regarding Reference Points have occurred.</li> <li>By the second surveillance audit the CAB will be presented with evidence that Reference Points have been defined and approved.</li> <li>By the third surveillance audit the CAB will be presented with evidence that reference pints have been implemented.</li> </ol>
<p><b>Progress on Condition [Year 1]</b></p>	<p>In 2014, a Precautionary Approach Management (PA) Framework was adopted by the WCPFC for NP Albacore Tuna. The framework aims to ensure the stock’s long term sustainability and protect against increased effort by establishing a management objective, setting a Limit Reference Point (LRP), and establishing management actions that would be triggered if it is determined that the LRP is being breached. A Management Strategy Evaluation (MSE) process was proposed by the U.S., and supported by Canada, as a next step. The MSE process was jointly initiated by the IATTC, the WCPFC, and the ISC in 2015. It will help to better identify potential target reference points and harvest control rules for NP Albacore. It is anticipated that the MSE processes will take a number of years to complete given the number of Parties involved and the high level of engagement required. Once complete, the results of the MSE process will be incorporated into the WCPFC PA framework and Canada will work with the U.S. and others to have the revised framework adopted by the IATTC. Canada has sought advice on the MSE objectives from Canadian industry representatives including CHMSF through the Tuna Advisory Board (TAB).</p>
<p><b>Evidence for Year 1</b></p>	<p>It is noted that the WCPFC (2014) and IATTC (2014, 2015) set out definitions of harvest strategies to be developed and implemented. The definitions include <b>target and limit reference points</b> and <b>harvest control rules</b>, with a clear intention that harvest control rules, tested using simulation approaches (MSE), will be part of the implemented harvest strategies.</p>

	<p>The following evidence has been presented to the surveillance audit team that consultations regarding Reference Points have occurred:</p> <p>As advisers to the DFO Tuna Advisory Board (TAB) CHMSF (Lorne Clayton) and eight Albacore Tuna fishing boat owners (TAB Advisors) have worked actively with DFO in the ALB MSE process. Specifically, CHMSF and TAB Advisors) contributed to the identification of management objectives. The management objectives (see Section 4. above) were presented at the second ISC MSE Workshop in Yokohama, Japan, May 24-25, 2016. Furthermore NC10 adopted a precautionary management framework including a limit reference point of <math>20\%SSB_{current, F=0}</math>, which superseded FSSB-ATHL</p> <p>Additional detail on CHMSF actions is presented in Section 9.4; Appendix 4 below).</p>
<b>Progress on Condition [Year 2]</b>	<p>CHMSF has continued to actively work toward having the IATTC and WCPFC adopt appropriate target and limit reference points (or measures or surrogates with similar intent or outcome) for the North Pacific Albacore Tuna stock. CHMSF continued to work with the Government of Canada and provided evidence of the work and collaboration with Canadian and regional managers, attended and participated in international and regional meetings and forums, where appropriate, to continue to support the adopting of appropriate target and limit reference points. So far the WCPFC has adopted a limit reference point <math>20\%SSB_{current, F=0}</math>. However, by the <b>second surveillance audit</b> the CAB was not presented with evidence that Reference Points (except LRP in the WCPFC) have been defined and approved. Thus the time frame for milestones for the second surveillance audit in the client action plan has not been reached.</p> <p>Based on the results of the 2th annual surveillance audit, the client's progress on condition 1 is determined to be behind target. The Audit Team acknowledges the previous significant effort by the client in cooperation with the management authority, but progress to date has now clearly fallen behind target.</p>
<b>Evidence for Year 2</b>	<p>The surveillance audit team noted that the WCPFC (2014) and IATTC (2014, 2015) set out definitions of harvest strategies to be developed and implemented. The definitions include <b>target and limit reference points</b> and <b>harvest control rules</b>, with a clear intention that harvest control rules, tested using simulation approaches (MSE), will be part of the implemented harvest strategies.</p> <p>The following evidence has been presented to the surveillance audit team that consultations regarding Reference Points have occurred:</p> <p>As advisers to the DFO Tuna Advisory Board (TAB) CHMSF (Lorne Clayton) and eight Albacore Tuna fishing boat owners (TAB Advisors) have worked actively with DFO in the ALB MSE process. Specifically, CHMSF and TAB Advisors) contributed to the identification of management objectives. The management objectives (see Section 4. above) were presented at the second ISC MSE Workshop in Yokohama, Japan, May 24-25, 2016. Furthermore NC10 adopted a precautionary management framework including a limit reference point of <math>20\%SSB_{current, F=0}</math>, which superseded FSSB-ATHL. A further MSE workshop will be hosted in late 2017 or early 2018 by DFO in Vancouver.</p> <p>Additional detail on CHMSF actions is presented in Section 9.4; Appendix 4 below).</p>
<b>Progress on Condition [Year 3]</b>	<p>CHMSF has continued to actively work toward having the IATTC and WCPFC adopt appropriate target and limit reference points (or measures or surrogates with similar intent or outcome) for the North Pacific Albacore Tuna stock. CHMSF continued to work with the Government of Canada and provided evidence of the work and collaboration with</p>

	<p>Canadian and regional managers, attended and participated in international and regional meetings and forums, where appropriate, to continue to support the adopting of appropriate target and limit reference points. So far the WCPFC has adopted a limit reference point <math>20\%SSB_{current, F=0}</math>. However, by the <b>third surveillance audit</b> the CAB was not presented with evidence (as per the revised milestones; Mateo and Stocker, 2017: p 38) that Reference Points (except LRP in the WCPFC) have been defined, approved and implemented. Therefore, we conclude that the time frame for the revised milestones for the third surveillance audit has not been reached.</p> <p>The Audit Team acknowledges the significant effort by the client in cooperation with the management authority, but progress to date is still behind target.</p>
<p><b>Evidence for Year 3</b></p>	<p>The surveillance team noted that at the 14<sup>th</sup> Regular Session the WCPFC adopted the Interim Harvest Strategy (HS) for North Pacific Albacore Fisheries recommended by the Northern Committee (WCPFC, 2018a). The HS indicates that the target reference point (TRP) for the albacore stock will be determined following a comprehensive analysis under a management strategy evaluation (MSE).</p> <p>The following evidence has been presented to the surveillance audit team that consultations regarding Reference Points have occurred:</p> <p>As advisers to the DFO Tuna Advisory Board (TAB) CHMSF and Albacore Tuna fishing boat owners (TAB Advisors) have worked actively with DFO in the ALB MSE process. In 2017, Greg Holm BCTFA/TAB along with DFO staff contributed to the 3<sup>rd</sup> MSE Workshop. The objectives of the workshop were: (1) review and update management objectives and performance metrics previously proposed, (2) identify acceptable level of risk for each objective to be used in evaluating performance of management strategies, (3) develop a preliminary set of candidate <b>reference points</b> and harvest control rules for testing and review the work plan and timeline for conducting the MSE (ISC, 2018b). During the 3<sup>rd</sup> MSE workshop the management objectives for the North Pacific Albacore Tuna were updated and candidate harvest strategies, along with corresponding lists of candidate reference points (RPs) and harvest control rules (HCRs), to be evaluated in the initial MSE, were identified (ISC, 2018b).</p> <p>CHMSF has sent letters to IATTC Director Dr. Guillermo Compeán, and Dominic LeBlanc Minister of Fisheries, Oceans and the Canadian Coast Guard asking that they support all international efforts to achieve a mutually agreed set of <b>biological reference points</b> for albacore (see Section 9).</p> <p>Additional detail on CHMSF actions is presented in Section 9.</p>
<p><b>Conclusion and Outcome on Condition 1 from 3rd surveillance audit</b></p>	<p>Based on the results of the 3rd annual surveillance audit, the audit team concluded that the client's progress on Condition 1 is determined to be behind target for the second consecutive year. The Audit Team acknowledges the significant effort by the client in cooperation with the management authority, but progress to date is still behind target</p> <p>As per FCR 7.23.13.2 <i>"In the event that a CAB determines that progress against a condition is not back on target within 12 months of falling behind target, the CAB shall:</i></p> <ol style="list-style-type: none"> <li>a. <i>Consider progress as inadequate.</i></li> <li>b. <i>Apply requirements of suspension or withdrawal.</i></li> </ol> <p>However, the fishery certificate is not suspended as per a CABs joint Variation Request (VR) submitted to and accepted by MSC.</p>

	<p>On 12<sup>th</sup> November 2018, accredited CABs submitted a joint VR for all tuna fisheries currently in the MSC Program. MSC has accepted this VR (see MSC’s response is in Appendix 5).</p> <p>This VR allows:</p> <ul style="list-style-type: none"> <li>• <b>Not to suspend fisheries that are behind target on P1 conditions raised against CR v.1.3.</b></li> <li>• <b>To upgrade all tuna fisheries currently under CR v.1.3 to V.2.0 at the next available opportunity.</b></li> <li>• <b>To harmonise P1 conditions and timelines for all tuna fisheries on the same stock</b></li> <li>• <b>To set a share deadline for achievement of conditions based on the most recent RFMO workplan.</b></li> <li>• <b>This VR covers only certified and harmonised fisheries.</b></li> </ul> <p>This VR will contribute to an alignment of P1 conditions timeline between certified tuna fisheries, and will in theory incentivise all parties fishing on a particular tuna stock to work towards a common deadline of meeting shared P1 conditions.</p> <p>In conclusion, the audit team determines that progress against condition 1 is inadequate. However as per CABs joint VR:</p> <ul style="list-style-type: none"> <li>- The CHMSF British Columbia albacore tuna North Pacific fishery certificate is not suspended;</li> <li>- Condition 1 remains open;</li> <li>- P1 will be re-scored at the next available opportunity and P1 conditions and timeline will be harmonised. All North Pacific albacore tuna fisheries will have the same deadline for achievement of P1 conditions based on the most recent RFMO workplan.</li> </ul>
<b>Status of Condition</b>	Behind target. Score remains at 65* - remains open.

\* Score revised to 65 (see Mateo and Stocker, 2016).

### 6.1.2. Condition 2

Table 7. Condition 2.

	PI number(s)	Scoring Issue/ Scoring Guidepost	Score
<b>Performance Indicator(s) &amp; Score(s)</b>	1.2.2	SG 80: <ul style="list-style-type: none"> <li>• Well defined harvest control rules are in place that are consistent with the harvest strategy and ensure that the exploitation rate is reduced as limit reference point are approached (<b>Not met</b>).</li> <li>• The selection of the harvest control rules takes into account the main uncertainties (<b>Not met</b>).</li> <li>• Available evidence indicates that the tools in use are appropriate and effective in achieving the exploitation levels required under the harvest control rules (<b>Not met</b>).</li> </ul>	60
<b>Condition</b>	The client must provide evidence of implementation of well- defined harvest control rules that reduce exploitation rates as the limit reference point is approached.		
<b>Revised Milestones</b>	Based on the results of the 2nd annual surveillance audit (Mateo and Stocker, 2017), the audit team concluded that the client’s progress on Condition 2 was determined to be behind target. The score for PI 1.2.2 remained at 60. <p>The guidelines provided by the MSC v1.3 scheme document MSC CR 27.22.8.1b state:</p>		

	<p>"The CAB shall document whether progress is 'on target', 'ahead of target' or 'behind target', as well as its rationale for such a judgment."</p> <p>(i). "If progress against the measurable outcomes, expected results or (interim) milestones specified when setting the condition is judged to be behind target, the CAB shall specify the Corrective action, and any <b>revised milestones</b>, that are required to bring the process back on track at the next surveillance audit to achieve the original condition by the original deadline".</p> <p>The following revised milestones were introduced in 2017 (Mateo and Stocker, 2017):</p> <ol style="list-style-type: none"> <li>1. By the third surveillance audit the CAB will be presented with evidence that the HCR's have been defined and approved.</li> <li>2. By the third surveillance audit the CAB will be presented with evidence that the HCR's have been implemented.</li> </ol>
<b>Client Action Plan</b>	<p><b>Action plan:</b></p> <ol style="list-style-type: none"> <li>1. CHMSF will continue it's ongoing, through its regional and Federal delegations to IATTC and WCPFC to promote the development and determination of an appropriate harvest control rule that applies uniformly and equitably to all fishery mortality of North Pacific Albacore Tuna stock. CHMSF will continue to endorse presentations by Federal Canadian delegates to IATTC and WCPFC.</li> <li>2. CHMSF will continue its ongoing work, through collaboration with its regional and Federal delegations to IATTC and WCPFC, to promote the development and determination of an appropriate harvest control rule that applies uniformly and equitably to all fishery mortality of North Pacific Albacore Tuna stock. CHMSF will continue to: endorse presentations by Federal Canadian delegates to IATTC and WCPFC. CHMSF; will continue to work with the Government of Canada and provide evidence of the work and collaboration with Canadian and regional managers; attend and participate in international and regional meetings and forums, where appropriate; and, to continue to support the adopting of appropriate target and limit reference points (or measures or surrogates with similar intent or outcome) will be provided in the form of RFMO meeting papers and minutes.</li> <li>3. In accordance with these actions, CHMSF will continue to work with, and will report on, ongoing efforts to explore appropriate opportunities with other tuna fisheries, associations, or organizations with complimentary objectives.</li> <li>4. In addition, CHMSF agrees to fulfil Condition 2 before proceeding beyond the site visit stage for the next recertification process.</li> </ol> <p><b>Responsible parties:</b></p> <ol style="list-style-type: none"> <li>1. The client will support all activities of DFO in development and implementation of the Harvest Control Rules (HCRs).</li> <li>2. DFO, in consultation with the Canadian Highly Migratory Species Foundation and the Canadian Albacore Tuna fishery stakeholders/participants, will develop the draft HCR's.</li> <li>3. DFO, in consultation with client harvester groups, will ensure that the HCR's are consistent with MSC Principles 1.</li> <li>1. DFO will conduct consultations with relevant stakeholders groups. DFO will publish and make publicly available the final HCR's.</li> </ol> <p><b>Timeframe for Milestones</b></p> <ol style="list-style-type: none"> <li>1. By the first annual surveillance audit the CAB will be presented with evidence that consultations have occurred.</li> </ol>

	<ol style="list-style-type: none"> <li>2. By the second surveillance audit the CAB will be presented with evidence that the HCR's have been defined and approved.</li> <li>3. By the third surveillance audit the CAB will be presented with evidence that the HCR's have been implemented.</li> </ol>
<b>Progress on Condition [Year 1]</b>	<p>In 2014 a Precautionary Approach Management (PA) Framework was adopted by the WCPFC for NP Albacore Tuna. The framework aims to ensure the stock's long term sustainability and protect against increased effort by establishing a management objective, setting a Limit Reference Point (LRP), and establishing management actions that would be triggered if it is determined that the LRP is being breached.</p> <p>A Management Strategy Evaluation (MSE) process was proposed by the U.S., and supported by Canada, as a next step. The MSE process was jointly initiated by the IATTC, the WCPFC, and the ISC in 2015. It will help to better identify potential target reference points and harvest control rules for NP Albacore. It is anticipated that the MSE processes will take a number of years to complete given the number of Parties involved and the high level of engagement required. Once complete, the results of the MSE process will be incorporated into the WCPFC PA framework and Canada will work with the U.S. and others to have the revised framework adopted by the IATTC. Canada has sought advice on the MSE objectives from Canadian industry representatives including CHMSF through the Tuna Advisory Board (TAB).</p>
<b>Progress on Condition [Year 2]</b>	<p>In 2014 a Precautionary Approach Management (PA) Framework was adopted by the WCPFC for NP Albacore Tuna. The framework aims to ensure the stock's long term sustainability and protect against increased effort by establishing a management objective, setting a Limit Reference Point (LRP), and establishing management actions that would be triggered if it is determined that the LRP is being breached.</p> <p>A Management Strategy Evaluation (MSE) process was proposed by the U.S., and supported by Canada, as a next step. The MSE process was jointly initiated by the IATTC, the WCPFC, and the ISC in 2015. It will help to better identify potential target reference points and harvest control rules for NP Albacore. It is anticipated that the MSE processes will take a number of years to complete given the number of Parties involved and the high level of engagement required. Once complete, the results of the MSE process will be incorporated into the WCPFC PA framework and Canada will work with the U.S. and others to have the revised framework adopted by the IATTC. Canada has sought advice on the MSE objectives from Canadian industry representatives including CHMSF through the Tuna Advisory Board (TAB). A further MSE workshop will be hosted in late 2017 or early 2018 by DFO in Vancouver.</p>
<b>Evidence for Year 1</b>	<p>It is noted that the WCPFC (2014) and IATTC (2014, 2015) set out definitions of harvest strategies to be developed and implemented. The definitions include <b>target and limit reference points</b> and <b>harvest control rules</b>, with a clear intention that harvest control rules, tested using simulation approaches (MSE), will be part of the implemented harvest strategies.</p> <p>The following evidence has been presented to the surveillance audit team that consultations regarding Reference Points have occurred:</p> <p>As advisers to the DFO Tuna Advisory Board (TAB) CHMSF (Lorne Clayton) and eight Albacore Tuna fishing boat owners (TAB Advisors) have worked actively with DFO in the ALB MSE process. Specifically, CHMSF and TAB Advisors) contributed to the identification of management objectives. The management objectives (see Section 4. above) were</p>

	<p>presented at the second ISC MSE Workshop in Yokohama, Japan, May 24-25, 2016. Additional detail on CHMSF actions is presented in Section 9.4; Appendix 4 below).</p>
<p><b>Evidence for Year 2</b></p>	<p>The surveillance audit team noted that the WCPFC (2014) and IATTC (2014, 2015) set out definitions of harvest strategies to be developed and implemented. The definitions include target and limit reference points and harvest control rules, with a clear intention that harvest control rules, tested using simulation approaches (MSE), will be part of the implemented harvest strategies. However, by the <b>second surveillance audit</b> the CAB has not been presented with evidence that the HCR's have been defined and approved. Thus the time frame for milestones for the second surveillance audit in the client action plan has not been reached.</p> <p>The following evidence has been presented to the surveillance audit team that consultations regarding Reference Points have occurred:</p> <p>As advisers to the DFO Tuna Advisory Board (TAB) CHMSF (Lorne Clayton) and eight Albacore Tuna fishing boat owners (TAB Advisors) have worked actively with DFO in the ALB MSE process. Specifically, CHMSF and TAB Advisors) contributed to the identification of management objectives. The management objectives (see Section 4. above) were presented at the second ISC MSE Workshop in Yokohama, Japan, May 24-25, 2016. Additional detail on CHMSF actions is presented in Section 9.4; Appendix 4 below). Based on the results of the 2th annual surveillance audit, the client's progress on condition 2 is determined to be behind target. The Audit Team acknowledges the previous significant effort by the client in cooperation with the management authority, but progress to date has now clearly fallen behind target.</p>
<p><b>Progress on Condition [Year 3]</b></p>	<p>CHMSF has continued to actively work toward having the IATTC and WCPFC adopt appropriate harvest control rules for the North Pacific Albacore Tuna stock. CHMSF continued to work with the Government of Canada and provided evidence of the work and collaboration with Canadian and regional managers, attended and participated in international and regional meetings and forums, where appropriate, to continue to support the adopting of harvest control rules. However, by the <b>third surveillance audit</b> the CAB was not presented with evidence (as per the revised milestones; Mateo and Stocker, 2017: p 38) that a Harvest Control Rule has been defined, approved and implemented. Therefore, we conclude that the time frame for the revised milestones for the third surveillance audit has not been reached.</p> <p>The Audit Team acknowledges the significant effort by the client in cooperation with the management authority, but progress to date is still behind target.</p>
<p><b>Evidence for Year 3</b></p>	<p>The surveillance team noted that at the 14<sup>th</sup> Regular Session the WCPFC adopted the Interim Harvest Strategy (HS) for North Pacific Albacore Fisheries recommended by the Northern Committee (WCPFC, 2018a). The HS indicates that the target reference point (TRP) for the albacore stock will be determined following a comprehensive analysis under a management strategy evaluation (MSE).</p> <p>The following evidence has been presented to the surveillance audit team that consultations regarding Reference Points have occurred:</p> <p>As advisers to the DFO Tuna Advisory Board (TAB) CHMSF and Albacore Tuna fishing boat owners (TAB Advisors) have worked actively with DFO in the ALB MSE process. In 2017, Greg Holm BCTFA/TAB along with DFO staff contributed to the 3<sup>rd</sup> MSE Workshop. The objectives of the workshop were: (1) review and update management objectives and performance metrics previously proposed, (2) identify acceptable level of risk for each objective to be used in evaluating performance of management strategies, (3) develop a</p>

	<p>preliminary set of candidate reference points and <b>harvest control rules</b> for testing and review the work plan and timeline for conducting the MSE (ISC, 2018b). During the 3<sup>rd</sup> MSE workshop the management objectives for the North Pacific Albacore Tuna were updated and candidate harvest strategies, along with corresponding lists of candidate reference points (RPs) and harvest control rules (HCRs), to be evaluated in the initial MSE, were identified (ISC, 2018b).</p> <p>CHMSF has sent letters to IATTC Director Dr. Guillermo Compeán and Dominic LeBlanc Minister of Fisheries, Oceans and the Canadian Coast Guard asking that they support all international efforts to achieve a mutually agreed <b>harvest control rule</b> for albacore (see Section 9).</p> <p>Additional detail on CHMSF actions is presented in Section 9.</p>
<p><b>Conclusion and Outcome on Condition 2 from 3rd Surveillance Audit</b></p>	<p>Based on the results of the 3rd annual surveillance audit, the audit team concluded that the client’s progress on Condition 2 is determined to be behind target for the second consecutive year. The Audit Team acknowledges the significant effort by the client in cooperation with the management authority, but progress to date is still behind target</p> <p>As per FCR 7.23.13.2 <i>“In the event that a CAB determines that progress against a condition is not back on target within 12 month s of falling behind target, the CAB shall:</i></p> <ul style="list-style-type: none"> <li><i>c. Consider progress as inadequate.</i></li> <li><i>d. Apply requirements of suspension or withdrawal.</i></li> </ul> <p>However, the fishery certificate is not suspended as per a CABs joint Variation Request (VR) submitted to and accepted by MSC.</p> <p>On 12<sup>th</sup> November 2018, accredited CABs submitted a joint VR for all tuna fisheries currently in the MSC Program. MSC has accepted this VR (see MSC’s response is in Appendix 5).</p> <p>This VR allows:</p> <ul style="list-style-type: none"> <li>• <b>Not to suspend fisheries that are behind target on P1 conditions raised against CR v.1.3.</b></li> <li>• <b>To upgrade all tuna fisheries currently under CR v.1.3 to V.2.0 at the next available opportunity.</b></li> <li>• <b>To harmonise P1 conditions and timelines for all tuna fisheries on the same stock</b></li> <li>• <b>To set a share deadline for achievement of conditions based on the most recent RFMO workplan.</b></li> <li>• <b>This VR covers only certified and harmonised fisheries.</b></li> </ul> <p>This VR will contribute to an alignment of P1 conditions timeline between certified tuna fisheries, and will in theory incentivise all parties fishing on a particular tuna stock to work towards a common deadline of meeting shared P1 conditions.</p> <p>In conclusion, The audit team determines that progress against condition 1 is inadequate. However as per CABs joint VR:</p> <ul style="list-style-type: none"> <li>- The CHMSF British Columbia albacore tuna North Pacific fishery certificate is not suspended;</li> <li>- Condition 2 remains open;</li> <li>- P1 will be re-scored at the next available opportunity and P1 conditions and timeline will be harmonised. All North Pacific albacore tuna fisheries will have the same deadline for achievement of P1 conditions based on the most recent RFMO workplan.</li> </ul>

<b>Status of Condition</b>	Behind target. Score remains at 60 – remains open.
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## 6.2. Summary of Status of Conditions

Condition	Performance Indicator	Status
1	1.1.2	Open – <b>Behind target</b>
2	1.2.2	Open – <b>Behind target</b>

## 6.3. Revised Milestones

As per FCR 7.23.13.1.b.i, in the event that progress against the specified milestones is judged to be behind target, the CAB shall specify the remedial action, and any revised milestones, that are required to bring process back on track within 12 months to achieve the original condition by the original deadline.

However, as per the CABs joint VR and MSC's positive response to this VR, P1 will be re-scored at the next available opportunity and P1 conditions and timeline will be harmonised. All North Pacific albacore tuna fisheries will have the same deadline for achievement of P1 conditions based on the most recent RFMO workplan. Thus, revised milestones for conditions 1 and 2 are not appropriate and specified.

## 7. Conclusion

The assessment team conducting this 3<sup>rd</sup> surveillance audit following recertification confirms that Canadian Highly Migratory Species Foundation has met the general requirements for continued certification to the MSC Principles and Criteria for Sustainable Fishing.

Although SAI Global determines that the progress against the conditions 1 and 2 were not back on target within 12 months of falling behind target (FCR 7.23.13.2), the fishery certificate is not suspended as per a CABs joint VR submitted to and accepted by MSC.

This VR allows:

- **Not to suspend fisheries that are behind target on P1 conditions raised against CR v.1.3.**
- **To upgrade all tuna fisheries currently under CR v.1.3 to V.2.0 at the next available opportunity.**
- **To harmonise P1 conditions and timelines for all tuna fisheries on the same stock**
- **To set a share deadline for achievement of conditions based on the most recent RFMO workplan.**
- **This VR covers only certified and harmonised fisheries.**

This VR will contribute to an alignment of P1 conditions timeline between certified tuna fisheries, and will in theory incentivise all parties fishing on a particular tuna stock to work towards a common deadline of meeting shared P1 conditions.

The audit team recommends that continued certification be awarded to the respective client fishery:

- **The CHMSF British Columbia albacore tuna North Pacific.**

### 7.1. Outcome of SAI Global Decision

SAI Global determines that:

- **The CHMSF British Columbia albacore tuna North Pacific fishery continues to operate a well-managed and sustainable fishery and therefore, continued certification to the MSC Principles and Criteria for Sustainable Fishing is awarded.**

## 8. References

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## 9. Appendices

### 9.1. Appendix 1. Re-scoring evaluation tables

There is no rescoring required in the 3<sup>rd</sup> surveillance audit.

**9.2. Appendix 2. Stakeholder submissions**

Stakeholder submissions not received.

### 9.3. Appendix 3. Surveillance audit information

N/A

#### **9.4. Appendix 4. Additional detail on conditions/ actions/ results**

Evidence submitted by CHMSF with reference to specific Conditions of Certification

- CHMSF is a member of the Association of Sustainable Fisheries
- Lorne Clayton CHMSF Executive Director is a Canadian Commissioner of the IATTC

Log of activities undertaken by CHMSF representatives in 2017

- 04 April 2017. BCTFA Directors conference call
- 06 April 2017. DFO Tuna Advisory Board (TAB) meeting, Victoria, B.C.
- 13 April 2017. BCTFA board meeting, Cowichan Bay, B.C.
- 22 April 2017. BCTFA AGM, Nanaimo, B.C.
- 11 May 2017. CHMSF meeting, Cowichan, B.C.
- 12 May 2017. BCTFA directors conference call
- 15 May 2017. BC Seafood Alliance (BCSA) board meeting, Vancouver, B.C.
- 16 May 2017. Conference call with DFO (Internat. Div., Ottawa)
- 22 May 2017. DFO Northern Shelf Bioregion conference call
- 29 May 2017. DFO/Archipelago Man. Brd. (AMB) re: Gwaii Haanas fisheries planning, Vancouver, B.C.
- 31 May 2017. Scott Islands National Marine Wildlife Area (SINMWA) planning committee meeting, Port Hardy, B.C.
- 25 May 2017. US-Canada Albacore Treaty Data Working Group
- 25-27 August 2017. China Fisheries and Seafood Expo, Guangzhou, China
- August 2017. SRC- Saskatchewan Research Council - Radiation Testing
- 14-25 September 2017. Dubai, Seafood and Processing, Dubai, U.A.E.
- 17 September 2017. Busan- International Seafood and Fisheries, Busan- S. Korea
- 20 September 2017. Offshore Pacific Area of Interest - Advisory Committee
- September 2017. BCSA board meeting, Vancouver, B.C.
- 10 October 2017. BCTFA directors meeting
- 11 October 2017. Southern Resident Killer Whale symposium, Vancouver, B.C.
- 13 October 2017. BCSA conference call
- 18 October 2017. SINMWA conference call
- 12 October 2017. Tuna Advisory Board, Vancouver, B.C.
- 30 October - 04 November 2017. China Seafood, Qingdao, China
- 06 November 2017. BCTFA directors conference call
- 08 November 2017. BCSA conference call
- 09 November 2017. DRAFT zoning proposal for Gwaii Haanas, Gwaii Haanas, B.C.
- 16 November 2017. DRAFT zoning proposal for Gwaii Haanas, Gwaii Haanas, B.C.
- 20 November 2017. BCSA conference call
- 12 December 2017. BCSA annual general meeting, Vancouver, B.C.
- 13 December 2017. AMB industry response planning (AMB irp) meeting, Nanaimo, B.C.

## CHMSF Letters



c/o 4829 MAPLEGROVE STREET  
VICTORIA, BC V8Y 3B9  
PHONE 250-658-0179 CHMSF@ieccorporate.com

January, 17, 2017

**Dominic LeBlanc**  
Minister of Fisheries, Oceans, and the Canadian Coast Guard  
200 Kent Street Station 15N100  
Ottawa, Ontario K1A 0E6

Honorable Minister:

Greetings on behalf of the Directors and Members of the Canadian Highly Migratory Species Foundation (CHMSF).

As you may be aware, the CHMSF are holders of Certification under the Marine Stewardship Council (MSC) with respect to Northern Stock Pacific Albacore Tuna landed by Canadian troll fishermen. Under the conditions of the Certification the CHMSF is required to encourage all levels of management that have responsibilities for the management of Albacore Tuna Stocks to develop appropriate Biological Reference Points (BPR's) for monitoring the state of the harvest relative to stock status. Regardless of these conditions the Canadian Highly Migratory Species Foundation mandate supports the equitable, consistent and scientifically based establishment of Biological Reference Points by RFMO's that have input to the management of the Northern Pacific Albacore Stock.

As a standing member of the Canadian Tuna Advisory Board (TAB), and as an invited participant at BCTFA, WFOA, NMFS, NOAA and Bi-lateral Treaty discussions, the CHMSF also supports the ongoing efforts by the ISC to undertake stock status determination directed towards the long-term sustainability of stocks and with recent international resolutions calling for fishing effort not to be increased.

The CHMSF, and its member fishermen, also supports the ongoing collection of biological reference data (length/frequency) as well as other important data collected in mandatory industry logbooks, which we facilitate on behalf of industry and governments.

We understand that the ISC Working Group has developed a consensus that future focus be on lower limit reference points to prevent recruitment overfishing. The CHMSF supports the development of a framework of recommendations by the International Science Committee in advising the WCPFC and IATTC, as well as the WG presentation

of viable options to the Northern Committee to consider the establishment of appropriate BRP's.

It is the position of the CHSF that acceptable reference points are developed which include:

- management objectives for the stock, noting that an interim objective is in place for north Pacific albacore;
- specification of the management strategy; e.g., control rules,
- specification of the risk management strategy; i.e., risk tolerant, risk adverse, and,
- decisions on reference points and control rules for albacore.

We appreciate, and wholly support, the recent decision by the Government of Canada to join, and maintain an active Canadian membership, in both the IATTC and WCPFC.

We ask that your office also support all international efforts to achieve a mutually agreed upon set of biological reference points to assess the status of North Pacific Albacore Stocks and will communicate your support to appropriate RFMO's and other associated bodies.

Respectfully submitted on behalf of the Directors and Members of the Canadian Highly Migratory Species Foundation,



W. E. Lorne Clayton, RPBio.  
Executive Director



c/o 4829 MAPLEGROVE STREET  
VICTORIA, BC V8Y 3B9  
PHONE 250-658-0179 CHMSF@ieccorporate.com

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January, 17, 2017

IATTC  
Dr. Guillermo A. Compeán  
Director  
INTER-AMERICAN TROPICAL TUNA COMMISSION  
8604 La Jolla Shores Drive  
La Jolla CA 92037-1508  
Email: gcompean@iattc.org

Re: Biological Reference Points

Dear Dr. Compean:

Greetings on behalf of the Directors and Members of the Canadian Highly Migratory Species Foundation (CHMSF).

As you may be aware, the CHMSF are holders of Certification under the Marine Stewardship Council (MSC) with respect to Northern Stock Pacific Albacore Tuna landed by Canadian troll fishermen. Under the conditions of the Certification the CHMSF is required to encourage all levels of management that have responsibilities for the management of Albacore Tuna Stocks to develop appropriate Biological Reference Points (BPR's) for monitoring the state of the harvest relative to stock status. Regardless of these conditions the Canadian Highly Migratory Species Foundation mandate supports the equitable, consistent and scientifically based establishment of Biological Reference Points by RFMO's that have input to the management of the Northern Pacific Albacore Stock.

As a standing member of the Canadian Tuna Advisory Board (TAB), and as an invited participant at BCTFA, WFOA, NMFS, NOAA and Bi-lateral Treaty discussions, the CHMSF also supports the ongoing efforts by the ISC to undertake stock status determination directed towards the long-term sustainability of stocks and with recent international resolutions calling for fishing effort not to be increased.

The CHMSF, and its member fishermen, also supports the ongoing collection of biological reference data (length/frequency) as well as other important data collected in mandatory industry logbooks, which we facilitate on behalf of industry and governments.

We understand that the ISC Working Group has developed a consensus that future focus be on lower limit reference points to prevent recruitment overfishing. The CHMSF supports the development of a framework of recommendations by the International Science Committee in advising the WCPFC and IATTC, as well as the WG presentation of viable options to the Northern Committee to consider the establishment of appropriate BRP's.

It is the position of the CHSF that acceptable reference points are developed which include:

- management objectives for the stock, noting that an interim objective is in place for north Pacific albacore;
- specification of the management strategy; e.g., control rules,
- specification of the risk management strategy; i.e., risk tolerant, risk adverse, and,
- decisions on reference points and control rules for albacore.

We appreciate, and wholly support, the recent decision by the Government of Canada to join, and maintain an active Canadian membership, in both the IATTC and WCPFC.

We ask that your office also support all international efforts to achieve a mutually agreed upon set of biological reference points to assess the status of North Pacific Albacore Stocks and will communicate your support to appropriate RFMO's and other associated bodies.

Respectfully submitted on behalf of the Directors and Members of the Canadian Highly Migratory Species Foundation,



W. E. Lorne Clayton, RPBio.  
Executive Director

### **WCPFC**

At the 14<sup>th</sup> Regular Session the WCPFC adopted the Interim Harvest Strategy for North Pacific Albacore Fisheries recommended by the Northern Committee (WCPFC, 2018a). This modifies and replaces the previously adopted precautionary management framework for North Pacific albacore and is to be recognised as a harvest strategy.

**The Commission for the Conservation and Management of  
Highly Migratory Fish Stocks in the Western and Central Pacific Ocean**

**Northern Committee  
Thirteenth Regular Session**

August 28 – September 1, 2017  
Busan, Korea

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**Interim Harvest Strategy for North Pacific Albacore Fishery**

**Harvest Strategy 2017-XX**

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This Interim Harvest Strategy replaces the “precautionary management framework for north pacific albacore” adopted at the 11<sup>th</sup> regular session of the Commission, which is based on the recommendation of the Northern Committee at its 10<sup>th</sup> regular session.

**1. Interim management objective**

The management objective for the North Pacific albacore fishery is to maintain the biomass, with reasonable variability, around its current level in order to allow recent exploitation levels to continue and with a low risk of breaching the limit reference point.

**2. Biological reference points**

Based on ISC’s stock assessment advice and following the hierarchical approach adopted by the Commission, North Pacific albacore is to be treated as a Level 2 stock. The following is based on an average recruitment scenario:

- The limit reference point (LRP) for this stock is established at 20%SSB<sub>current F=0</sub>.

This LRP is consistent with the Annex II of the UN Fish Stocks Agreement (UNFSA) and recent WCPFC decisions on LRPs for the three tropical tuna species and South Pacific albacore, where 20%SSB<sub>current F=0</sub> was adopted. If this point is breached, management actions will be taken to return the stock to a predetermined level as outlined in the subsequent section on Decision Rules.

- The target reference point (TRP) for this stock will be determined following a comprehensive analysis under a management strategy evaluation (MSE) approach as outlined in section 4 on “Future Work”. Historical fishing activity, anticipated fishing activity, and the source of increased fishing mortality will also be considered when evaluating a suitable TRP. Socioeconomic factors, as per UNFSA Article 6.3.c., will be further considered. The existing conservation and management measure (CMM) for the stock (WCPFC 2005-03) establishes through limits on current effort an overall management regime for the stock.

**3. Decision rules**

NC recommends a management strategy for the stock that ensures that the risk of the biomass decreasing below the LRP is low.

LRP rule: In the event that, based on information from ISC, the spawning stock size decreases below the LRP at any time, NC will, at its next regular session or intersessionally if warranted, adopt a reasonable timeline, but no longer than 10 years, for rebuilding the spawning stock to at least the LRP and recommend a CMM that can be expected to achieve such rebuilding within that timeline. NC will take into account historical fishing activity and the source of increased fishing mortality when developing management strategies to rebuild the stock, including in establishing effort reductions. NC will further consider socioeconomic factors, as per UNFSA Article 6.3.c., as well as which NC members, if any, contributed to exceeding the LRP.

**4. Future work**

This framework may be periodically reviewed and revised. To support such revisions, NC endorses the ongoing development and implementation of an MSE for the stock and fishery, which would yield new information that would enhance the robustness of this framework.

## 9.5. Appendix 5. MSC's response to the joint VR



Marine Stewardship

Geraldine Criquet  
SAI Global (SAI)

Sent by email

Date: 13/02/2019

Dear Geraldine Criquet,

I write with reference to your submission on 11/12/2018 of a request for variation to the MSC Certification Requirement (CR) to allow:

For fisheries scored against v1.3

- All tuna fisheries currently on v1.3 will be upgraded to v2.0 at the next surveillance audit
- CABs shall follow the process requirements in Appendix B that have been prepared specifically for P1 upgrades
- If the stock has already been fully assessed against FCR v2.0 at the time of rescoring, a reduced upgrade process applies that does not require peer review and additional reporting requirements; fisheries for which this is applicable are identified in Appendix A
- No suspension action will be undertaken for fisheries that are behind target on P1 conditions raised against v1.3
- Any new conditions raised as a result of the Principle 1 rescoring will be harmonised with other tuna fisheries and aligned with the stock-specific condition deadlines set out in Appendix A

For fisheries already scored against v2.0

- Principle 1 conditions and timelines will be harmonised for all tuna fisheries on the same stock
- A shared deadline for achievement of conditions, based on the most recent RFMO workplan, will be set as per the calendar years specified in Appendix A

For all fisheries

- To facilitate harmonisation efforts between CABs, surveillance schedules of the relevant tuna fisheries will be aligned (to the extent that is practical) so that annual progress can be assessed collectively by CABs

This may vary against one or more of the following requirements, depending on the fishery circumstances:

1. Fisheries scored against v1.3:

Implementation timeframes: Existing fisheries (in assessment or certified) shall apply the new standard requirements (...) at their first reassessment commencing after 1st October 2017. (FCR V2.0 p. 9)

FCR V.2.0 7.23.13.1.b.i. If the progress against the measurable outcomes, expected results or (interim) milestones specified when setting the condition is judged to be behind target, the CAB shall specify the remedial action, and any revised milestones, that are required to bring process back on track within 12 months to achieve the original condition by the original deadline.

FCRv2.0 7.23.13.2: In the event that the CAB determines that progress against a condition is not back 'on target' within 12 months of falling 'behind target', the CAB shall:

- a. Consider progress as inadequate.
- b. Apply the requirements of GCR 7.4 (suspension or withdrawal).

For fisheries with conditions under Principle 1 subject to harmonization:

FCRv2.0 7.11.1.3 (and subclauses): The CAB shall draft conditions to result in improved performance to at

least the 80 level within a period set by the CAB but no longer than the term of the certification unless: a. There are exceptional circumstances, and the CAB determines that achieving a performance level of 80 may take longer than the period of certification. The CAB shall interpret exceptional circumstances in 7.11.1.3.a to refer to situations in which, even with perfect implementation, achieving the 80 level of performance may take longer than the certification period.

FCRv2.0 7.24.2 (and subclauses): When conducting a re-assessment of a certified fishery, the CAB shall (...) evaluate progress against certification conditions. Unless exceptional circumstances apply (7.11.1.3) or paragraph (b) applies, the fishery shall have met all conditions and milestones. (...) In the event that there are unmet conditions, the CAB shall apply 7.23.13.1 and 7.23.13.2 (except 7.23.13.2.b.) in determining the adequacy of progress against those conditions and milestones. If the CAB concludes that the client has made inadequate progress, it shall not grant a new fishery certificate.

These are integral to ensuring all MSC accredited Conformity Assessment Bodies operate in a consistent and transparent manner. The MSC intends that these requirements be met across all fisheries and CoC certificate holders, except in exceptional, well-justified circumstances, as part of the MSC programme.

MSC notes the factors presented supporting your request, including:

- This variation will contribute to an alignment of P1 condition timelines between certified HMS fisheries.
- This will in theory incentivise all parties fishing on a particular HMS stock to work towards a common deadline for meeting shared P1 conditions.
- Fisheries currently scored against v1.3 will be rescored against v2.0 for Principle 1 at the next available opportunity
- Conditions on PI 1.2.2 (HCRs) and PI 1.2.1 (harvest strategy), and their associated timelines, will be harmonized between all UoAs that share the same P1 stock
- Timelines for achieving the conditions will be set in line with RFMO workplans for developing HCRs and harvest strategies (ranging between 2021 and 2023)
- This variation request covers only certified and harmonised fisheries; for new or in assessment fisheries, CABs instead propose to use existing mechanisms to achieve harmonization

Given the rationale provided, the MSC is willing to grant a variation to the CR in this case subject to the following conditions:

- Where applicable, rescoring against v2.0 is to be undertaken at the next surveillance audit and shall follow the process requirements set out in Appendix B
- Relevant P1 conditions shall be closed by the proposed dates given in Appendix A as per FCP v2.1 7.28.16.1.b.i and 7.28.16.2 and GCR v2.2 7.4.2.b
- All new or in assessment fisheries for which harmonisation is required must be aligned with the applicable timelines given in Appendix A, as per the guidance in the FCP v2.1
- CABs shall make efforts to ensure the language of the conditions and milestones is consistent between harmonised fisheries
- CABs should make good faith efforts to coordinate surveillance with overlapping fisheries
- Reassessments shall be undertaken on usual timelines

If you have any questions regarding this response, please do not hesitate to contact the relevant Fisheries Assessment Manager for this fishery.

Marine Stewardship Council  
cc: Accreditation Services International

### **9.6. Appendix 6. Revised Surveillance Program**

The surveillance program is not revised.