



MarinTrust

Guidance for 60-day public
consultation

V3 whole fish fishery assessment
criteria & methodology

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1. About this document

This document provides information for the public consultation stage of the development of Draft V3 MarinTrust Whole Fish Fishery Assessment. It includes:

- An overview of the development process.
- An explanation about the Draft V3 and key changes.
- An overview of the public consultation process and provision of feedback.

2. Revision of standards

To ensure that the MarinTrust Programme remains relevant and fit for purpose, standards and other core program documents must be reviewed and revised on a regular basis and in accordance with the ISEAL Standard-Setting Code¹ and ISO/IEC 17065:2012².

3. Responsible raw material sourcing

The **MarinTrust Factory Standard certifies the marine ingredients production facility (factory)**, delivering assurance that the raw materials used to make fishmeal and fish oil are responsibly sourced. As an essential **prerequisite to the factory audit**, facilities must demonstrate that they source approved raw materials (whole fish or by-products, such as trimmings and offcuts) that are:

1. Not from IUU fishing activity,
2. Not an endangered species, and
3. For whole fish, from responsibly managed fisheries aligned to the FAO Code of Conduct for Responsible Fisheries.

To demonstrate responsible sourcing, a MarinTrust certified facility can only³ use raw material (whole fish and by-products) that is MarinTrust approved, which means it has passed an assessment undertaken by the third-party Certification Body.

MarinTrust sets the criteria and assessment methodology to assess these raw materials (the documents in this consultation). Approval can also be demonstrated through sourcing from MarinTrust recognised equivalence. The Marine Stewardship Council (MSC) Fisheries Standard and MSC Chain of Custody, are recognised by MarinTrust; MSC-certified fishery sources automatically receive approval (through the MarinTrust MSC verification tool).

¹ ISEAL Standard-Setting Code of Good Practice Version 6.0

² ISO/IEC 17065:2012. Conformity assessment — Requirements for bodies certifying products, processes and services

³ Certified facilities can source whole fish and by-products that are not MarinTrust approved but these are excluded from the scope of MarinTrust certification and must be kept fully segregated from approved whole fish and by-products.

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4. The development of V3

The MarinTrust whole fish assessment criteria and methodology were first developed in 2009, and version 2 (V2) was released in 2017. In line with the [Terms of Reference](#) for the development of V3 of MarinTrust Standard, MarinTrust has been improving the whole fish fishery assessment with the objective to:

- Strengthen the approval criteria for whole fish fisheries in line with the Standard,
- Review the intent and ensure it remains aligned with key principles of the FAO Code of Conduct for Responsible Fisheries and
- Review the design of the Management Framework criteria to assess the extent to which the key goals of the Standard are being achieved in the whole fish fishery assessments.

A comprehensive review of the V2 whole fish fishery assessment started in 2021 and has been guided by the [Fisheries Development Oversight Committee](#) (an independently chaired MarinTrust governance committee). The review confirmed that the intent of the whole fish fishery assessment remains consistent with the MarinTrust Standard. Opportunities to improve the structure and flow of the assessment, and strengthen the existing Management and Ecosystem Impact criteria were identified.

Improvements to the Management Framework section included updates to monitoring control and surveillance (MCS) clauses, to better reflect global best practice Ecosystem clauses were revised to improve the structure and consistency of the assessment. Various iterations have been trialled and revised during the development.

- In 2022, workshops with experts were held to develop the Management and Ecosystem sub-criteria.
- In January 2023, pilots by certification body fishery assessors were done. Pilots allowed testing to check if the criteria are easy to implement, that consistent outcomes are achieved and that the methodology is auditable.
- Additional pilot testing is underway (May 2023).

The pilots found that the new structure improved the logical flow of the assessment and would result in less misevaluation. In addition, pilots identified that currently approved fisheries tested can continue to meet the criteria (i.e. the performance bar was not deliberately or unintentionally raised).

5. Main changes in V3

This section provides an overview of the main changes between V2 and Draft V3. The proposed revisions of V3 aim to strengthen the assessment process and maintain the intent of the whole fish fishery assessment.

Intent: Whole fish raw materials do not come from IUU fishing activity, are not an endangered species, and are from responsibly managed fisheries aligned to the FAO Code of Conduct for Responsible Fisheries.

5.1 Key changes

The key requirements remain the same as the V2, following the same modular assessment structure (see Figure 1).

Across Draft V3, several general improvements have been made including the removal of duplication, improved wording/clarity, consistency in terminology and improved auditability by introducing sub-clauses. Key changes focussed on the Management and Ecosystem Impacts section. The species categorisation and assessment criteria (Categories A, B, C and D) remain unchanged.

- The Management and Ecosystem Impacts criteria have been improved by restructuring the clauses and introducing sub-clauses. Sub-clauses come from information already used to assess the fisheries management framework and make formal the information previously provided in the assessment guidance.
- Management clauses have been combined, resulting in 8 main clauses, compared to 10 in V2. 26 sub-clauses have been introduced.
- The Ecosystem Impact criteria (previously Further Impacts section) has been similarly structured, introducing sub-clauses to support the consistent assessment of ETP, Habitat and Ecosystem impact clauses. There are now 9 main clauses and 18 sub-clauses.
- The majority of sub-clauses must be met for each main clause for the assessor to determine a pass for a main clause.

Appendix 1 provides a more detailed summary of the proposed Draft V3. A full draft of the criteria, methodology and guidance is made public to support this consultation.

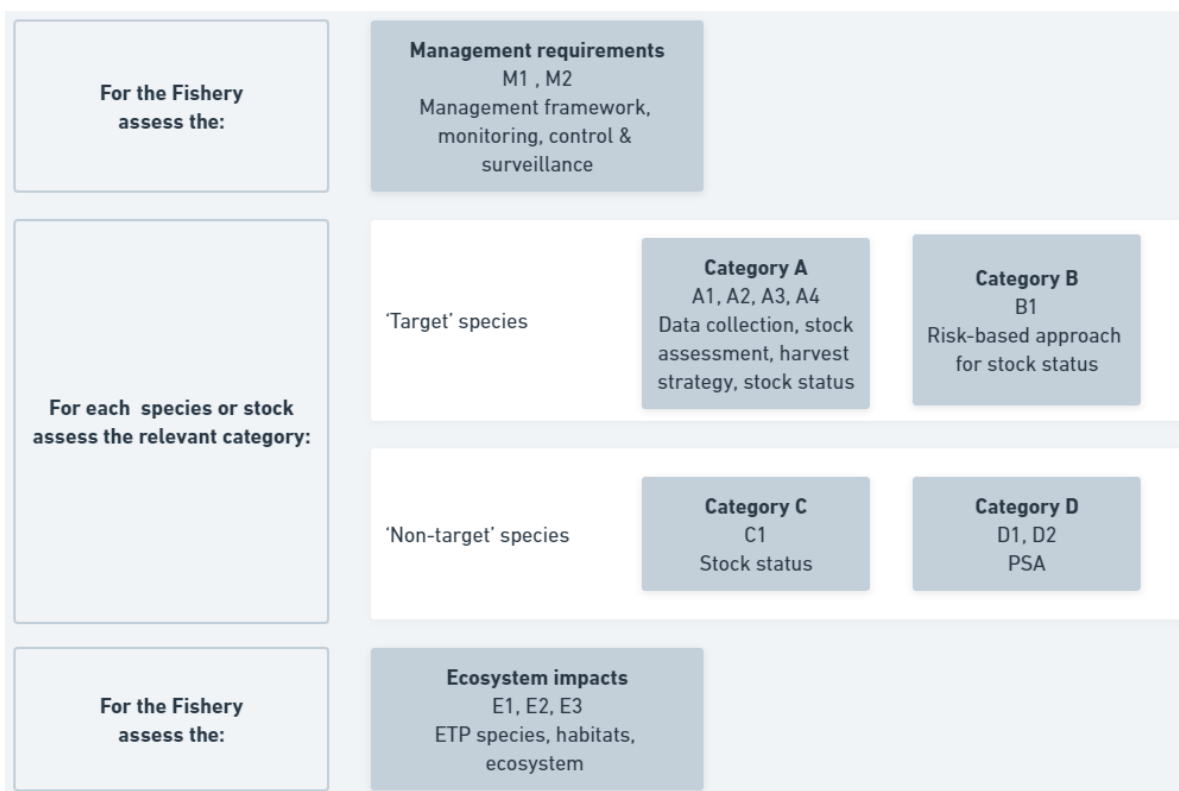


Figure 1: Modular structure of the MarinTrust whole fish fishery assessment.

6. Overview of the public consultation process

Draft standards are required to be published for a 60-day public consultation period to enable all stakeholders to provide feedback about the standard, the individual clauses, the relevant supporting information etc. This is an invaluable part of the development process, ensuring V3 is credible and fit for purpose.

6.1 Access to content for the public consultation

Go to the [public consultation](#) page of the MarinTrust website to download the relevant materials listed in Table 1.

Table 1: List of files for V3 public consultation

	Filename	Location of all files
1	MarinTrust DRAFT V3 whole fish fishery assessment – public consultation guide (this document)	https://www.marin-trust.com/public-consultations
2	MarinTrust DRAFT V3 whole fish fishery assessment – full draft PDF	
3	MarinTrust DRAFT V3 raw material sourcing – Excel clauses for public consultation (whole fish & by-product feedback)	

The Excel file is structured with an introduction page to explain the file and separate sections for feedback on the by-product and whole fish fishery assessment criteria.

The 'MarinTrust DRAFT V3 raw material sourcing – Excel clauses for public consultation' document contains detailed clauses and space to provide comments/feedback. It is advisable to read the 'MarinTrust DRAFT V3 whole fish fishery assessment – full draft PDF document first, followed by the supporting documents.

6.2 Requirements for responses

To ensure fairness in the consultation process it is important to have consistent principles in place.

- Responses are required to have the full contact information – anonymous or incomplete spreadsheets will not be accepted.
- Responses received after the published deadline will not be accepted.
- As the principal language of the Standard is English, documents are in English. We are able to accept responses in English and Spanish. However, if you require further support to engage in this consultation please contact standards@marin-trust.com and we will do our best to accommodate your request.
- Submissions must be made using only the two ways provided (see Section 6.3).

6.3 How to respond

There are two ways to respond:

1. Survey: read the information and answer a set of comprehensive questions to provide your general views about the V3 draft.
2. Detailed feedback using the Excel file which contains the clauses and section for feedback for each clause. When completed this must be sent to standards@marin-trust.com by the deadline published on the MarinTrust webpage.

7. Next steps

Following the closing date of the public consultation, all comments and feedback will be collated by the MarinTrust team. Initial analysis will be undertaken including identifying common trends or issues and new suggestions.

The feedback from the public consultation will be reviewed by the relevant governance committee within MarinTrust. Their advice will be sought on how to respond to each area

of feedback. The GBC will review the respective committee’s proposals and agree to the final content of V3 This is expected in Quarter 4 (October-December), 2023.

Feedback from public consultation and the MarinTrust response must be published. This will be available on the MarinTrust website in due course. No personal information from any responses will be published, however, details of an organisation’s name and/or sector will be included.

Appendix 1

A further, and more detailed, summary of changes between V2 and V3 of the MarinTrust whole fish fishery assessment criteria is provided in this section. The draft V3 assessment methodology follows a modular process (Figure 1); this is summarised below.

Pre-requisite for whole fish raw materials:

1. Whole fish are from wild capture fisheries.
2. Whole fish cannot be marine mammals, amphibians, reptiles, or birds.

Table 2: Summary of Draft V3 whole fish fishery assessment criteria.

Intent:	Eradicate IUU fishery products being used as raw material for MarinTrust certified marine ingredients. Ensure that whole fish used in the production of marine ingredients is sourced from responsibly managed fisheries, as defined by the FAO code of conduct of responsible fisheries.
Outcome:	Fish do not come from fisheries that have a high risk of IUU fishing activity. There is strong evidence that the fishery is not putting the species at risk of over-exploitation. The fishery does not have a significant negative impact on the ecosystem (ETP species, habitat or wider ecosystem).
Criteria:	Assess the effectiveness of the general management regime of the fishery. Assess the fishery impact on the target and non-target species. Assess the ecosystem impacts of the fishery.

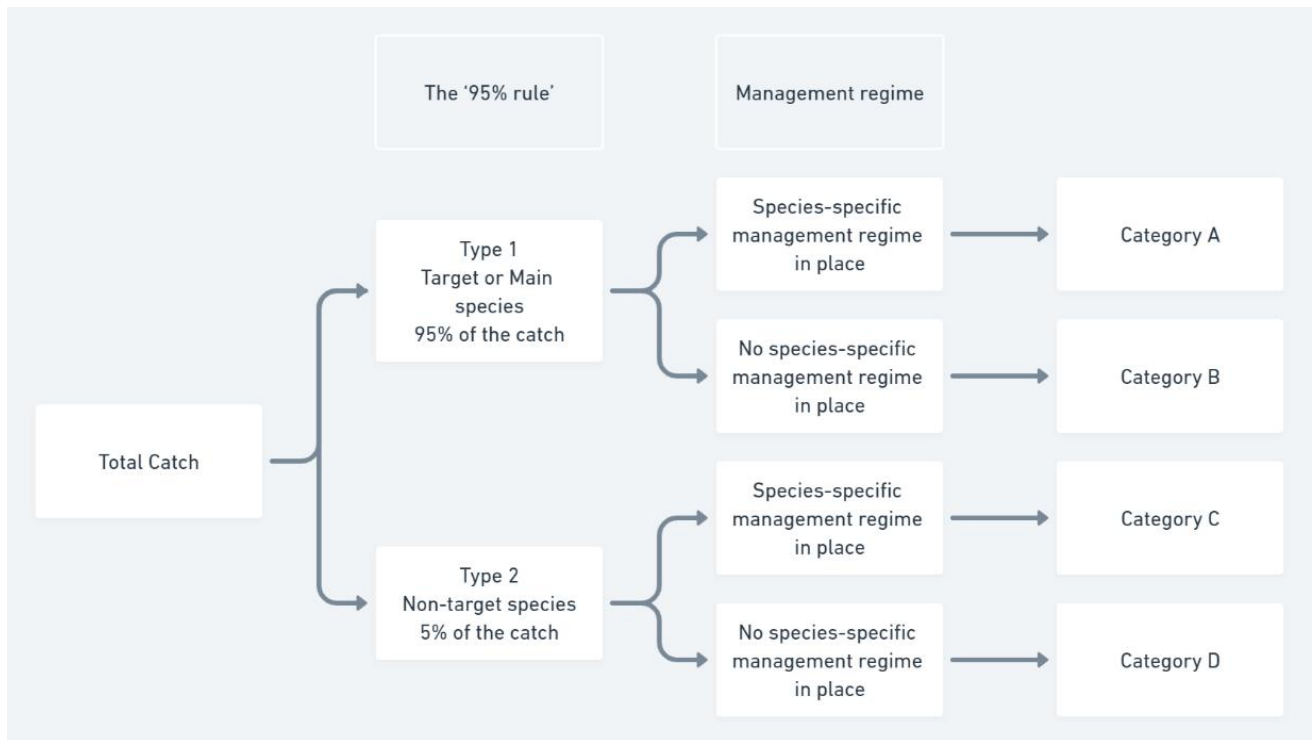


Figure 2: Decision tree to support the species categorisation for Whole fish fishery assessment

Table 3: Summary of changes between V2 and Draft V3 MarinTrust whole fish fishery assessment criteria.

Clauses in V2	Summary of changes between V2 and V3	Proposed clauses/sub-clauses Draft V3
Section 1: Management Criteria		
M1.1 There is an organisation responsible for managing the fishery.	No change to the main clause text. Introduce 3 new sub-clauses.	M1.1 There is an organisation responsible for managing the fishery
		M1.1.1 The management and administration organisations within the fishery are clearly identified.
		M1.1.2 The functions and responsibilities of the management organisation include the overall regulation, administration, science and data collection and enforcement roles and are documented and publicly available

Clauses in V2	Summary of changes between V2 and V3	Proposed clauses/sub-clauses Draft V3
		M1.1.3 Fishers have access to information and/or training materials through nationally recognised organisations.
M1.2 There is an organisation responsible for collecting data and assessing the fishery.	The main clause text was updated to better reflect the intent of science-based assessment. In the V3 draft, this main clause number has changed to 1.3 (re-structure). Introduce 3 new sub-clauses	<p>M1.2 Fishery management organisations are legally empowered to take management actions</p> <p>M1.2.1 There are legal instruments in place to give authority to the management organisation(s) which can include policies, regulations, acts or other legal mechanisms.</p> <p>M1.2.2 There is a system for managing fishery entry such as through licensing or permitting.</p> <p>M1.2.3 The management system has a mechanism in place for the resolution of legal disputes (e.g. to deal with transboundary species issues).</p> <p>M1.2.4 The legal framework has fishery-specific regulations and rules and can amend/adapt these as required (e.g. quota setting).</p> <p>M1.2.5 There is evidence of the legal rights of people dependent on fishing for food or livelihood.</p>
M1.3 Fishery management organisations are publicly committed to sustainability.	New clause text. Reflects intent to have a management system based on principles of sustainability and a precautionary approach. In the V3 draft, this main	<p>M1.3 There is an organisation responsible for collecting data and (scientifically) assessing the fishery.</p> <p>M1.3.1 The organisation(s) responsible for collecting data</p>

Clauses in V2	Summary of changes between V2 and V3	Proposed clauses/sub-clauses Draft V3
	<p>clause number has changed to 1.4 (re-structure).</p> <p>Introduce 2 new sub-clauses.</p>	<p>and assessing the fishery is clearly identified.</p> <p>M1.3.2 Data relevant to the management of the fishery is collected consistently and maintained.</p> <p>M1.3.3 Evaluation of stock size is conducted through formal assessment approaches with fishery-related scientific information documented and publicly available.</p> <p>M1.3.4 The management system receives scientific advice regarding stock, non-target species and ecosystem status.</p> <p>M1.3.5 Scientific advice is independent from the management organisations and transparent in its formulation through a clearly defined process</p>
<p>M1.4 Fishery management organisations are legally empowered to take management actions.</p>	<p>No change to the main clause text. In the V3 draft, this main clause number has changed to 1.2 (re-structure). Introduce 6 new sub-clauses.</p>	<p>M1.4 The fishery management system is based on the principles of sustainable fishing and a precautionary approach</p> <p>M1.4.1 A policy or long-term management objective for sustainable harvesting based on the best scientific evidence and a precautionary approach is publicly available and implemented for the fishery</p> <p>M1.4.2 There is evidence of adaptive management, and it is based on sustainable exploitation.</p>

Clauses in V2	Summary of changes between V2 and V3	Proposed clauses/sub-clauses Draft V3
<p>M1.5 There is a consultation process through which fishery stakeholders are engaged in decision-making.</p>	<p>Merged main clauses 1.5 and 1.6. New clause text to better reflect the intent that there is a clearly defined decision-making process, that is</p>	<p>M1.5 There is a clearly defined decision-making process which is transparent, with processes and results made publicly available</p>
<p>M1.6 The decision-making process is transparent, with processes and results publicly available.</p>	<p>transparent, with processes and results made publicly available. Introduce 3 new sub-clauses</p>	<p>M1.5.1 There is participatory engagement through which fishery stakeholders and other stakeholders can access, provide information, consult with, and respond to, the management systems' decision-making process.</p> <p>M1.5.2 The decision-making process is transparent, with results made publicly available.</p> <p>M1.5.3 The fishery management system is subject to periodic internal or external review to validate the decision-making process, outcomes and scientific data.</p>
<p>M2.1 There is an organisation responsible for monitoring compliance with fishery laws and regulations.</p>	<p>No change to the main clause text. Introduce 3 new sub-clauses.</p>	<p>M2.1 There is an organisation responsible for monitoring compliance with fishery laws and regulations</p> <p>M2.1.1 There is an organisation responsible for monitoring compliance with specific monitoring, control and surveillance (MCS) mechanisms in place.</p> <p>M2.1.2 There are relevant tools/mechanisms used to minimise IUU activity.</p> <p>M2.1.3 There is evidence of monitoring and surveillance activity appropriate to the intensity, geography, management control</p>

Clauses in V2	Summary of changes between V2 and V3	Proposed clauses/sub-clauses Draft V3
		measures and compliance behaviour of the fishery.
<p>M2.2 There is a framework of sanctions which are applied when laws and regulations are discovered to have been broken.</p>	<p>Main clause text updated to better reflect intent/language. Introduce 3 new sub-clauses.</p>	<p>M2.2 There is a framework of sanctions which are applied when infringements against laws and regulations are discovered</p> <p>M2.2.1 The laws and regulations provide for penalties or sanctions that are adequate in severity to act as an effective deterrent</p> <p>M.2.2.2 There is no evidence of systematic non-conformance.</p>
<p>M2.3 There is no substantial evidence of widespread non-compliance in the fishery, and no substantial evidence of IUU fishing.</p>	<p>Main clause text updated to better reflect intent/language. Introduce 3 new sub-clauses.</p>	<p>M2.3 There is substantial evidence of widespread compliance in the fishery, and no substantial evidence of IUU fishing.</p> <p>M2.3.1 The level of compliance is documented and updated routinely, statistically reviewed and available (e.g. % infringements by category/segment) and demonstrates widespread compliance in the fishery, relevant to the fleet and segments, and there is evidence of no substantial IUU.</p> <p>M2.3.2 Fishers provide additional information and cooperate with managers/enforcement agencies to support the effective management of the fishery.</p> <p>M2.3.3 The catch recording and reporting system is sufficient for the effective traceability of catches per</p>

Clauses in V2	Summary of changes between V2 and V3	Proposed clauses/sub-clauses Draft V3
		vessel and supports the prevention of IUU.
M2.4 Compliance with laws and regulations is actively monitored, through a regime which may include at-sea and portside inspections, observer programmes, and VMS.	Merged with main clause M2.1 and sub-clauses M2.1.3 and M2.3.1.	Merged (see changes).
Section 2: Species Assessments (categories)		
Category A species	No change	No change.
Category B species	No change	
Category C species (C1, C2)	No change	
Category D species (D1, D4)	The Productivity Susceptibility Analysis is updated with some methodology changes to reflect the most recent Marine Stewardship Council PSA V3. Minor changes, that should not affect the outcome of MarinTrust assessments. Numbering has changed.	
Section 3: Ecosystem Impacts		
F1 Impacts on ETP Species - Minimum Requirements		E1 - Impacts on ETP species - Minimum Requirements
F1.1 Interactions with ETP species are recorded.	Revision to the main clause to better reflect intent and consistency in E clauses, for information to be collected. Introduce 3 new sub-clauses.	E1.1. Information on interactions between the fishery and ETP species is collected E1.1.1: ETP species which may be directly affected by the fishery have been identified. E1.1.2: Interactions between the fishery and ETP species are recorded and reported to management organisations.

Clauses in V2	Summary of changes between V2 and V3	Proposed clauses/sub-clauses Draft V3
		E1.1.3: Collection and analysis of ETP information is adequate to provide a reliable indication of the impact the fishery has on ETP species.
F1.2 There is no substantial evidence that the fishery has a significant negative effect on ETP species.	Revision to main clause text to better reflect intent/language. Introduce 1 new sub-clause.	E1.2. The fishery has no significant negative impact on ETP species. E1.2.1: The information collected in relation to E1.1.3 indicates that the fishery does not have a significant negative impact on ETP species.
F1.3 If the fishery is known to interact with ETP species, measures are in place to minimise mortality.	Revision to the main clause to better reflect intent and consistency in E clauses, that a management strategy is in place. Introduce 2 new sub-clauses.	E1.3. There is an ETP management strategy in place for the fishery. E1.3.1: There are measures applied to the fishery which are designed to manage the impacts of the fishery on ETP species. E1.3.2: The measures are considered likely to achieve the objectives of regional, national and international legislation relating to ETP species.
F2 Impacts on Habitats - Minimum Requirements		E2 - Impacts on Habitats - Minimum Requirements
F2.1 Potential habitat interactions are considered in the management decision-making process.	Revision to the main clause to better reflect intent and consistency in E clauses, for information to be collected. Introduce 2 new sub-clauses.	E2.1. Information on interactions between the fishery and marine habitats is collected. E2.1.1: Habitats which may be directly affected by the fishery have been identified, including any habitats which may be particularly vulnerable. E2.1.2: Information on the scale, location and intensity of

Clauses in V2	Summary of changes between V2 and V3	Proposed clauses/sub-clauses Draft V3
		<p>fishing activity relative to habitats is collected.</p> <p>E2.1.3: Collection and analysis of habitat information is adequate to provide a reliable indication of the impact the fishery has on marine habitats.</p>
<p>F2.2 There is no substantial evidence that the fishery has a significant negative impact on physical habitats.</p>	<p>Revision to main clause text to better reflect intent/language. Introduce 1 new sub-clause.</p>	<p>E2.2. The fishery has no significant impact on marine habitats.</p> <p>E2.2.1: The information collected in relation to E2.1.3 indicates that the fishery does not have a significant negative impact on marine habitats.</p>
<p>F2.3 If the fishery is known to interact with physical habitats, there are measures in place to minimise and mitigate negative impacts.</p>	<p>Revision to the main clause to better reflect intent and consistency in E clauses, that a management strategy is in place. Introduce 2 new sub-clauses.</p>	<p>E.2.3. There is a habitat management strategy in place for the fishery.</p> <p>E2.3.1: There are measures applied to the fishery which are designed to manage the impact of the fishery on marine habitats.</p> <p>E2.3.2: The measures are considered likely to prevent the fishery from having a significant negative impact on marine habitats.</p>
<p>F3 Ecosystem Impacts - Minimum Requirements</p>		<p>E3 - Ecosystem Impacts Minimum Requirements</p>
<p>F3.1 The broader ecosystem within which the fishery occurs is considered during the management decision-making process.</p>	<p>Revision to the main clause to better reflect intent and consistency in E clauses, for information to be collected. Introduce 3 new sub-clauses.</p>	<p>E3.1. Information on the potential impacts of the fishery on marine ecosystems is collected.</p> <p>E3.1.1: The main elements of the marine ecosystems in the area(s) where the fishery takes place have been identified.</p> <p>E3.1.2: The role of the species caught in the fishery within the marine ecosystem is</p>

Clauses in V2	Summary of changes between V2 and V3	Proposed clauses/sub-clauses Draft V3
		<p>understood, either through research on this specific fishery or inferred from other fisheries.</p> <p>E3.1.3: Collection and analysis of ecosystem information is adequate to provide an indication of the impact the fishery has on marine ecosystems.</p>
<p>F3.2 There is no substantial evidence that the fishery has a significant negative impact on the marine ecosystem.</p>	<p>No change to the main clause text. Introduce 1 new sub-clause.</p>	<p>E3.2. There is no substantial evidence that the fishery has a significant negative impact on the marine ecosystem.</p> <p>E3.2.1: The information collected in relation to E3.1.3 indicates that the fishery does not have a significant negative impact on marine ecosystems</p>
<p>F3.3 If one or more of the species identified during species categorisation plays a key role in the marine ecosystem, additional precaution is included in recommendations relating to the total permissible fishery removals.</p>	<p>Revision to the main clause to better reflect intent and consistency in E clauses, that a management strategy is in place. Introduce 2 new sub-clauses.</p>	<p>E3.3. There is an ecosystems management strategy in place for the fishery.</p> <p>E3.3.1: There are measures applied to the fishery which are designed to manage the impacts of the fishery on marine ecosystems.</p> <p>E3.3.2: The measures are considered likely to prevent the fishery from having a significant negative impact on marine ecosystems.</p>