Alaska Responsible Fisheries Management Certification Program

Guidance to Performance Evaluation for the Certification of Wild Capture and Enhanced Fisheries in Alaska

Version 1.1

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Role of the Alaska Seafood Marketing Institute

The Alaska Seafood Marketing Institute is a marketing organization with the mission of increasing the economic value of the Alaska seafood resource through:

• Increasing the positive awareness of the Alaska Seafood brand;

• Collaborative marketing programs that align ASMI and industry marketing efforts for maximum impact within the food industry;

• Long-term proactive marketing planning;

• Quality assurance, technical industry analysis, education, advocacy and research;

• Prudent, efficient fiscal management.

ASMI is a public-private partnership between the State of Alaska and the Alaska seafood industry established to foster economic development of the State fisheries. ASMI is playing a key role in the repositioning of Alaska's seafood industry as a competitive market-driven food production industry. Its work to boost the value of Alaska's seafood product portfolio is accomplished through partnerships with retail grocers, foodservice distributors, restaurant chains, foodservice operators, universities, culinary schools, and the media. It conducts consumer campaigns, public relations and advertising activities, and aligns with industry efforts for maximum effectiveness. ASMI also functions as a brand manager of the Alaska Seafood family of brands.

Purpose of this Publication

This publication describes the guidance for assessment used in the evaluation of applicant fisheries to the Alaska Responsible Fisheries Management (RFM) Certification Program. Included are the specific performance levels for each clause given in the Conformance Criteria of the Alaska RFM Program that must be met to demonstrate certification status. Successful applicants will be awarded the claim of *a responsibly managed fishery for sustainable use*.

In combination with the normative documents of the accredited certification program, this publication will provide 1) recommendations for assessors operating on behalf of qualified certification bodies regarding consistent application of performance evaluation of fisheries against the Alaska RFM Conformance Criteria, 2) understanding of how levels of conformance for a given fishery are derived, 3) guidance to assessors for evaluating fishery applicants, and 4) guidance to fishery applicants regarding certification requirements.

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I. Guidance to Performance Evaluation

a. Conformance Criteria, Confidence Ratings, and Performance Evaluation Outcomes

In the Alaska Responsible Fisheries Management (RFM) assessment process, clauses of the conformance criteria are scored using confidence ratings. A high confidence rating signifies full conformance to a clause. A medium confidence rating results from either gaps in information to demonstrate conformance to a clause, which may be clarified during the certification process, or from limited evidence of conformance to a clause. A low confidence rating signifies absence of evidence. A nonconformance (NC) is assigned when evidence or information acquired is insufficient to meet the intent of the clause (Table 1). Detailed explanations are provided below.

Full Conformance – High Confidence Rating

Sufficient information/evidence is available to demonstrate full conformance to a clause. In these cases a high confidence rating is assigned. Sufficient evidence is that which allows objective determination by the Assessment Team that a fishery fully complies with a given clause in the Alaska RFM Conformance Criteria.

Minor Non-Conformance – Medium Confidence Rating

Information/evidence is broadly available to demonstrate conformance to a clause although there are limited gaps in information that, if available, could clarify aspects of conformance and allow the Assessment Team to assign a high confidence rating. In these cases, a minor improvement is needed to achieve full conformance. For a medium confidence rating, a minor nonconformance is assigned. The Assessment Team will request further clarification of information with the Applicant and management organizations and this may result in the assignment of full conformance to a clause.

Major Non-Conformance – Medium Confidence Rating

Information/evidence is limited to demonstrate conformance to a clause. In these cases, a major improvement is needed to achieve full conformance. For a medium confidence rating, a major nonconformance is assigned. The Assessment Team will request further clarification of information with the Applicant and management organizations to confirm the nonconformance. Where further, substantive evidence is made available, assignment of either minor nonconformance or full conformance to a clause may occur.

Critical Non-Conformance – Low Confidence Rating

Information/evidence is completely absent or contradictive to demonstrate conformance to a clause. Absence of information/evidence results in a low confidence rating. In these cases, a critical nonconformance is assigned. A critical nonconformance will stop the certification assessment, unless the Applicant is able to provide information/evidence that demonstrates higher conformance of the fishery than that initially assessed.

Table 1. Definitions of performance evaluation outcomes

	Definition
Full Conformance	When full conformance to the requirements of a clause is demonstrated.
Minor Non-Conformance	When a minor gap in information/evidence required that demonstrates full conformance to a clause is determined.
Major Non-Conformance	When a major gap in information/evidence required that demonstrates full conformance to a clause is determined.
Critical Non-Conformance	When a complete absence of information/evidence required that demonstrate full conformance to a clause is determined.

Table 2 presents the nonconformance limits before a fishery fails assessment. A critical nonconformance results in the fishery failing the assessment.

Table 2. Fishery fails thresholds per conformance criteria category.

<table>
<tr><th>Category of conformance criteria</th><th>No. of clauses</th><th colspan="3">Maximum no. of nonconformances (NC) allowed per category</th></tr>
<tr><td></td><td></td><td>Critical NC</td><td>Major NC</td><td>Minor NC</td></tr>
<tr><td>A) Fishery Management System</td><td>39</td><td rowspan="6">No Critical NC are allowed;
1 Critical NC = Fail.</td><td rowspan="6">1 Major NC allowed per Category (A-F).</td><td rowspan="6">3 Minor NCs allowed per Category (A-F).</td></tr>
<tr><td>B) Science and Stock Assessment Activities</td><td>25</td></tr>
<tr><td>C) The Precautionary Approach</td><td>11</td></tr>
<tr><td>D) Management Measures</td><td>24</td></tr>
<tr><td>E) Implementation, Monitoring and Control</td><td>10</td></tr>
<tr><td>F) Serious Impacts of the Fishery on the Ecosystem</td><td>28</td></tr>
<tr><td>SUM Categories A-F (see above)</td><td>137</td><td>No Critical NC are allowed;
1 Critical NC= Fail.</td><td>Up to 6 Major NCs (provided no more than 1 Major NC in any one category) See Table 3.</td><td>Up to 18 Minor NCs (provided no Major NC in the same category and no more than 3 Minor NCs in any one category) See Table 3.</td></tr>
</table>

b. Performance Evaluation Parameters

In the assessment process, each clause is associated with scoring guidance to ensure continuity and consistency across fisheries and Assessment Teams. Scoring is based on a systematic approach to the assessment of the fishery against each clause using a series of Evaluation Parameters (EPs): Process, Current Status and Effectiveness, and Evidence Basis. These are considered of equal importance and are scored using the categories previously discussed (high confidence rating = full conformance; medium

confidence rating = minor or major nonconformance; low confidence rating = critical nonconformance). These EPs break down a clause using the performance related parameters below.

Process

This EP requires that evidence is provided on the process or system used by a fishery management organisation to implement or maintain key aspects of fishery management practices. Examples may include systems for data collection, laws and regulations, stock assessment, and enforcement. If evidence on the current process/system of a given process-based requirement is scarce or nonexistent, then this EP is not satisfied resulting in nonconformance.

Current Status/Appropriateness/Effectiveness

This EP requires that the current status, appropriateness and effectiveness of an aspect of fisheries management practices are demonstrated. Examples include data collected, results of stock assessment including stock status, and enforcement data. If evidence on the current status/effectiveness of a given output-based requirement is scarce or nonexistent, then this EP is not satisfied resulting in nonconformance.

Evidence Basis

This EP requires that the availability/quality/adequacy of the evidence that is the base for scoring a given clause is assessed. If evidence availability (e.g., studies, reports, other data, and regulations) is scarce, low quality or nonexistent, then this EP is not satisfied resulting in nonconformance.

The Assessment Team follows these guidelines when scoring a clause:

- **If all EPs are satisfied, the clause is scored with a *High Confidence Rating* (Full Conformance).**
- **If one EP is not satisfied, the clause is scored with a *Medium Confidence Rating* (Minor Non-Conformance).**
- **If two EPs are not satisfied, the clause is scored with a *Medium Confidence Rating* (Major Non-Conformance).**
- **If more than two EPs are not satisfied, the clause is scored with a *Low Confidence Rating* (Critical Non-Conformance).**

For some conformance criteria, not all EPs are applicable. This is because not all Conformance Criteria clauses require the presence of a process (e.g., a formal procedure), and not all clauses require an evaluation of the current status, the appropriateness and the effectiveness of the subject matter. The balance depends on the construction of the clause and its requirements. For instance, Current status/Appropriateness/Effectiveness can be used in combination or individually, depending on the relevance to the clause. Finally, all clauses require the evaluation of the quality and adequacy of the Evidence Basis and this EP is consistent throughout all clauses. When one EP is not required, guidance is structured so that the balance of requirements of other EPs is always three or more. In this way, a balance of requirements for each clause is provided for the scoring process.

II. Guidance to Performance Evaluation for Alaska RFM Conformance Criteria

A. The Fisheries Management System

1. There shall be a structured and legally mandated management system based upon and respecting international, national and local fishery laws, for the responsible utilization of the stock under consideration and conservation of the marine environment.

FAO CCRF 7.1.3, 7.1.4, 7.1.9, 7.3.1, 7.3.2, 7.3.4, 7.6.8, 7.7.1, 10.3.1; FAO ECO 28

1.1 There shall be an effective legal and administrative framework established at local and national level appropriate for fishery resource conservation and management.

FAO CCRF 7.7; FAO ECO 28

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
The legal and administrative framework is **not** effective, established, and appropriate for fishery resource conservation and management. **Lacking in all parameters.**	The legal and administrative framework is **insufficiently** effective, established, and appropriate for fishery resource conservation and management. **Lacking in two parameters.**	The legal and administrative framework is **moderately** effective, established, and appropriate for fishery resource conservation and management. **Lacking in one parameter.**	Effective legal and administrative framework established at the local and national level is appropriate for fishery resource conservation and management. **Fulfils all parameters.**

Evaluation Parameters

Process: Assures management agencies are physically and legally established at local and national level.

Current status: Assures the output of the management organization(s) is in line with fishery resource management needs. Examples may include rule making, scientific research, stock and ecosystem assessments, implementation of rules and regulations, and enforcement activities.

Appropriateness/Effectiveness: Assures the management framework is appropriate for managing the resource. For example, the larger the exploitation, vulnerability, or risks of a fish stock, the more work and precision should be focused in managing the resource. This should be done in compliance with legislative and regulatory requirements at the local and national level. The management system should not be subject to continual unresolved or repeated disputes or political instability.

Evidence Basis: Evaluate availability, quality, and adequacy of the evidence. Examples may include fishery management plans or other relevant information.

1.2 Management measures shall take into account the whole stock unit over its entire area of stock distribution.

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
Management measures do **not** take into account the whole stock unit over its entire area of stock distribution. **Lacking in all parameters.**	Management measures **insufficiently** take into account the whole stock unit over its entire area of stock distribution**.** **Lacking in two parameters.**	Management measures **moderately** take into account the whole stock unit over its entire area of stock distribution**.** **Lacking in one parameter.**	Management measures take into account the whole stock unit over its entire area of stock distribution. **Fulfils all parameters.**

Evaluation Parameters

Current Status/Appropriateness: If a biological stock unit extends over the jurisdiction of two or more countries to whatever degree, then exploitation by all parties should be considered to define exploitation levels and stock health to avoid overfishing/depletion of the resource.

Effectiveness: Assessment of structure and composition contributing to its resilience over its entire distribution area. The underlying objective is to preserve genetic variability between and within species, and avoid localized depletions (overall affecting the stock contributing to its resilience and stability). This assessment should consider, when appropriate, demographic independence of populations or stocks (i.e., if a component stock of a species is demographically independent from another because it is genetically different, has significant difference in age-structure, or if there is insignificant exchange among groups due to distance environmental barriers, or other reasons).

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include the presence of genetic studies, age-structure data, or other relevant information confirming the biological unit of the stock.

1.2.1 The area through which the species migrates during its life cycle shall be considered by the management system.

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
Migration during life cycle is **not** considered. **Lacking in all parameters.**	Migration during life cycle is **insufficiently** considered. **Lacking in two parameters.**	Migration during life cycle is **moderately** considered. **Lacking in one parameter.**	The area through which the species migrates during its life cycle is considered by the management system. **Fulfils all parameters.**

Evaluation Parameters

Current Status/Appropriateness: The species undergoes significant feeding or ontogenic migration. This parameter should consider that significant migration may take a species outside the jurisdiction of the managing agency.

Effectiveness: The species may spend a portion of its life (migration for feeding, growth or reproduction) in both fresh saltwater, in international waters or in another country's jurisdiction, and may suffer mortality or other pressures. Overall, this consideration contributes to managing responsibly the whole stock biological unit. Describe how this is accounted for when assessing stock health.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include tagging or other studies confirming fish distribution in space and time.

1.2.2 The biological unity and other biological characteristics of the stock shall be considered within the management system.

ECO 30.3

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
The biological unity and other biological characteristics are **not** considered. **Lacking in all parameters.**	The biological unity and other biological characteristics are **insufficiently** considered. **Lacking in two parameters.**	The biological unity and other biological characteristics are **moderately** considered. **Lacking in one parameter.**	The biological unity and other biological characteristics of the stock are considered within the management system. **Fulfils all parameters.**

Evaluation Parameters

Consideration of biological unity and status: See guidance for clause 1.2.

Consideration of biological characteristics: Biological characteristics of the stock describe parameters such as the vulnerability of the stock to the fishery (growth, fecundity, reproduction, lifespan, spawning cycle, population dynamics, impact of gear type, essential habitat(s) needs and availability). Where life cycle and biological characteristics may be unknown, the management system may achieve higher scores based upon these uncertainties factored within the precautionary approach to assessment and managing practices.

Current Status/Effectiveness: Assure the parameters used are appropriate and conducive for management.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include various biological studies highlighting key life cycle or other important aspects of the species.

1.2.3 All fishery removals and mortality of the target stock(s) shall be considered by management.

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
There is **no** consideration of all fishery removals. **Lacking in all parameters.**	There is **insufficient** consideration of all fishery removals. **Lacking in two parameters.**	There is **moderate** consideration of all fishery removals. **Lacking in one parameter.**	All fishery removals and mortality of the target stock(s) are considered by management. **Fulfils all parameters.**

Evaluation Parameters

Process: There is a system to collect mortality and removals data of the target stock.

Current Status/Appropriateness/Effectiveness: There are appropriate and reliable data collection and estimation methods. Such data include landings and discards (and waste) by directed as well as other (nondirected) fisheries and natural mortality. Overall, the data collection system is considered effective.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include data from landing reports, observer and survey data.

1.2.4 Previously agreed management measures established and applied in the same region shall be taken into account by management.

FAO CCRF 7.3.1

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
Previously agreed management measures established and applied in the same region are **not** considered. **Lacking in all parameters.**	Previously agreed management measures established and applied in the same region are **insufficiently** considered. **Lacking in two parameters.**	Previously agreed management measures established and applied in the same region are **moderately** considered. **Lacking in one parameter.**	Previously agreed management measures established and applied in the same region are taken into account by management. **Fulfils all parameters.**

Evaluation Parameters

Taken into account means "included and accounted in the basis of management decisions". Previous decisions can be reneged, altered and up-dated or maintained intact but must be included in the decision making process. Not taken into account may refer to management measures that are ignored although may be still legally binding in the fishery.

Process: There is a process or system that allows the continuity and updating of previously agreed and implemented management measures. Examples may include a specific review process or management plan where these measures can be clearly identified and continued implementation and updating can be carried out.

Current Status/Appropriateness/Effectiveness: Previously agreed-upon management measures established and applied in the same region are included and part of current management decisions. Examples may include international or other agreements not honoured by the management system or a management agency. The management system is effectively continuing implementation of agreed management measures.

Evidence Basis: Documentary evidence is available supporting the above.

1.3 Where transboundary, straddling or highly migratory fish stocks and high seas fish stocks are exploited by two or more States, the applicant management organizations concerned shall cooperate and take part in formal fishery commission or arrangements that have been appointed to ensure effective conservation and management of the stock(s) in question.

Low Confidence rating (Critical NC)	Medium Confidence Rating (Major NC0	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
There is **no** cooperation in formal fishery commission or arrangements that have been appointed to ensure effective conservation and management of the stock(s) in question.	There is **insufficient** cooperation in formal fishery commission or arrangements that have been appointed to ensure effective conservation and management of the stock(s) in question.	There is **moderate** cooperation in formal fishery commission or arrangements that have been appointed to ensure effective conservation and management of the stock(s) in question.	Where transboundary, straddling or highly migratory fish stocks and high seas fish stocks are exploited by two or more States, the applicant management organizations concerned cooperate and take part in formal fishery commission or arrangements that have been appointed to ensure effective conservation and management of the stock(s) in question.
Lacking in all parameters.	**Lacking in two parameters.**	**Lacking in one parameter.**	**Fulfils all parameters.**

Evaluation Parameters

Qualifies only if stock is either transboundary, straddling, highly migratory, or high seas. If not, this clause is NOT APPLICABLE. This clause is justified by the evidence provided in clause 1.2. Where sub-stocks are referred to as part of an overall stock there should be sufficient information on biology, distribution, and life cycle that demonstrates the degree of association or disassociation, and basis for the management approach taken, to prevent recruitment failure of the stock or other negative impacts that are likely to be irreversible or very slowly reversible.

Process: Cooperation exists.

Current Status/Appropriateness/Effectiveness: Cooperation ensures effective conservation and management (i.e., not overfished/overfishing) of the stock(s) in question.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include proof of formal agreements, records of meetings and decisions.

1.3.1 Conservation and management measures established for such stock within the jurisdiction of the relevant States for shared, straddling, high seas and highly migratory stocks, shall be compatible. Compatibility shall be achieved in a manner consistent with the rights, competences and interests of the States concerned.

FAO CCRF 7.1.3; Others 7.1.4, 7.3.2

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
There is **no** compatibility of management measures for the stock in question.	There is **insufficient** compatibility of management measures for the stock in question.	There is **moderate** compatibility of management measures for the stock in question.	Conservation and management measures established for such stock within the jurisdiction of the relevant States for shared, straddling, high seas and highly migratory stocks, are compatible. Compatibility is achieved in a manner consistent with the rights, competences and interests of the States concerned.
Lacking in all parameters.	**Lacking in two parameters.**	**Lacking in one parameter.**	**Fulfils all parameters.**

Evaluation Parameters

Qualifies only if stock is either transboundary, straddling, highly migratory, or high seas. If not, this clause is NOT APPLICABLE. This clause is justified by the evidence provided in clause 1.2. Compatibility of management measures does not mean identical management measures but the approach shall be consistent with respect to the overall management and conservation goals of the shared or straddling stock. This may include the following.

Process: Identification of common objectives for maintenance of stock biomass.

Current Status/Appropriateness/Effectiveness: Implementation of measures fit to achieve the common objectives mentioned above (i.e., similar harvest rates based on stock status, common rebuilding objectives for depleted stocks).

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include proof of formal agreements, records of meetings and decisions, stock assessment and other reports.

1.4 Organizations within the Management System shall cooperate with neighbouring coastal States with respect to common and shared fishery resources for their conservation and for the conservation of the environment.

FAO CCRF 10.3, 7.1.4, 7.1.5

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
There is **no** cooperation to conserve shared fishery resources and the environment.	There is **insufficient** cooperation to conserve shared fishery resources and the environment.	There is **moderate** cooperation to conserve shared fishery resources and the environment.	Organizations within the management system cooperate with neighbouring coastal states with respect to common and shared fishery resources for their conservation and for the conservation of the environment.
Lacking in all parameters.	**Lacking in two parameters.**	**Lacking in one parameter.**	**Fulfils all parameters.**

Evaluation Parameters

Qualifies only if stock is either transboundary, straddling, highly migratory, or high seas. If not, this clause is NOT APPLICABLE. This clause is justified by the evidence provided in clause 1.2.

Process: There is ongoing cooperation in stock assessment, data sharing, or other activities.

Current Status/Appropriateness/Effectiveness: This cooperation is indicative of well-managed resources (i.e., according to needs, the stock is in good health there are measures for protection of the environment).

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include reports detailing results of common surveys.

1.4.1 A State not member/participant of a sub-regional or regional fisheries management organization shall cooperate, in accordance with relevant international agreements and law, in the conservation and management of the relevant fisheries resources by giving effect to any relevant measures adopted by such organization/arrangement.

FAO CCRF 7.1.5

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
The non-member or participant State is **not** giving effect to any relevant measures adopted by such organization or arrangement.	The non-member or participant State is **insufficiently** giving effect to any relevant measures adopted by such organization or arrangement.	The non-member or participant State is **moderately** giving effect to any relevant measures adopted by such organization or arrangement.	The State non-member or participant of a sub-regional or regional fisheries management organization cooperates, in accordance with relevant international agreements and law, in the conservation and management of the relevant fisheries resources by giving effect to any relevant measures adopted by such organization or arrangement.
Lacking in all parameters.	**Lacking in two parameters.**	**Lacking in one parameter.**	**Fulfils all parameters.**

Evaluation Parameters

Qualifies only if stock is either transboundary, straddling, highly migratory, or high seas. If not, this clause is NOT APPLICABLE. This clause is justified by the evidence provided in clause 1.2.

Process: There is ongoing cooperation in stock assessment, data sharing, and other activities.

Current Status/Appropriateness/Effectiveness: Relevant measures are effected by non-member country.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include reports detailing results of common surveys or acceptable harvest rates.

1.4.2 States seeking to take any action through a non-fishery organization which may affect the conservation and management measures taken by a competent sub-regional or regional fisheries management organization or arrangement shall consult with the latter, in advance to the extent practicable, and take its views into account.

FAO CCRF 7.3.5

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
There is **no prior** consultation with the fisheries management organization/arrangement. **Lacking in all parameters.**	There is **insufficient** prior consultation with the fisheries management organization/arrangement. **Lacking in two parameters.**	There is **moderate** prior consultation with the fisheries management organization/arrangement. **Lacking in one parameter.**	The State seeking to take any action through a non-fishery organization which may affect the conservation and management measures taken by a competent sub-regional or regional fisheries management organization or arrangement consults with the latter, in advance to the extent practicable, and take its views into account. **Fulfils all parameters.**

Evaluation Parameters

Qualifies only if stock is either transboundary, straddling, highly migratory, or high seas. If not, this clause is NOT APPLICABLE. This clause is justified by the evidence provided in clause 1.2.

Process: There is a history of prior consultation.

Current Status/Appropriateness/Effectiveness: The views of the managing fishery organization are taken into account.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include reports detailing action taken by the state in question.

1.5 The Applicant fishery's management system shall actively foster cooperation between States with regard to 1) information gathering and exchange, 2) fisheries research, 3) fisheries management, and 4) fisheries development.

FAO CCRF 7.3.4

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
The Applicant fishery's management system does **not** actively foster cooperation between states. **Lacking in all parameters.**	The Applicant fishery's management system fosters **insufficient** cooperation between states with regard to information gathering and exchange, fisheries research, fisheries management, and fisheries development. **Lacking in two parameters.**	The Applicant fishery's management system fosters **moderate** cooperation between states with regard to information gathering and exchange, fisheries research, fisheries management, and fisheries development. **Lacking in one parameter.**	The Applicant fishery's management system **fosters active international cooperation** on fishery matters with regard to information gathering and exchange, fisheries research, fisheries management, and fisheries development. **Fulfils all parameters.**

Evaluation Parameters

Qualifies only if stock is either transboundary, straddling, highly migratory, or high seas. If not, this clause is NOT APPLICABLE. This clause is justified by the evidence provided in clause 1.2.

Process: The extent to which a formal process or system is available.

Current Status/Appropriateness/Effectiveness: Level of activity, application and level of engagement.

Evidence Basis: Outputs from activity (e.g., reports, minutes, common or collective themes).

1.6 States and sub-regional or regional fisheries management organizations and arrangements, as appropriate, shall agree on the means by which the activities of such organizations and arrangements will be financed, bearing in mind, *inter alia*, the relative benefits derived from the fishery and the differing capacities of countries to provide financial and other contributions. Where appropriate, and when possible, such organizations and arrangements shall aim to recover the costs of fisheries conservation, management and research.

FAO CCRF 7.7.4

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
The State and sub-regional or regional fisheries management organizations and arrangements, as appropriate do **not** agree on the means by which the activities of such organizations and arrangements are financed. **Lacking in all parameters.**	The State and sub-regional or regional fisheries management organizations and arrangements, as appropriate**, insufficiently** agree on the means by which the activities of such organizations and arrangements are financed. **Lacking in two parameters.**	The State and sub-regional or regional fisheries management organizations and arrangements, as appropriate**, moderately** agree on the means by which the activities of such organizations and arrangements are financed. **Lacking in one parameter.**	Agreement on the means by which the activities of such organizations and arrangements are financed. Where appropriate, and when possible, such organizations and arrangements aim to recover the costs of fisheries conservation, management and research. **Fulfils all parameters.**

Evaluation Parameters

Process: There is an agreed-upon system to finance the fishery management organizations and arrangements.

Current Status/Appropriateness/Effectiveness: The fishery management organizations and arrangements are currently financed using a cost recovery or other system.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include data showing the expenditure and cost recovery derived from fisheries management.

1.6.1 Without prejudice to relevant international agreements, States shall encourage banks and financial institutions not to require, as a condition of a loan or mortgage, fishing vessels or fishing support vessels to be flagged in a jurisdiction other than that of the State of beneficial ownership where such a requirement would have the effect of increasing the likelihood of non-compliance with international conservation and management measures.

FAO CCRF 7.8.1

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
The State **does** encourage banks and financial institutions to require, as a condition of a loan or mortgage, fishing vessels or fishing support vessels to be flagged in a jurisdiction other than that of the State of beneficial ownership.	The State **insufficiently** encourages banks and financial institutions not to require, as a condition of a loan or mortgage, fishing vessels or fishing support vessels to be flagged in a jurisdiction other than that of the State of beneficial ownership.	The State only **moderately** encourages banks and financial institutions not to require, as a condition of a loan or mortgage, fishing vessels or fishing support vessels to be flagged in a jurisdiction other than that of the State of beneficial ownership.	The State encourages banks and financial institutions not to require, as a condition of a loan or mortgage, fishing vessels or fishing support vessels to be flagged in a jurisdiction other than that of the State of beneficial ownership where such a requirement would have the effect of increasing the likelihood of non-compliance with international conservation and management measures.
Lacking in all parameters.	**Lacking in two parameters.**	**Lacking in one parameter.**	**Fulfils all parameters.**

Evaluation Parameters

Fishery for the stock under consideration occurs outside exclusive economic zone (EEZ), presence of flags of convenience, and evidence of IUU fishing. Not Applicable otherwise.

Process: There is a system that encourages banks to require vessels to be flagged outside the jurisdiction of interest.

Current Status/Appropriateness/Effectiveness: There is regulation that directs for vessels to be flagged outside the state's jurisdiction. The fishery for the stock under consideration occurs outside EEZ, and there are flags of convenience operations present, or evidence of illegal, unreported, and unregulated fishing.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include data showing fishery operation by vessels flying a flag different from that of the state where fishing geographically occurs.

1.7 Procedures shall be in place to keep the efficacy of current conservation and management measures and their possible interactions under continuous review to revise or abolish them in the light of new information.

- Review procedures shall be established within the management system.
- A mechanism for revision of management measures shall exist**.**

FAO CCRF 7.6.8

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
There are **no** procedures in place to review the efficiency of current conservation and management measures. **Lacking in all parameters.**	There are **insufficiently** effective procedures in place to review the efficiency of current conservation and management measures. **Lacking in two parameters.**	There are **moderately** effective procedures in place to review the efficiency of current conservation and management measures. **Lacking in one parameter.**	Procedures are in place to keep the efficacy of current conservation and management measures and their possible interactions under continuous review to revise or abolish them in the light of new information. **Fulfils all parameters.**

Evaluation Parameters

Process: There is a procedure to review management measures.

Current Status/Appropriateness/Effectiveness: Management measures are being revised.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include data showing recent regulation revisions.

1.8 The management arrangements and decision making processes for the fishery shall be organized in a transparent manner.

- Management arrangements.
- Decision making.

FAO CCRF 7.1.9

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
There is **no** transparency in management arrangements and decision making processes. **Lacking in all parameters.**	There is **insufficient** transparency in management arrangements and decision making processes. **Lacking in two parameters.**	There is **moderate** transparency in management arrangements and decision making processes. **Lacking in one parameter.**	The management arrangements and decision making processes for the fishery are organized in a transparent manner. **Fulfils all parameters.**

Evaluation Parameters

Current Status: There is transparency in management arrangements.

Effectiveness: There is transparency in decision making processes.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include records of the management arrangements and decision making processes.

1.9 Management organizations not party to the Agreement to promote compliance with international conservation and management measures by vessels fishing in the high seas shall be encouraged to accept the Agreement and to adopt laws and regulations consistent with the provisions of the Agreement.

FAO CCRF 8.2.6

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
There is **no** accepted Agreement and consistent laws and regulations. **Lacking in all parameters.**	The management system has accepted the Agreement but with **insufficient** adoption of consistent laws and regulations. **Lacking in two parameters.**	The management system has accepted the Agreement but with **moderate** adoption of consistent laws and regulations. **Lacking in one parameter.**	The Fishery Management organization is party to the Agreement to promote compliance with international conservation and management measures by vessels fishing in the high seas or has adopted laws and regulations consistent with the provisions of the Agreement. **Fulfils all parameters.**

Evaluation Parameters

Not Applicable if the fishery does not occur in high seas.

Process: The Agreement is accepted and relevant regulation adopted.

Current Status/Appropriateness/Effectiveness: These laws are regulating high seas fishing activity. Describe how they accomplish this.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include reports on the management of high seas fishing activities.

2. Management organizations shall participate in coastal area management institutional frameworks, decision-making processes and activities related to the fishery and its users, in support of sustainable and integrated resource use, and conflict avoidance.

FAO CCRF 10.1.1, 10.1.2, 10.1.4, 10.2.1, 10.2.2, 10.2.4

2.1 An appropriate policy, legal and institutional framework shall be adopted in order to achieve sustainable and integrated use of living marine resources, taking into account the fragility of coastal ecosystems, the finite nature of their natural resources and the needs of coastal communities.

FAO CCRF 10.1.1

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
An appropriate policy, legal and institutional framework is not adopted in order to achieve sustainable and integrated use of living marine resources**.** Fragility of coastal ecosystems, the finite nature of their natural resources and the needs of coastal communities are not being considered. **Lacking in all parameters.**	Policy, legal and institutional framework have been adopted but are **insufficient** to achieve sustainable and integrated use of living marine resources**.** Fragility of coastal ecosystems, the finite nature of their natural resources and the needs of coastal communities are **insufficiently** considered. **Lacking in two parameters.**	Policy, legal and institutional framework have been adopted but are **moderate** in achieving sustainable and integrated use of living marine resources**.** Fragility of coastal ecosystems, the finite nature of their natural resources and the needs of coastal communities are **moderately** considered. **Lacking in one parameter.**	An appropriate policy, legal and institutional framework has been adopted in order to achieve sustainable and integrated use of living marine resources, taking into account the fragility of coastal ecosystems, the finite nature of their natural resources and the needs of coastal communities. **Fulfils all parameters.**

Evaluation Parameters

Coastal Management Plan is a spatial planning activity for balancing multiple uses of coastal areas while protecting the environment. A state that does not have significant interaction between coastal uses of living marine resources (i.e., fisheries with aquaculture, tourism or oil exploration) may not require such framework. In such cases a fisheries management system will suffice. In case where a Coastal Management Plan, or other framework or arrangement, is adopted it would be appropriate for the following.

Process: A framework of policies, legal instruments, institutions.

Current Status/Appropriateness/Effectiveness: The framework should account for three separate elements, the fragility of coastal ecosystems, the finite nature of coastal resources, and the needs of coastal communities.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include coastal management plans or other frameworks.

2.1.1 States shall develop, as appropriate, institutional and legal frameworks in order to determine the possible uses of coastal resources and to govern access to them taking into account the rights of coastal fishing communities and their customary practices to the extent compatible with sustainable development.

FAO CCRF 10.1.3

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
No framework is adopted. **Lacking in all parameters.**	Framework adopted but **insufficiently** appropriate to determine users, and govern access, taking into account the rights of coastal fishing communities and their customary practices. **Lacking in two parameters.**	Framework adopted but **moderately** appropriate to determine users, and govern access, taking into account the rights of coastal fishing communities and their customary practices. **Lacking in one parameter.**	The State has developed, as appropriate, institutional and legal frameworks in order to determine the possible uses of coastal resources and to govern access to them taking into account the rights of coastal fishing communities and their customary practices to the extent compatible with sustainable development. **Fulfils all parameters.**

Evaluation Parameters

Coastal Management Plan is a spatial planning activity for balancing multiple uses of coastal areas while protecting the environment. The clause becomes more relevant where interaction between coastal users or even competition for the resources is evidence (e.g. fisheries, tourism, oil, gas, communications, or aquaculture). Where there is little other use than fisheries, a fisheries management system may be sufficient. Where significant interaction occurs, other frameworks may be required.

Process: A framework of legal issues/Institutional arrangements.

Current Status/Appropriateness/Effectiveness: The framework should account for determination of possible uses of coastal resources, and the rights and customary practices of coastal communities.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include coastal management plans or other framework**.**

2.1.2 In setting policies for the management of coastal areas, States shall take due account of the risks and uncertainties involved.

FAO CCRF 10.2.3

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
In setting policies for the management of coastal areas, the State does **not** account for risks and uncertainties. **Lacking in all parameters**	In setting policies for the management of coastal areas, the State does **insufficiently** account for risks and uncertainties. **Lacking in two parameters.**	In setting policies for the management of coastal areas, the State does **moderately** account for risks and uncertainties. **Lacking in one parameter.**	In setting policies for the management of coastal areas, the State takes due account of the risks and uncertainties involved. **Fulfils all parameters.**

Evaluation Parameters

Process: Policies for the management of the coastal area have been set.

Current Status/Appropriateness/Effectiveness: These policies effectively accounting for risks and uncertainties.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include policy documents.

2.2 Representatives of the fisheries sector and fishing communities shall be consulted in the decision making processes involved in other activities related to coastal area management planning and development**.**

FAO CCRF 10.1.2

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
There is **no** consultation with the fishery sector and fishing communities. **Lacking in all parameters.**	There is **insufficient** consultation with the fishery sector and fishing communities. **Lacking in two parameters.**	There is **moderate** consultation with the fishery sector and fishing communities. **Lacking in one parameter.**	Representatives of the fisheries sector and fishing communities are consulted in the decision making processes involved in other activities related to coastal area management planning and development. **Fulfils all parameters.**

Evaluation Parameters

Process: There is a process to consult with fishery sector and fishing communities.

Current Status/Appropriateness/Effectiveness: There are records of consultations with fishing communities and the fisheries sector.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include public records of consultation activities.

2.3 Fisheries practices that avoid conflict among fishers and other users of the coastal area shall be adopted.

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
Practices for the avoidance of conflict between fishers and other coastal users have **not** been adopted. **Lacking in all parameters.**	Practices have been adopted but are largely **ineffective** to avoid conflict between fishers and other coastal users. **Lacking in two parameters.**	Practices have been adopted but are **moderately effective** in avoiding conflict between fishers and other coastal users. **Lacking in one parameter.**	Fisheries practices that avoid conflict among fishers and other users of the coastal area have been adopted. **Fulfils all parameters.**

Evaluation Parameters

Process: These practices have been adopted.

Current Status/Appropriateness/Effectiveness: Describe these practices and their effectiveness.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include laws and regulations or other documents.

2.3.1 Procedures and mechanisms shall be established at the appropriate administrative level to settle conflicts which arise within the fisheries sector and between fisheries resource users and other users of the coastal area.

FAO CCRF 10.1.4, 10.15

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
There is **absence** of procedures to settle conflicts within the fisheries sector, and between fishers and other coastal users. **Lacking in all parameters.**	There is **insufficient** establishment of procedures to settle conflicts within the fisheries sector, and between fishers and other coastal users. **Lacking in two parameters.**	There is **moderate** establishment of procedures to settle conflicts within the fisheries sector, and between fishers and other coastal users. **Lacking in one parameter.**	Procedures and mechanisms are established at the appropriate administrative level to settle conflicts which arise within the fisheries sector and between fisheries resource users and other users of the coastal area. **Fulfils all parameters.**

Evaluation Parameters

Process: These practices have been adopted.

Current Status/Appropriateness/Effectiveness: Describe these practices and their effectiveness within the fishery sector, and between fishers and other coastal users.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include laws and regulations or other documents.

2.4 States and sub-regional or regional fisheries management organizations and arrangements shall give due publicity to conservation and management measures and ensure that laws, regulations and other legal rules governing their implementation are effectively disseminated. The bases and purposes of such measures shall be explained to users of the resource in order to facilitate their application and thus gain increased support in the implementation of such measures.

FAO CCRF 7.1.10

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
Dissemination of information does not exist.	There is **insufficiently** effective information dissemination to allow application and in support of implementation of such measures.	There is **moderately** effective information dissemination to allow application and in support of implementation of such measures.	The State and sub-regional or regional fisheries management organizations and arrangements give due publicity to conservation and management measures and ensure that laws, regulations and other legal rules governing their implementation are effectively disseminated. The bases and purposes of such measures are explained to users of the resource in order to facilitate their application and thus gain increased support in the implementation of such measures.
Lacking in all parameters.	**Lacking in two parameters.**	**Lacking in one parameter.**	**Fulfils all parameters.**

Evaluation Parameters

Process: Explain how fishery related information is disseminated.

Current Status/Appropriateness/Effectiveness: There is a record of the disseminated information, and is it disseminated effectively, and the basis and purposes of such regulation explained to users.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include records of such management measures published in the internet or distributed at public meetings.

2.4.1 The public shall be kept aware on the need for the protection and management of coastal resources and the participation in the management process by those affected.

FAO CCRF 10.2.1

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
There are **no** attempts to create public awareness. **Lacking in all parameters.**	There are **insufficient** attempts to create public awareness. **Lacking in two parameters.**	There are **moderate** attempts to create public awareness. **Lacking in one parameter.**	The public is kept aware on the need for the protection and management of coastal resources and the participation in the management process by those affected. **Fulfils all parameters.**

Evaluation Parameters

Process: Describe how fishery related information is disseminated.

Current Status/Appropriateness/Effectiveness: Attempts have been made to create public awareness on the need for protection and management of coastal resources, and those affected by the management process have been made aware of its provision.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include records of such management measures published in the internet or distributed at public meetings.

2.5 The economic, social and cultural value of coastal resources shall be assessed in order to assist decision-making on their allocation and use.

- Economic assessment.
- Social and cultural assessment.

FAO CCRF 10.2.2

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
There is **no** assessment of socio-economic and cultural value to assist decision making on resource allocation and use. **Lacking in all parameters.**	There is **insufficient** assessment of socio-economic and cultural value to assist decision making on resource allocation and use. **Lacking in two parameters.**	There is **moderate** assessment of socio-economic and cultural value to assist decision making on resource allocation and use. **Lacking in one parameter.**	The economic, social and cultural value of coastal resources is assessed in order to assist decision-making on their allocation and use. **Fulfils all parameters.**

Evaluation Parameters

Process: There is a system that allows these assessments to be carried out.

Current Status/Appropriateness/Effectiveness: There are socio-economic value assessments and cultural value assessments, both of which are effectively assisting decision making on resource allocation and use.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include reports on social/cultural/economic value of the resource.

2.6 In accordance with capacities, measures shall be taken to establish or promote systems of research and monitoring of the coastal environment as part of the coastal management process using physical, chemical, biological, economic, social, legal and institutional aspects.

FAO CCRF 10.2.4, 10.2.5

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
There is **no** establishment or promotion of systems to monitor coastal environment. **Lacking in all parameters.**	There is **insufficient** establishment or promotion of systems to monitor coastal environment. **Lacking in two parameters.**	There is **moderate** establishment or promotion of systems to monitor coastal environment. **Lacking in one parameter.**	In accordance with capacities, measures are taken to establish or promote systems of research and monitoring of the coastal environment as part of the coastal management process using physical, chemical, biological, economic, social, legal and institutional aspects. **Fulfils all parameters.**

Evaluation Parameters

Process: There is a system that allows research and monitoring of the coastal environment.

Current Status/Appropriateness/Effectiveness: Systems of monitoring have taken into account physical, chemical, biological, economic, social, legal, and institutional aspects.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include reports on the status of the coastal area using the various aspects listed above.

2.6.1 States shall promote multidisciplinary research in support and improvement of coastal area management, in particular on its environmental, biological, economic, social, legal and institutional aspects.

FAO CCRF 10.2.5

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
There is **no** promotion of multidisciplinary research in support and improvement of coastal area management. **Lacking in all parameters.**	There is **insufficient** promotion of multidisciplinary research in support and improvement of coastal area management. **Lacking in two parameters.**	There is **moderate** promotion of multidisciplinary research in support and improvement of coastal area management. **Lacking in one parameter.**	The State promotes multidisciplinary research in support and improvement of coastal area management, in particular on its environmental, biological, economic, social, legal and institutional aspects**.** **Fulfils all parameters.**

Evaluation Parameters

Process: Multidisciplinary research in support of coastal area management is promoted.

Current Status/Appropriateness/Effectiveness: There are records of research addressing environmental, biological, economic, social, legal, and institutional aspects to support coastal area management.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include reports on the status of the coastal area.

2.7 In the case of activities that may have an adverse transboundary environmental effect on coastal areas, States shall a) provide timely information and if possible, prior notification to potentially affected States, and b) consult with those States as early as possible.

FAO CCRF 10.3.2

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
There is **no** provision of timely information or prior notification. **Lacking in all parameters.**	There is **insufficient** provision of timely information or prior notification. **Lacking in two parameters.**	There is **moderate** provision of timely information or prior notification. **Lacking in one parameter.**	In the case of activities that may have an adverse transboundary environmental effect on coastal areas, the state provides timely information and if possible, prior notification to potentially affected States. **Fulfils all parameters.**

Evaluation Parameters

Process: There is a system to allow early information sharing with affected neighbouring countries in case of transboundary environmental effects that may affect them.

Current Status/Appropriateness/Effectiveness: There are current agreements for or past records of such occurrences. Examples may include oil spills, and aquaculture farms escapes among others.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include reports or data on the international cooperation in these events.

2.8 States shall cooperate at the sub-regional and regional level in order to improve coastal area management.

FAO CCRF 10.3.3

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
There is **no** cooperation with adjacent jurisdictions to improve coastal area management. **Lacking in all parameters.**	There is **insufficient** cooperation with adjacent jurisdictions to improve coastal area management. **Lacking in two parameters.**	There is **moderate** cooperation with adjacent jurisdictions to improve coastal area management. **Lacking in one parameter.**	A state cooperates at the sub-regional and regional level (adjacent jurisdiction) in order to improve coastal area management. **Fulfils all parameters.**

Evaluation Parameters

Process: There is a system, process, or forum to allow cooperation between neighbouring countries to improve coastal resource management.

Current Status/Appropriateness/Effectiveness: There are records of cooperation or forums that allow information exchange between jurisdictions. Examples may include fishery, aquaculture, or other agreements or records from international fora.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include reports or data on the international cooperation/information exchange in these events.

2.9 States shall establish mechanisms for cooperation and coordination among national authorities involved in planning, development, conservation and management of coastal areas.

FAO CCRF 10.4.1

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
There is **no** cooperation/coordination with adjacent jurisdictions involved in planning, development, conservation and management of coastal areas. **Lacking in all parameters.**	There is **insufficient** cooperation/coordination with adjacent jurisdictions involved in planning, development, conservation and management of coastal areas. **Lacking in two parameters.**	There is **moderate** cooperation/coordination with adjacent jurisdictions involved in planning, development, conservation and management of coastal areas. **Lacking in one parameter.**	The State establishes mechanisms for cooperation and coordination among national authorities involved in planning, development, conservation and management of coastal areas. **Fulfils all parameters.**

Evaluation Parameters

Process: There is a mechanism to allow cooperation between neighbouring countries to improve coastal resource management.

Current Status/Appropriateness/Effectiveness: There are records of cooperation. Examples may include fishery, aquaculture, or other agreements or records from international fora.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include reports or data on the international cooperation/information exchange in these events.

2.10 States shall ensure that the authority or authorities representing the fisheries sector in the coastal management process have the appropriate technical capacities and financial resources.

FAO CCRF 10.4.2

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
There is **no** access to appropriate technical capacities and financial resources. **Lacking in all parameters.**	There is **insufficient** access to appropriate technical capacities and financial resources. **Lacking in two parameters.**	There is **moderate** access to appropriate technical capacities and financial resources. **Lacking in one parameter.**	The State ensures that the authority or authorities representing the fisheries sector in the coastal management process have the appropriate technical capacities and financial resources. **Fulfils all parameters.**

Evaluation Parameters

Process: There are appropriate technical capacities and financial resources.

Current Status/Appropriateness/Effectiveness: It can be determined with confidence that there are appropriate technical capacities and financial resources.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include reports or data overall operating staff and financial resources/budgets available.

2.11 States and fisheries management organizations and arrangements shall regulate fishing in such a way as to avoid the risk of conflict among fishers using different vessels, gear and fishing methods.

FAO CCRF 7.6.5

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
There are **no** practices or regulations to avoid risk conflict among fishers using different vessels, gear and fishing methods. **Lacking in all parameters.**	There are **insufficient** practices or regulations to avoid risk of conflict among fishers using different vessels, gear and fishing methods. **Lacking in two parameters.**	There are **moderate** practices or regulations to avoid risk of conflict among fishers using different vessels, gear and fishing methods. **Lacking in one parameter.**	The state and fisheries management organizations and arrangements regulate fishing in such a way as to avoid the risk of conflict among fishers using different vessels, gear and fishing methods. **Fulfils all parameters.**

Evaluation Parameters

Process: Regulations to avoid risk of conflict among fishers have been adopted.

Current Status/Appropriateness/Effectiveness: Explain these regulations and practices and their role in minimizing conflict among fishers using different vessels, gear, and fishing methods.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include laws and regulations or other documents.

3. Management objectives shall be implemented through management rules and actions formulated in a plan or other framework.

FAO CCRF 7.3.3, 7.2.2

3.1 Long-term management objectives shall be translated into a plan or other management document and be subscribed to by all interested parties.

FAO CCRF 7.3.3; ECO 28.1

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
There are **no** long term management objectives translated into a plan or other management document. **Lacking in all parameters.**	There are **insufficient** long term management objectives translated into a plan or other management document. **Lacking in two parameters.**	There are **moderate** long term management objectives translated into a plan or other management document. **Lacking in one parameter.**	Long term management objectives are translated into a plan or other management document subscribed to by all interested parties. **Fulfils all parameters.**

Evaluation Parameters

Process: Long management objectives are translated into a management plan or framework.

Current Status/Appropriateness/Effectiveness: These objectives, along with the plan or framework, are considered effective for long term management of the resources.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include fishery management plan/framework or legal rules.

3.2 Management measures shall provide, *inter alia,* that:

3.2.1 Excess fishing capacity shall be avoided and exploitation of the stocks remains economically viable.

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
There is **no** avoidance of excess fishing capacity. **Lacking in all parameters.**	There is **insufficient** avoidance of excess fishing capacity. **Lacking in two parameters.**	There is **moderate** avoidance of excess fishing capacity. **Lacking in one parameter.**	Excess fishing capacity is avoided and exploitation of the stocks remains economically viable. **Fulfils all parameters.**

Evaluation Parameters

Process: Explain how excess fishing capacity is avoided.

Current Status/Appropriateness/Effectiveness: Explain evidence of excess fishing capacity—specifically evidence of overfishing of the fish resource because of excess fishing capacity or inability to manage the fleet.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include fishery reports on harvest recommendation and harvest or fleet reports.

3.2.2 The economic conditions under which fishing industries operate shall promote responsible fisheries.

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
Absence of favourable economic conditions that promote responsible fishing. **Lacking in all parameters.**	**Insufficient** presence of favourable economic conditions that promote responsible fishing. **Lacking in two parameters.**	**Moderate** presence of favourable economic conditions that promote responsible fishing. **Lacking in one parameter.**	The economic conditions under which fishing industries operate promote responsible fisheries. **Fulfils all parameters.**

Evaluation Parameters

Process: The economic conditions under which fishery industries operate are favourable enough to avoid irresponsible fishing practices.

Current Status/Appropriateness/Effectiveness: There is evidence of the general economic value of the resource and its benefit to fishermen. There is enforcement data that supports the occurrence of responsible fishing practices.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include economic reports or enforcement data.

3.2.3 The interests of fishers, including those engaged in subsistence, small-scale and artisanal fisheries shall be taken into account.

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
There is **no** accounting of interests of fishers including those engaged in subsistence, small-scale and artisanal fisheries. **Lacking in all parameters.**	There is **insufficient** accounting of interests of fishers including those engaged in subsistence, small-scale and artisanal fisheries. **Lacking in two parameters.**	There is **moderate** accounting of interests of fishers including those engaged in subsistence, small-scale and artisanal fisheries. **Lacking in one parameter.**	The interests of fishers, including those engaged in subsistence, small-scale and artisanal fisheries are taken into account. **Fulfils all parameters.**

Evaluation Parameters

Process: There is a system or process in place that takes into account the economic interest of small scale fishers

Current Status/Appropriateness/Effectiveness: There is evidence for the accounting in the overall management system of the interest of small scale fishers, and their interests are effectively taken into account.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include dedicated quotas, public meeting records, laws and regulations.

3.2.4 Biodiversity of aquatic habitats and ecosystems shall be conserved and endangered species shall be protected.

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
There is **no** conservation of aquatic habitats and ecosystems' biodiversity and endangered species protection. **Lacking in all parameters.**	There is **insufficient** conservation of aquatic habitats and ecosystems' biodiversity and endangered species protection. **Lacking in two parameters.**	There is **moderate** conservation of aquatic habitats and ecosystems' biodiversity and endangered species protection. **Lacking in one parameter.**	Biodiversity of aquatic habitats and ecosystems is conserved and endangered species are protected. **Fulfils all parameters.**

Evaluation Parameters

Process: There is a process that allows for biodiversity conservation and endangered species protection.

Current Status/Appropriateness/Effectiveness: Should the fishery in question cause a serious risk of extinction on its associated species (e.g. related bycatch, associated prey or predator species), there are effective regulations in place for maintaining healthy biodiversity levels.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include laws and regulations, and species status reports.

3.2.5 Depleted stocks shall be allowed to recover or, where appropriate, shall be actively restored.

FAO CCRF 7.2.2, ECO 28.2

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
There is **no** allowance of recovery or active restoration for depleted stocks. **Lacking in all parameters.**	There is **insufficient** allowance of recovery or active restoration for depleted stocks. **Lacking in two parameters.**	There is **moderate** allowance of recovery or active restoration for depleted stocks. **Lacking in one parameter.**	Depleted stocks are allowed to recover and, where appropriate, are actively restored. **Fulfils all parameters.**

Evaluation Parameters

Process: There is a process that allows the recovery of identified depleted stocks. A depleted stock is usually a stock which had undergone overfishing. Accordingly, stock status is below limit reference point and the ability of the stock to recover has been impaired.

Current Status/Appropriateness/Effectiveness: When fish stocks under consideration are depleted, they are they allowed to recover or, where appropriate, actively restored. Explain their current status.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include laws and regulations, fishery management plans, and stock assessment reports.

B. Science and Stock Assessment Activities

4. There shall be effective fishery data (dependent and independent) collection and analysis systems for stock management purposes.

FAO CCRF 7.1.9, 7.4.4, 7.4.5, 7.4.6, 8.4.3, 12.4; ECO 29.1–29.3

4.1 Reliable and accurate data required for assessing the status of fisheries and ecosystems, including data on retained catch of fish, bycatch, discards and waste shall be collected.

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
There is **no** collection of reliable and accurate data on the status of fisheries and ecosystems. **Lacking in all parameters.**	There is **insufficient** collection of reliable and accurate data on the status of fisheries and ecosystems in respects to retained catch, bycatch, and discards and waste. **Lacking in two parameters.**	There is **moderate** collection of reliable and accurate data on the status of fisheries and ecosystems in respects to retained catch, bycatch, and discards and waste. **Lacking in one parameter.**	Reliable and accurate data required for assessing the status of fisheries and ecosystems, including data on retained catch of fish, bycatch, discards and waste are collected. **Fulfils all parameters.**

Evaluation Parameters

Process: There is a process or system that allows data collection on the status of fisheries and ecosystems.

Current Status/Appropriateness/Effectiveness: Reliable and accurate data is collected on retained catch, bycatch, and discards and waste.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include stock assessment reports, landed catch and observer data.

4.1.1 These data shall be collected, at an appropriate time and level of aggregation, by relevant management organizations connected with the fishery, and provided to relevant States and sub-regional, regional and global fisheries organizations.

FAO CCRF 7.4.6, 7.4.7, 12.4; ECO 29.1–29.3

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
There is **no** collection of data by relevant management organizations, at appropriate time and level of aggregation, that is provided to relevant States or organizations. **Lacking in all parameters.**	There is **insufficient** collection of data by relevant management organizations, at appropriate time and level of aggregation, that is provided to relevant States or organizations. **Lacking in two parameters.**	There is **moderate** collection of data by relevant management organizations, at appropriate time and level of aggregation, that is provided to relevant States or organizations. **Lacking in one parameter.**	These data are collected, at an appropriate time and level of aggregation, by relevant management organizations connected with the fishery, and provided to relevant States and sub-regional, regional and global fisheries organizations. **Fulfils all parameters.**

Evaluation Parameters

Provision of data to relevant States and sub-regional, regional and global fisheries organizations is dependent on the nature of the stock (i.e., shared, high seas stock) and the type or arrangement in place for co-management (i.e., commission, arrangement etc.). This part of the clause does not apply in cases where stocks occur entirely in one's State EEZ/jurisdiction and "co-management" with another country is not required.

Process: There is a process or system that allows data collection at the appropriate level of aggregation.

Current Status/Appropriateness/Effectiveness: There is evidence of data collection at the appropriate aggregation level, and if applicable, the data is distributed to the relevant state or organization.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include stock assessment reports, landed catch and observer data.

4.1.2 Timely, complete and reliable statistics shall be compiled on catch and fishing effort and maintained in accordance with applicable international standards and practices and in sufficient detail to allow sound statistical analysis for stock assessment. Such data shall be updated regularly and verified through an appropriate system. The use of research results as a basis for the setting of management objectives, reference points and performance criteria, as well as for ensuring adequate linkage, between applied research and fisheries management shall be promoted.

FAO CCRF 7.4.4, 12.13; ECO 29.1

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
No availability of timely, complete and reliable statistics to allow sound analysis and regular maintenance, update and verification of such data in line with international standards. Also, there is **no** promotion/use of this data to ensure a link between applied research and fisheries management.	**Insufficient** availability of timely, complete and reliable statistics to allow sound analysis and regular maintenance, update and verification of such data in line with international standards. Also, there is **insufficient** promotion/use of this data to ensure a link between applied research and fisheries management.	**Moderate** availability of timely, complete and reliable statistics to allow sound analysis and regular maintenance, update and verification of such data in line with international standards Also, there is moderate promotion/use of this data to ensure a link between applied research and fisheries management.	Timely, complete and reliable statistics are compiled on catch and fishing effort and maintained in accordance with applicable international standards and practices and in sufficient detail to allow sound statistical analysis for stock assessment. Such data are updated regularly and verified through an appropriate system. The use of research results as a basis for the setting of management objectives, reference points and performance criteria, as well as for ensuring adequate linkage, between applied research and fisheries management is promoted.
Lacking in all parameters.	**Lacking in two parameters.**	**Lacking in one parameter.**	**Fulfils all parameters.**

Evaluation Parameters

Process: There is a process or system that allows the production, maintenance, update, and verification of statistical data to international standard.

Current Status/Appropriateness/Effectiveness: There is evidence for the production of statistical data on catch and fishing effort, including their maintenance and update or review. There is evidence ensuring a link between applied research and fisheries management.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include stock assessment reports and other data.

4.2 An observer scheme designed to collect accurate data for research and support compliance with applicable fishery management measures shall be established.

FAO CCRF 8.4.3; ECO 29.2bis

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
No observer scheme designed to collect accurate data for research and to support compliance. **Lacking in all parameters.**	Observer scheme established but there is **insufficient** collection of accurate data for research and to support compliance. **Lacking in two parameters.**	Observer scheme established but there is **moderate** collection of accurate data for research and to support compliance. **Lacking in one parameter.**	An observer scheme designed to collect accurate data for research and support compliance with applicable fishery management measures is established. **Fulfils all parameters.**

Evaluation Parameters

Process: Presence of an observer program. There may be cases where collection of accurate data for research and support compliance could be established without the use of observers (i.e., inspection scheme, enforcement, port sampling, at shore inspection, voluntary or compulsory logbooks, e-logbooks, electronic monitoring (video), or bycatch surveys). The reliability and accurateness of that system(s) would need to be verified accordingly. Note also that some fisheries observer programs are designed to collect biological data and in others they also serve mainly as a compliance or enforcement tool. This should be considered accordingly in the overall evaluation of this clause). The core focus of the clause should go back to questioning whether the required data for fisheries management are collected or if there are important data gaps (e.g., because of the absence of an observer programme).

Current Status/Appropriateness/Effectiveness: The data collected by the observer programme is considered accurate and useful.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include stock assessment, observer, survey, observer or other reports.

4.3 Sufficient knowledge of social, economic and institutional factors relevant to the fishery in question shall be developed through data gathering, analysis and research.

FAO CCRF 7.4.5

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
There is **no** development of knowledge basis for social, economic and institutional factors relevant to the fishery. **Lacking in all parameters.**	There is **insufficient** development of knowledge basis for social, economic and institutional factors relevant to the fishery. **Lacking in two parameters.**	There is **moderate** development of knowledge basis for social, economic and institutional factors relevant to the fishery. **Lacking in one parameter.**	Sufficient knowledge of social, economic and institutional factors relevant to the fishery in question is developed through data gathering, analysis and research. **Fulfils all parameters.**

Evaluation Parameters

Process: There is a system that allows socio-economic and institutional knowledge to be collected and analysed.

Current Status/Appropriateness/Effectiveness: Sufficient information is being gathered by relevant research on social, economic and institutional factors, and it is being analysed.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include reports on the socio-economic value of the resource.

4.3.1 Sub-regional or regional fisheries management organizations or arrangements shall compile data and make them available, in a manner consistent with any applicable confidentiality requirements, in a timely manner and in an agreed format to all members of these organizations and other interested parties in accordance with agreed procedures.

FAO CCRF 7.4.6, 7.4.7

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
There is **no** compilation and distribution of data in accordance with confidentiality requirements. **Lacking in all parameters.**	There is **insufficient** compilation and distribution of data in accordance with confidentiality requirements. **Lacking in two parameters.**	There is **moderate** compilation and distribution of data in accordance with confidentiality requirements. **Lacking in one parameter.**	Sub-regional or regional fisheries management organizations or arrangements compile data and make them available, in a manner consistent with any applicable confidentiality requirements, in a timely manner and in an agreed format to all members of these organizations and other interested parties in accordance with agreed procedures. **Fulfils all parameters.**

Evaluation Parameters

Not applicable if no regional or sub-regional body is involved in fishery management between one or more countries.

Process: There is a system within the regional or sub-regional body structure that allows for data distribution in line with confidentiality requirements.

Current Status/Appropriateness/Effectiveness: There is evidence proving that confidentiality requirements are satisfied when data is distributed to the various parties.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include reports where confidentiality requirements have been effected.

4.4 States shall stimulate the research required to support national policies related to fish as food.

FAO CCRF 12.7

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
There is **no** stimulation of research required to support national policies related to fish as food. **Lacking in all parameters.**	There is **insufficient** stimulation of research required to support national policies related to fish as food. **Lacking in two parameters.**	There is **moderate** stimulation of research required to support national policies related to fish as food. **Lacking in one parameter.**	The State stimulates the research required to support national policies related to fish as food. **Fulfils all parameters.**

Evaluation Parameters

Process: There is research to support national policies related to fish as food.

Current Status/Appropriateness/Effectiveness: There is evidence of this research.

Evidence Basis: Availability, quality, and adequacy of the evidence.

4.5 States shall ensure that the economic, social, marketing and institutional aspects of fisheries are adequately researched and that comparable data are generated for ongoing monitoring, analysis and policy formulation.

FAO CCRF 12.9

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
There is **no** assessment of socio-economic marketing and institutional aspects of fisheries for ongoing monitoring, analysis and policy formulation. **Lacking in all parameters.**	There is **insufficient** assessment of socio-economic marketing and institutional aspects of fisheries for ongoing monitoring, analysis and policy formulation. **Lacking in two parameters.**	There is **moderate** assessment of socio-economic marketing and institutional aspects of fisheries for ongoing monitoring, analysis and policy formulation. **Lacking in one parameter.**	The state ensures that the economic, social, marketing and institutional aspects of fisheries are adequately researched and that comparable data are generated for ongoing monitoring, analysis and policy formulation. **Fulfils all parameters.**

Evaluation Parameters

Process: There is a system that allows these assessments to be carried out.

Current Status/Appropriateness/Effectiveness: These data are effectively used for ongoing monitoring, analysis and policy formulation.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include reports on social/cultural/economic value of the resource.

4.6 States shall investigate and document traditional fisheries knowledge and technologies, in particular those applied to small scale fisheries, in order to assess their application to sustainable fisheries conservation, management and development.

FAO CCRF 12.12

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
There is **no** investigation and documentation traditional fisheries technology applied to small scale fisheries. **Lacking in all parameters.**	There is **insufficient** investigation and documentation traditional fisheries technology applied to small scale fisheries. **Lacking in two parameters.**	There is **moderate** investigation and documentation traditional fisheries technology applied to small scale fisheries. **Lacking in one parameter.**	The State investigates and documents traditional fisheries knowledge and technologies, in particular those applied to small scale fisheries, in order to assess their application to sustainable fisheries conservation, management and development. **Fulfils all parameters.**

Evaluation Parameters

Process: Traditional fisher knowledge has been investigated. Note that for highly developed fisheries that knowledge may already have been integrated into fisheries management.

Current Status/Appropriateness/Effectiveness: There are records of the documentation of small scale fisher practices.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include various fisheries reports.

4.7 States conducting scientific research activities in waters under the jurisdiction of another State shall ensure that their vessels comply with the laws and regulations of that State and international law.

FAO CCRF 12.14

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
Research vessels do **not** comply with the laws and regulations of that State and international law. **Lacking in all parameters.**	Research vessels **insufficiently** comply with the laws and regulations of that State and international law. **Lacking in two parameters.**	Research vessels **moderately** comply with the laws and regulations of that State and international law. **Lacking in one parameter.**	The state conducting scientific research activities in waters under the jurisdiction of another State ensures that their vessels comply with the laws and regulations of that State and international law. **Fulfils all parameters.**

Evaluation Parameters

If the stock is fully managed by one state and there is no need for shared stock research (between two or more jurisdictions), then this clause is not applicable.

Process: There is need for research in waters outside the country's jurisdiction.

Current Status/Appropriateness/Effectiveness: If so, there is record of such shared research activities and they comply with required regulations.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include survey reports.

4.8 States shall promote the adoption of uniform guidelines governing fisheries research conducted on the high seas and shall, where appropriate, support the establishment of mechanisms, including, *inter alia*, the adoption of uniform guidelines, to facilitate research at the sub-regional or regional level and shall encourage the sharing of such research results with other regions.

FAO CCRF 12.15, 12.16

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
Does **not** promote adoption of uniform guidelines governing high seas research or sharing of data between regions or sub-regions. **Lacking in all parameters.**	**Insufficiently** promote adoption of uniform guidelines governing high seas research and sharing of data between regions or sub-regions. **Lacking in two parameters.**	**Moderately** promote adoption of uniform guidelines governing high seas research and sharing of data between regions or sub-regions. **Lacking in one parameter.**	States promote the adoption of uniform guidelines governing fisheries research conducted on the high seas and, where appropriate, support the establishment of mechanisms, including, *inter alia*, the adoption of uniform guidelines, to facilitate research at the sub-regional or regional level and encourage the sharing of such research results with other regions. **Fulfils all parameters.**

Evaluation Parameters

If the stock is fully managed by one state and there is no need for shared stock research (between two or more jurisdictions), then this clause is not applicable.

Process: There is need for research in waters outside the country's jurisdiction.

Current Status/Appropriateness/Effectiveness: There is a record of uniform high seas research guidelines or a mechanism to create them.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include survey reports, high seas guidelines.

4.9 States and relevant international organizations shall promote and enhance the research capacities of developing countries, *inter alia*, in the areas of data collection and analysis, information, science and technology, human resource development and provision of research facilities, in order for them to participate effectively in the conservation, management and sustainable use of living aquatic resources.

FAO CCRF 12.18

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
Does **not** enhance research capacity of developing countries. **Lacking in all parameters.**	**Insufficiently** enhance research capacity of developing countries. **Lacking in two parameters.**	**Moderately** enhance research capacity of developing countries. **Lacking in one parameter.**	States and relevant international organizations promote and enhance the research capacities of developing countries, *inter alia*, in the areas of data collection and analysis, information, science and technology, human resource development and provision of research facilities, in order for them to participate effectively in the conservation, management and sustainable use of living aquatic resources. **Fulfils all parameters.**

Evaluation Parameters

If there is no interaction with developing countries (in terms of shared resource), then this clause is not applicable.

Process: There is a need to promote and enhance the research capacities of developing countries.

Current Status/Appropriateness/Effectiveness: There is a record of enhancement of research capacities for such countries.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include various data or reports.

4.10 Competent national organizations shall, where appropriate, render technical and financial support to States upon request and when engaged in research investigations aimed at evaluating stocks which have been previously unfished or very lightly fished.

FAO CCRF 12.19

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
Does **not** render technical and financial support. **Lacking in all parameters.**	**Insufficiently** render technical and financial support. **Lacking in two parameters.**	**Moderately** render technical and financial support. **Lacking in one parameter.**	Competent national organizations, where appropriate, render technical and financial support to States upon request and when engaged in research investigations aimed at evaluating stocks which have been previously unfished or very lightly fished. **Fulfils all parameters.**

Evaluation Parameters

Does not apply if the stock in questions are well developed and with clear history of fishing.

Process: There is a mechanism to allow a national organization to render technical and financial support to the State.

Current Status/Appropriateness/Effectiveness: There is a record of the provided technical and financial support.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include various data or reports.

4.11 Relevant technical and financial international organizations shall, upon request, support States in their research efforts, devoting special attention to developing countries, in particular the least developed among them and small island developing countries.

FAO CCRF 12.20

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
Does **not** render technical and financial support towards research effort.	**Insufficiently** render technical and financial support towards research effort.	**Moderately** render technical and financial support towards research effort.	Competent national organizations, where appropriate, render technical and financial support to States upon request and when engaged in research investigations aimed at evaluating stocks which have been previously unfished or very lightly fished.
Lacking in all parameters.	**Lacking in two parameters.**	**Lacking in one parameter.**	**Fulfils all parameters.**

Evaluation Parameters

Clause is relevant where the fishery is within a developing region/small island region and management of the resource is performed through an International organization.

Process: The international management component of the fishery is engaged in processes that support the fishery based in developing countries.

Current Status/Appropriateness/Effectiveness: There is a record of the provided technical and financial support.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include various data or reports.

5. There shall be regular stock assessment activities appropriate for the fishery, its range, the species biology and the ecosystem, undertaken in accordance with acknowledged scientific standards to support its optimum utilization.

FAO CCRF 7.2.1, 12.2, 12.3, 12.5, 12.6, 12.7, 12.17; ECO 29–29.3

5.1 States shall ensure that appropriate research is conducted into all aspects of fisheries including biology, ecology, technology, environmental science, economics, social science, aquaculture and nutritional science. The research shall be disseminated accordingly. States shall also ensure the availability of research facilities and provide appropriate training, staffing and institution building to conduct the research, taking into account the special needs of developing countries.

FAO CCRF 12.1, 7.4.2

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
Does **not** conduct appropriate research into the following aspects of fisheries: biology, ecology, technology, environmental science, economics, social science, aquaculture and nutritional science, or provide appropriate training, staffing and institution building to conduct the research. **Lacking in all parameters.**	Conducts **insufficiently** appropriate research into the following aspects of fisheries: biology, ecology, technology, environmental science, economics, social science, aquaculture and nutritional science, or provide appropriate training, staffing and institution building to conduct the research. **Lacking in two parameters.**	Conducts **moderately** appropriate research into the following aspects of fisheries: biology, ecology, technology, environmental science, economics, social science, aquaculture and nutritional science, or provide appropriate training, staffing and institution building to conduct the research. **Lacking in one parameter.**	States ensure that appropriate research is conducted into all aspects of fisheries including biology, ecology, technology, environmental science, economics, social science, aquaculture and nutritional science. The research is disseminated accordingly. States also ensure the availability of research facilities and provide appropriate training, staffing and institution building to conduct the research, taking into account the special needs of developing countries. **Fulfils all parameters.**

Evaluation Parameters

Process: There is a mechanism to allow the mentioned research to be carried out.

Current Status/Appropriateness/Effectiveness: Research is carried out in fisheries biology, fisheries ecology, fisheries technology, environmental science, fisheries economics, social science, aquaculture, nutritional science, and there is a provision for appropriate training, staffing and institution building to conduct the research.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include stock assessment, economic value, fleet and other reports.

5.1.1 An appropriate institutional framework shall be established to determine the applied research which is required and its proper use (i.e. assess/evaluate stock assessment model/practices) for fishery management purposes.

FAO CCRF 12.2, 12.6

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
Establishment of appropriate institutional framework for applied research does **not** exist. **Lacking in all parameters.**	The appropriate institutional framework is established to determine the applied research required, but there is **insufficient** use for fishery management purposes. **Lacking in two parameters.**	The appropriate institutional framework is established to determine the applied research required, but there is **moderate** use for fishery management purposes. **Lacking in one parameter.**	An appropriate institutional framework is established to determine the applied research required, and its proper use (i.e., assess and evaluate stock assessment models or practices) for fishery management purposes. **Fulfils all parameters.**

Evaluation Parameters

Process: There is an established institutional framework for fishery management purposes that determines applied research needs and use.

Current Status/Appropriateness/Effectiveness: There is evidence to substantiate that essential research for fishery management purposes is determined and carried out. This research generally includes routine stock(s) and ecosystem assessment reports.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include description of the overall process of research assessment and peer review, stock and ecosystem assessment reports.

5.2 The state of the stocks under management jurisdiction, including the impacts of ecosystem changes resulting from fishing pressure, pollution or habitat alteration shall be monitored.

ECO 31

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
There is **no** monitoring of the state of the stocks under management jurisdiction. **Lacking in all parameters.**	There is **insufficient** monitoring of the state of the stocks under management jurisdiction, specifically regarding the impacts of ecosystem changes resulting from fishing pressure, and pollution or habitat alteration. **Lacking in two parameters.**	There is **moderate** monitoring of the state of the stocks under management jurisdiction, specifically regarding the impacts of ecosystem changes resulting from fishing pressure, and pollution or habitat alteration. **Lacking in one parameter.**	The state of the stocks under management jurisdiction, including the impacts of ecosystem changes resulting from fishing pressure, pollution or habitat alteration are monitored. **Fulfils all parameters.**

Evaluation Parameters

Process: There is a system to monitor the state of the stocks under management jurisdiction.

Current Status/Appropriateness/Effectiveness: There is evidence to substantiate that important monitoring information is conducted and available. Specifically, impacts of fishing pressure, pollution and habitat alteration are being assessed. This research generally includes routine stocks and ecosystem and habitat status reports.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include stock, ecosystem and habitat assessment reports.

5.2.1 The research capacity necessary to assess the effects of climate or environment change on fish stocks and aquatic ecosystems, the state of the stock under State jurisdiction, including the impacts of ecosystem changes resulting from fishing pressure, pollution or habitat alteration shall be established.

FAO CCRF 12.5

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
There is **no** established research at the capacity necessary to assess the effect of climate, other environmental changes on fish stocks, and aquatic ecosystems.	There is **insufficiently** established research at the capacity necessary to assess the effect of climate, other environmental changes on fish stocks, and aquatic ecosystems**.**	There is **moderately** established research at the capacity necessary to assess the effect of climate, other environmental changes on fish stocks, and aquatic ecosystems**.**	The research capacity necessary to assess the effects of climate or environment change on fish stocks and aquatic ecosystems, the state of the stock under State jurisdiction, including the impacts of ecosystem changes resulting from fishing pressure, pollution or habitat alteration shall be established.
Lacking in all parameters.	**Lacking in two parameters.**	**Lacking in one parameter.**	**Fulfils all parameters.**

Evaluation Parameters

Process: The required research is established at the capacity needed to assess effects.

Current Status/Appropriateness/Effectiveness: There is evidence available to substantiate the research at needed capacity to assess effects. There are data on the effect of climate, or other environmental changes on fish stocks and aquatic ecosystems.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include stock, ecosystem and habitat assessment reports.

5.3 Management organizations shall cooperate with relevant international organizations to encourage research in order to ensure optimum utilization of fishery resources.

FAO 12.7

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
There is **no** cooperation of management organizations with relevant international organizations to encourage research in order to ensure optimum utilization of fishery resources. **Lacking in all parameters.**	There is **insufficient** cooperation of management organizations with relevant international organizations to encourage research in order to ensure optimum utilization of fishery resources. **Lacking in two parameters.**	There is **moderate** cooperation of management organizations with relevant international organizations to encourage research in order to ensure optimum utilization of fishery resources. **Lacking in one parameter.**	Management organizations cooperate with relevant international organizations to encourage research in order to ensure optimum utilization of fishery resources. **Fulfils all parameters.**

Evaluation Parameters

Process: There is cooperation or interaction between international organizations to ensure optimum utilization of resource.

Current Status/Appropriateness/Effectiveness: There is evidence available to substantiate that such cooperation or interaction has taken place. There is data available that substantiates cooperation activities.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include outputs resulting from meetings or other research.

5.4 The fishery management organizations shall directly, or in conjunction with other States, develop collaborative technical and research programmes to improve understanding of the biology, environment and status of transboundary aquatic stocks.

FAO CCRF 12.17

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
There is **no** development of collaborative technical and research programmes to improve understanding of the biology, environment and status of transboundary aquatic stocks. **Lacking in all parameters.**	There is **insufficient** development collaborative technical and research programmes to improve understanding of the biology, environment and status of transboundary aquatic stocks. **Lacking in two parameters.**	There is **moderate** development of collaborative technical and research programmes to improve understanding of the biology, environment and status of transboundary aquatic stocks. **Lacking in one parameter.**	The fishery management organizations directly, or in conjunction with other States, develop collaborative technical and research programmes to improve understanding of the biology, environment and status of transboundary aquatic stocks. **Fulfils all parameters.**

Evaluation Parameters

Not applicable if stock in not transboundary in nature.

Process: The collaborative technical and research programmes to improve understanding of the biology, environment and status of transboundary aquatic stocks have been developed.

Current Status/Appropriateness/Effectiveness: There is evidence available to substantiate that such cooperation or interaction has taken place. There are data on such collaborations for transboundary aquatic stock understanding.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include outputs resulting from meetings or other research.

5.5 Data generated by research shall be analysed and the results of such analyses published in a way that ensures confidentiality is respected, where appropriate.

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
There is **no** analysis of research data, or publication of that data in a way that ensures confidentiality, where appropriate. **Lacking in all parameters.**	There is **insufficient** analysis of research data or publication of that data in a way that ensures confidentiality, where appropriate. **Lacking in two parameters.**	There is **moderate** analysis of research data, or publication of that data in a way that ensures confidentiality, where appropriate. **Lacking in one parameter.**	Data generated by research is analysed and the results of such analyses published in a way that ensures confidentiality is respected, where appropriate. **Fulfils all parameters.**

Evaluation Parameters

Process: There is a process that allows analysis of research data, ensuring, where appropriate, their confidentiality.

Current Status/Appropriateness/Effectiveness: There is evidence data was properly analysed. Data was published respecting, where appropriate, confidentiality agreements. The rules of confidentiality are effectively respected.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include various data or reports.

5.5.1 Results of analyses shall be distributed in a timely and readily understandable fashion in order that the best scientific evidence is made available as a contribution to fisheries conservation, management and development.

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
There is **no** distribution of analyses' results as a contribution to fisheries conservation, management and development. **Lacking in all parameters.**	There is **insufficient** distribution of analyses' results as a contribution to fisheries conservation, management and development. **Lacking in two parameters.**	There is **moderate** distribution of analyses' results as a contribution to fisheries conservation, management and development. **Lacking in one parameter.**	Results of analyses are distributed in a timely and readily understandable fashion in order that the best scientific evidence is made available as a contribution to fisheries conservation, management and development. **Fulfils all parameters.**

Evaluation Parameters

Process: There is a process that allows the distribution of results of analyses as a contribution to fisheries conservation, management and development.

Current Status/Appropriateness/Effectiveness: There is evidence of analysed data published in regards to confidentiality agreements, and the rules of confidentiality effectively respected.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include various data or reports.

5.5.2 In the absence of adequate scientific information, appropriate research shall be initiated in a timely fashion.

FAO CCRF 12.3

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
No research efforts have been initiated in the absence of adequate scientific information. **Lacking in all parameters.**	**Insufficient** research efforts have been initiated in the absence of adequate scientific information. **Lacking in two parameters.**	**Moderate** research efforts have been initiated in the absence of adequate scientific information. **Lacking in one parameter.**	In the absence of adequate scientific information, appropriate research is initiated in a timely fashion. **Fulfils all parameters.**

Evaluation Parameters

Process: There is a process that allows, as far as possible, research to be initiated when absence of information is recognized.

Current Status/Appropriateness/Effectiveness: There is evidence for such process and for such research.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include various data or scientific reports.

5.6 Studies shall be promoted which provide an understanding of the costs, benefits and effects of alternative management options designed to rationalize fishing, in particular, options relating to excess fishing capacity and excessive levels of fishing effort.

FAO CCRF 7.4.3

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
Studies are **not** promoted on the cost, benefits, and effects of alternative management options for rationalizing fishing, especially relating to excessive capacity of fishing effort. **Lacking in all parameters.**	**Insufficient** promotion of studies on the cost, benefits, and effects of alternative management options for rationalizing fishing, especially relating to excessive capacity of fishing effort. **Lacking in two parameters.**	**Moderate** promotion of studies on the cost, benefits, and effects of alternative management options for rationalizing fishing, especially relating to excessive capacity of fishing effort. **Lacking in one parameter.**	Studies are promoted which provide an understanding of the costs, benefits and effects of alternative management options designed to rationalize fishing, in particular, options relating to excess fishing capacity and excessive levels of fishing effort. **Fulfils all parameters.**

Evaluation Parameters

Process: There is a need and a process that allows, as appropriate, for studies to understand the costs, benefits, and effects of alternative management options designed to rationalize fishing.

Current Status/Appropriateness/Effectiveness: There is evidence for studies conducted on of alternative management options designed to rationalize fishing.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include various evaluation or reports on fishing rationalization.

5.7 In the evaluation of alternative conservation and management measures, their cost-effectiveness and social impact shall be considered.

FAO CCRF 7.6.7

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
There is **no** evaluation of cost-effectiveness of social impacts in the evaluation of alternative conservation and management measures. **Lacking in all parameters.**	There is **insufficient** evaluation of cost-effectiveness of social impacts in the evaluation of alternative conservation and management measures. **Lacking in two parameters.**	There is **moderate** evaluation of cost-effectiveness of social impacts in the evaluation of alternative conservation and management measures. **Lacking in one parameter.**	In the evaluation of alternative conservation and management measures, their cost-effectiveness and social impact is considered. **Fulfils all parameters.**

Evaluation Parameters

Process: There is a process that allows the evaluation of cost effectiveness of social impacts in the evaluation of alternative conservation and management measures related to fishing.

Current Status/Appropriateness/Effectiveness: There is evidence for studies on the cost-effectiveness of social impacts in the evaluation of alternative conservation and management measures related to fishing.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include various evaluation or reports.

C. The Precautionary Approach

6. The current state of the stock shall be defined in relation to reference points or relevant proxies or verifiable substitutes allowing for effective management objectives and target. Remedial actions shall be available and taken where reference point or other suitable proxies are approached or exceeded.

FAO CCRF 7.5.2, 7.5.3; ECO 29.2, 29.2bis, 30-30.2

6.1 States shall determine for the stock both safe targets for management (Target Reference Points) and limits for exploitation (Limit Reference Points) and at the same time, the action to be taken if they are exceeded.

6.1.1 Target reference point(s) shall be established.

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
No safe target reference points have been established. **Lacking in all parameters.**	Target reference points have been established but considered **insufficiently** safe. **Lacking in two parameters.**	Target reference points have been established but considered **moderately** safe. **Lacking in one parameter.**	Safe target reference points have been established and are considered safe. **Fulfils all parameters.**

Evaluation Parameters

Process: The target reference point has been established.

Current Status/Appropriateness/Effectiveness: There is a current target reference point or proxy, and it is considered appropriate and safe, **The** reference point is considered effective in its function, and the stock is close, at, or above target reference point level.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include stock assessment reports or fishery management plans.

6.1.2 Limit reference points shall be established. When a limit reference point is approached, measures shall be taken to ensure that it will not be exceeded.

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
No safe limit reference points have been established. **Lacking in all parameters.**	Limit reference point is established but considered **insufficiently** safe, and measures taken are **insufficient** to ensure that it will not be exceeded. **Lacking in two parameters.**	Limit reference point is established but considered **insufficiently** safe, and measures taken are **insufficient** to ensure that it will not be exceeded. **Lacking in one parameter.**	Safe limit reference points are established. When a limit reference point is approached, measures are taken to ensure that it will not be exceeded. **Fulfils all parameters.**

Evaluation Parameters

Process: The limit reference point has been established.

Current Status/Appropriateness/Effectiveness: There is a current limit reference point or proxy, and it is considered appropriate and safe. A safe limit reference point shall be consistent with avoiding recruitment overfishing, or other impacts that are likely to be irreversible, or very slowly reversible. The limit reference point is considered effective in its function, and the stock is approaching or at the limit reference point. When a limit reference point is approached, there are measures taken to ensure that it will not be exceeded. For instance, if fishing mortality (or its proxy) is above the associated limit reference point, actions should be taken to decrease the fishing mortality (or its proxy) below that of the limit reference point.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include stock assessment reports or fishery management plans.

6.1.3 Data and assessment procedures shall be installed measuring the position of the fishery in relation to the reference points. Accordingly, the level of fishing permitted shall be commensurate with the current state of the fishery resources.

FAO CCRF 7.5.3, 7.6.1; ECO 29.2–29.2bis, 29.6, 30–30.2

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
No measurement of the position of the fishery in relation to the reference points exists, and maintenance of the level of fishing permitted is **not** commensurate with the current state of the fishery resources **Lacking in all parameters.**	The measurement of the position of the fishery in relation to the reference points is effected, but the maintenance of the level of fishing permitted is **insufficiently** commensurate with the current state of the fishery resources. **Lacking in two parameters.**	The measurement of the position of the fishery in relation to the reference points is effected, but the maintenance of the level of fishing permitted is only **moderately** commensurate with the current state of the fishery resources. **Lacking in one parameter.**	Data and assessment procedures are installed measuring the position of the fishery in relation to the reference points. Accordingly, the level of fishing permitted is commensurate with the current state of the fishery resources. **Fulfils all parameters.**

Evaluation Parameters

Process: Data and assessment procedures are installed measuring the position of the fishery in relation to the reference points.

Current Status/Appropriateness/Effectiveness: The current level of the stock, in relation to its reference point, allows the level of fishing permitted, and is commensurate with the current state of the fishery resources, (overfishing is avoided). For instance, if fishing mortality (or its proxy) is above the associated reference point, actions should be taken to decrease the fishing mortality (or its proxy) below that of the appropriate reference points.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include stock assessment reports or fishery management plans.

6.1.4 Management actions shall be agreed to in the eventuality that data sources and analyses indicate that these reference points have been exceeded.

FAO CCRF 7.5.3; ECO 29.6, 30.2

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
There is **no** agreement of management actions in the eventuality that data sources and analyses indicate that reference points have been exceeded. **Lacking in all parameters.**	There is **insufficiently** effective agreement of management actions in the eventuality that data sources and analyses indicate that reference points have been exceeded. **Lacking in two parameters.**	There is **moderately** effective agreement of management actions in the eventuality that data sources and analyses indicate that reference points have been exceeded. **Lacking in one parameter.**	Management actions are agreed in the eventuality that data sources and analyses indicate that these reference points have been exceeded. **Fulfils all parameters.**

Evaluation Parameters

Process: There is an agreed process or system in the eventuality that the data sources and analyses indicate that these reference points have been exceeded.

Current Status/Appropriateness/Effectiveness: If the current level of the stock has exceeded any reference point, the agreed management action (i.e., harvest control rule or framework) been implemented. The harvest control rule is effective at keeping or bringing back the stock at acceptable biological levels.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include stock assessment reports or fishery management plans.

6.1.5 In implementing the precautionary approach, Sates shall take into account, *inter alia*, uncertainties relating to the size and productivity of the stocks, reference points, stock condition in relation to such reference points, levels and distribution of fishing mortality and the impact of fishing activities, including discards, on non-target and associated or dependant species as well as environmental and socio-economic conditions.

FAO CCRF 7.5.2

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
There is **no** implementation of the precautionary approach, taking into account uncertainties relating to the size and productivity of the stocks, reference points, stock condition in relation to such reference points, levels and distribution of fishing mortality and the impact of fishing activities, including discards, on non-target and associated or dependant species, as well as environmental and socio-economic conditions. **Lacking in all parameters.**	There is **insufficient** implementation of the precautionary approach, taking into account uncertainties relating to the size and productivity of the stocks, reference points, stock condition in relation to such reference points, levels and distribution of fishing mortality and the impact of fishing activities, including discards, on non-target and associated or dependant species, as well as environmental and socio-economic conditions. **Lacking in two parameters.**	There is **moderate** implementation of the precautionary approach, taking into account uncertainties relating to the size and productivity of the stocks, reference points, stock condition in relation to such reference points, levels and distribution of fishing mortality and the impact of fishing activities, including discards, on non-target and associated or dependant species as, well as environmental and socio-economic conditions. **Lacking in one parameter.**	In implementing the precautionary approach, the State takes into account, *inter alia*, uncertainties relating to the size and productivity of the stocks, reference points, stock condition in relation to such reference points, levels and distribution of fishing mortality and the impact of fishing activities, including discards, on non-target and associated or dependant species as well as environmental and socio-economic conditions. **Fulfils all parameters.**

Evaluation Parameters

Process: There is a system where the precautionary approach can be practically implemented in the elements listed in the clause.

Current Status/Appropriateness/Effectiveness: Uncertainties considered include those associated with the size and productivity of the stocks, reference points, stock condition in relation to such reference points, levels and distribution of fishing mortality and the impact of fishing activities, including discards, on non-target and associated or dependant species as well as environmental and socio-economic conditions.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include stock assessment reports, fishery management plans and other documents.

7. Management actions and measures for the conservation of stock and the aquatic environment shall be based on the precautionary approach. Where information is deficient a suitable method using risk assessment shall be adopted to take into account uncertainty.

FAO CCRF 7.5.1, 7.5.4, 7.5.5; ECO 29.6, 32

7.1 The precautionary approach shall be applied widely to conservation, management and exploitation of living aquatic resources in order to protect them and preserve the aquatic environment.

ECO 29.6

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
The precautionary approach is **not** applied to conservation, management and exploitation of living aquatic resources. **Lacking in all parameters.**	The precautionary approach is **insufficiently** applied to conservation, management and exploitation of living aquatic resources. **Lacking in two parameters.**	The precautionary approach is **moderately** applied to conservation, management and exploitation of living aquatic resources. **Lacking in one parameter.**	The precautionary approach is applied to conservation, management and exploitation of living aquatic resources in order to protect them and preserve the aquatic environment. **Fulfils all parameters.**

Evaluation Parameters

Process: There are management measures, regulations, and laws that command or direct for the use of the precautionary approach to conservation, management and exploitation of the aquatic resources under assessment.

Current Status/Appropriateness/Effectiveness: There is evidence for the practical application of the precautionary approach to resource management and conservation. Note that the precautionary approach may be integrated in stock assessment practices, in specific management measures enacted for everyday fisheries operations, or other measures.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include stock assessment reports, fishery management plans and other documents.

7.1.1 The absence of adequate scientific information shall not be used as a reason for postponing or failing to take conservation and management measures.

FAO CCRF 7.5.1; ECO 29.6, 32

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
The absence of adequate scientific information **is used** as a reason for postponing or failing to take conservation and management measures. **Lacking in all parameters.**	The absence of adequate scientific information **is often used** as a reason for postponing or failing to take conservation and management measures. **Lacking in two parameters.**	The absence of adequate scientific information **is sometime used** as a reason for postponing or failing to take conservation and management measures. **Lacking in one parameter.**	The absence of adequate scientific information is not used as a reason for postponing or failing to take conservation and management measures. **Fulfils all parameters.**

Evaluation Parameters

Process: There is a process that allows, as far as possible, conservative action to be enacted when absence of adequate information is recognized.

Current Status/Appropriateness/Effectiveness: There is evidence for such process and examples of action taken. Note that these conservation and management measures may take the form of an immediate management response or further analysis of the identified risk.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include various data or scientific reports.

7.2 For new and exploratory fisheries, procedures shall be in place for promptly applying precautionary management measures, including catch or effort limits.

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
For new and exploratory fisheries, **no** procedures are in place for promptly applying precautionary management measures, including catch or effort limits. **Lacking in all parameters**.	For new and exploratory fisheries, **insufficiently** effective procedures are in place for promptly applying precautionary management measures, including catch or effort limits. **Lacking in two parameters.**	For new and exploratory fisheries, **moderately** effective procedures are in place for promptly applying precautionary management measures, including catch or effort limits. **Lacking in one parameter.**	For new and exploratory fisheries, procedures are in place for promptly applying precautionary management measures, including catch or effort limits. **Fulfils all parameters.**

Evaluation Parameters

This clause is only applicable for new or exploratory fisheries.

Process: For new or exploratory fisheries there is a process that allows the immediate application of precautionary management measures, including catch or effort limits.

Current Status/Appropriateness/Effectiveness: There is evidence for the implementation of these catch and effort limits. Explain these catch and effort limits.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include various data or scientific reports.

7.2.1 Provisions shall be made for the gradual development of new or exploratory fisheries while information is being collected on the impact of these fisheries, allowing an assessment of the impact of such fisheries on the long-term sustainability of the stocks.

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
In the case of new or exploratory fisheries, **no** provisions have been made for their gradual introduction and development, by establishing cautious conservation measures while sufficient data are collected to evaluate the impacts of the new fishery. **Lacking in all parameters.**	In the case of new or exploratory fisheries, **insufficient** provisions have been made for their gradual introduction and development, by establishing cautious conservation measures while sufficient data are collected to evaluate the impacts of the new fishery. **Lacking in two parameters.**	In the case of new or exploratory fisheries, **moderate** provisions have been made for their gradual introduction and development, by establishing cautious conservation measures while sufficient data are collected to evaluate the impacts of the new fishery. **Lacking in one parameter.**	In the case of new or exploratory fisheries, provisions have been made for their gradual introduction and development, by establishing cautious conservation measures while sufficient data are collected to evaluate the impacts of the new fishery. **Fulfils all parameters.**

Evaluation Parameters

This clause is only applicable for new or exploratory fisheries.

Process: There is a process allowing an assessment of the impact of such fisheries on the long-term sustainability of the stocks.

Current Status/Appropriateness/Effectiveness: There is evidence of the impact assessment for these fisheries.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include various data or scientific reports.

7.2.2 Information collection and precautionary management provisions shall be established and initiated early on to allow impact assessment.

FAO CCRF 7.5.4

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
Information collection and precautionary management provisions are **not** established and initiated early on to allow impact assessment. **Lacking in all parameters.**	Information collection and precautionary management provisions are **insufficiently** established and initiated early on to allow impact assessment. **Lacking in two parameters.**	Information collection and precautionary management provisions are **moderately** established and initiated early on to allow impact assessment. **Lacking in one parameter.**	Information collection and precautionary management provisions are established and initiated early on to allow impact assessment. **Fulfils all parameters.**

Evaluation Parameters

This clause is only applicable for new or exploratory fisheries.

Process: There is a process or provision allowing information collection and establishment of precautionary management provisions.

Current Status/Appropriateness/Effectiveness: There is evidence of collected information and of management measures applied for management.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include various data and reports.

7.2.3 Contingency plans shall be agreed in advance for the appropriate management response to serious threats to the resource as a result of overfishing or adverse environmental changes or other phenomena adversely affecting the fishery resource. Such measures may be temporary and shall be based on best scientific evidence available.

FAO CCRF 7.5.5

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
No contingency plan has been drawn up to introduce temporary management measures to ensure that fishing activity does not exacerbate serious threats to the resource caused by natural phenomena. **Lacking in all parameters.**	A contingency plan has been drawn up to introduce temporary management measures, but it is **insufficiently** effective to ensure that fishing activity does not exacerbate serious threats to the resource caused by natural phenomena. **Lacking in two parameters.**	A contingency plan has been drawn up to introduce temporary management measures, but it is only **moderately** effective to ensure that fishing activity does not exacerbate serious threats to the resource caused by natural phenomena. **Lacking in one parameter.**	Contingency plans are agreed in advance for the appropriate management response to serious threats to the resource as a result of overfishing or adverse environmental changes or other phenomena adversely affecting the fishery resource. Such measures may be temporary are be based on best scientific evidence available. **Fulfils all parameters.**

Evaluation Parameters

Process: There is an agreed contingency plan to avoid serious threat to the resource.

Current Status/Appropriateness/Effectiveness: There is evidence of effectiveness for this contingency plan.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include fishery management plans, regulations or other records.

D. Management Measures

8. Management shall adopt and implement effective measures including harvest control rules and technical measures applicable to sustainable utilization of the fishery and be based upon verifiable evidence and advice from available scientific and objective, traditional sources.

FAO CCRF 7.1.1, 7.1.2, 7.1.6, 7.4.1, 7.6.1, 7.6.9, 12.3; *ECO 29.2, 29.4, 30*

8.1 Conservation and management measures shall be designed to ensure the long-term sustainability of fishery resources at levels which promote the objective of optimum utilization, and be based on verifiable and objective scientific and/or traditional sources. In the evaluation of alternative conservation and management measures, their cost-effectiveness and social impact shall be considered.

FAO CCRF 7.1.1 Others 7.4.1, 7.6.7; ECO 29.2, 29.4

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
There are **no effective** conservation and management measures designed to ensure long term sustainability of fishery resource at levels which promote the objective of optimum utilization based on verifiable and objective information. Also, there is **no** evaluation of alternative conservation and management measures with consideration of their cost-effectiveness and social impact. **Lacking in all parameters.**	There are **insufficiently effective** conservation and management measures designed to ensure long term sustainability of fishery resource at levels which promote the objective of optimum utilization based on verifiable and objective information. Also, there is **insufficient** evaluation of alternative conservation and management measures with consideration of their cost-effectiveness and social impact. **Lacking in two parameters.**	There are **moderately effective** conservation and management measures designed to ensure long term sustainability of fishery resource at levels which promote the objective of optimum utilization based on verifiable and objective information. Also, there is **moderate** evaluation of alternative conservation and management measures with consideration of their cost-effectiveness and social impact. **Lacking in one parameter.**	Conservation and management measures are designed to ensure the long-term sustainability of fishery resources at levels which promote the objective of optimum utilization, and are based on verifiable and objective scientific and/or traditional sources. In the evaluation of alternative conservation and management measures, their cost-effectiveness and social impact are considered. **Fulfils all parameters.**

Evaluation Parameters

Process: There is a process that allows the design of conservation and management measures to ensure the long-term sustainability of fishery resources.

Current Status/Appropriateness/Effectiveness: Key management measures ensure the long-term sustainability of fishery resource. These management measures are based on objective verifiable evidence. In the evaluation of alternative conservation and management measures, their cost-effectiveness and social impact are considered.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include reports, fishery management plans, regulations or other management measures.

8.1.1 States shall prohibit dynamiting, poisoning and other comparable destructive fishing practices.

FAO CCRF 8.4.2

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
There is **no** prohibition of dynamiting, poisoning and other comparable destructive fishing practices. **Lacking in all parameters.**	There is **insufficiently** effective prohibition of dynamiting, poisoning and other comparable destructive fishing practices. **Lacking in two parameters.**	There is **moderately** effective prohibition of dynamiting, poisoning and other comparable destructive fishing practices. **Lacking in one parameter.**	The State prohibits dynamiting, poisoning and other comparable destructive fishing practices. **Fulfils all parameters.**

Evaluation Parameters

Process: There are management measures, or regulations, or laws that prohibit destructive fishing practices.

Current Status/Appropriateness/Effectiveness: The regulations or laws effectively prohibit dynamiting, poisoning and other comparable destructive fishing practices.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include laws, fishery management plans, regulations, and enforcement data.

8.2 States shall seek to identify domestic parties having a legitimate interest in the use and management of the fishery.

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
No attempts have been made to identify domestic parties having a legitimate interest in the use and management of fisheries resource. **Lacking in all parameters.**	**Insufficient** attempts have been made to identify domestic parties having a legitimate interest in the use and management of fisheries resource. **Lacking in two parameters.**	**Moderate** attempts have been made to identify domestic parties having a legitimate interest in the use and management of fisheries resource. **Lacking in one parameter.**	The state seeks to identify domestic parties having a legitimate interest in the use and management of the fishery. **Fulfils all parameters.**

Evaluation Parameters

Process: Interested parties have been identified.

Current Status/Appropriateness/Effectiveness: There is evidence that domestic parties having a legitimate interest in the use and management of the fishery have been identified.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include laws, fishery management plans, regulations, and meeting records.

8.2.1 Arrangements shall be made to consult these parties and gain their collaboration in achieving responsible fisheries.

FAO CCRF 7.1.2; Others 7.1.6

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
No arrangements have been made to consult these parties and gain their collaboration. **Lacking in all parameters.**	**Insufficient** arrangements have been made to consult these parties and gain their collaboration. **Lacking in two parameters.**	**Moderate** arrangements have been made to consult these parties and gain their collaboration. **Lacking in one parameter.**	Arrangements are made to consult these parties and gain their collaboration in achieving responsible fisheries. **Fulfils all parameters.**

Evaluation Parameters

Process: There is a process to consult these parties.

Current Status/Appropriateness/Effectiveness: There is evidence of consultation of these parties.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include, meeting records.

8.3 Fleet capacity operating in the fishery shall be measured. States shall maintain, in accordance with recognized international standards and practices, statistical data, updated at regular intervals, on all fishing operations and a record of all authorizations to fish allowed by them.

FAO 8.1.2, 8.1.3

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
There is **no** collection of measurement of fleet capacity operating in the fleet, and maintenance of regularly updated statistical data on all fishing operations allowed does **not** exist. **Lacking in all parameters.**	There is **insufficient** collection of measurement of fleet capacity operating in the fleet, and maintenance of regularly updated statistical data on all fishing operations allowed is insufficient. **Lacking in two parameters.**	**There is moderate** collection of measurement of fleet capacity operating in the fleet, and maintenance of regularly updated, statistical data on all fishing operations allowed is **moderate**. **Lacking in one parameter.**	Fleet capacity operating in the fishery is measured. The local management body maintains, in accordance with recognized international standards and practices, statistical data, updated at regular intervals, on all fishing operations and a record of all authorizations to fish allowed by them. **Fulfils all parameters.**

Evaluation Parameters

Process: There is a system to measure fleet capacity and maintain regularly updated, statistical data on all fishing operations.

Current Status/Appropriateness/Effectiveness: There is evidence of the size of fleet capacity and of data describing fishing operation. These data are considered effective for its monitoring use.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include, fleet reports or other documents.

8.3.1 Mechanisms shall be established where excess capacity exists, to reduce capacity to levels commensurate with sustainable use of the resource. Such mechanisms shall include monitoring the capacity of fishing fleets.

FAO CCRF 7.1.8; Others 7.6.3

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
Mechanisms to reduce excess capacity to levels commensurate with sustainable use of resource, that include monitoring capacity of fishing fleet, are **not** established. **Lacking in all parameters.**	Mechanisms to reduce excess capacity to levels commensurate with sustainable use of resource, that include monitoring capacity of fishing fleet, are **insufficiently** established. **Lacking in two parameters.**	Mechanisms to reduce excess capacity to levels commensurate with sustainable use of resource, that include monitoring capacity of fishing fleet, are **moderately** established. **Lacking in one parameter.**	Mechanisms are established where excess capacity exists, to reduce capacity to levels commensurate with sustainable use of the resource. Such mechanisms include monitoring the capacity of fishing fleets. **Fulfils all parameters.**

Evaluation Parameters

Process: There is a mechanism to measure to reduce and monitor fleet capacity.

Current Status/Appropriateness/Effectiveness: This measure is effective in keeping the fleet from excess capacity. Note that the central point resides in keeping the stock in a healthy state, and excessively large fleet could cause overfishing. If overfishing does not occur, the fleet is managed effectively with regards to avoidance of resource over exploitation.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include, fleet reports, catch data and other assessment reports.

8.4 States and relevant groups from the fishing industry shall encourage the development and implementation of technologies and operational methods that reduce waste and discards of the target species. These measures shall be applied appropriately.

FAO CCRF 8.4.5

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
There is **no** encouragement and application for the development and implementation of technologies and operational methods that reduce waste and discards of the target species. **Lacking in all parameters.**	There is **insufficient** encouragement and application for the development and implementation of technologies and operational methods that reduce waste and discards of the target species. **Lacking in two parameters.**	There is **moderate** encouragement and application for the development and implementation of technologies and operational methods that reduce waste and discards of the target species. **Lacking in one parameter.**	States and relevant groups from the fishing industry encourage the development and implementation of technologies and operational methods that reduce waste and discards of the target species. These measures are applied appropriately. **Fulfils all parameters.**

Evaluation Parameters

Process: The management system and industry has encouraged the development of technologies and operational methods to reduce waste and discard of the target species.

Current Status/Appropriateness/Effectiveness: Such technologies and operational methods have been implemented The methods in use are effective in reducing waste and discards of the target species.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include various reports, regulations or other.

8.4.1 Technical measures shall be taken into account, where appropriate, in relation to fish size, mesh size or gear, discards, closed seasons, closed areas, areas reserved for particular (e.g., artisanal) fisheries, and protection of juveniles or spawners.

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
No technical measures are taken into account, where appropriate, in relation to fish size, mesh size or gear, discards, closed seasons, closed areas, areas reserved for particular (e.g. artisanal) fisheries, and protection of juveniles or spawners. **Lacking in all parameters.**	**Insufficient** technical measures are taken into account, where appropriate, in relation to fish size, mesh size or gear, discards, closed seasons, closed areas, areas reserved for particular (e.g. artisanal) fisheries, and protection of juveniles or spawners. **Lacking in two parameters.**	**Moderate** technical measures are taken into account, where appropriate, in relation to fish size, mesh size or gear, discards, closed seasons, closed areas, areas reserved for particular (e.g. artisanal) fisheries, and protection of juveniles or spawners. **Lacking in one parameter.**	Technical measures are taken into account, where appropriate, in relation to fish size, mesh size or gear, discards, closed seasons, closed areas, areas reserved for particular (e.g. artisanal) fisheries, and protection of juveniles or spawners. **Fulfils all parameters.**

Evaluation Parameters

Process: The management system has taken into account technical measures.

Current Status/Appropriateness/Effectiveness: Technical measures are taken into account, where appropriate, in relation to fish size, mesh size or gear, discards, closed seasons, closed areas, areas reserved for particular (e.g. artisanal) fisheries, and protection of juveniles or spawners.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include various reports, fishery management plans, regulations or other.

8.4.2 Suitable arrangements shall be in place to measure performance and to promote, to the extent practicable, the development and use of selective, environmentally safe and cost-effective gear, methods and techniques. In that respect, inconsistent methods, practices and gears shall be phased out accordingly.

FAO CCRF 7.6.9, 7.6.4, 8.5.2

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
There is **no** promotion of the development and use of selective, environmentally safe and cost effective gear and techniques.	There is **insufficient** promotion of the development and use of selective, environmentally safe and cost effective gear and techniques, with phasing out of inconsistent methods.	There is **moderate** promotion of the development and use of selective, environmentally safe and cost effective gear and techniques, with phasing out of inconsistent methods.	Suitable arrangements are in place to measure performance and to promote, to the extent practicable, the development and use of selective, environmentally safe and cost-effective gear, methods and techniques. In that respect, inconsistent methods, practices and gears are phased out accordingly.
Lacking in all parameters.	**Lacking in two parameters.**	**Lacking in one parameter.**	**Fulfils all parameters.**

Evaluation Parameters

Process: There are arrangements or a process in place to measure performance and to promote, to the extent practicable, development and use of selective, environmentally safe and cost-effective gear, methods and techniques.

Current Status/Appropriateness/Effectiveness: Describe the type of gear and catch methods used in the fishery. The gear, methods and techniques are selective, environmentally safe and cost-effective. Non-selective, environmentally destructive and cost ineffective gear phased out accordingly.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include various reports, fishery management plans, regulations or other, etc…

8.4.3 Fishing gear shall be marked in accordance with national legislation in order that the owner of the gear can be identified. Gear marking requirements shall take into account uniform and internationally recognizable gear marking systems.

FAO CCRF 8.2.4

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
There is **no** gear marking, in accordance with national legislation in order that the owner of the gear can be identified, that takes into account internationally recognizable gear marking systems. **Lacking in all parameters.**	There is **insufficient** gear marking, in accordance with national legislation in order that the owner of the gear can be identified, that takes into account internationally recognizable gear marking systems. **Lacking in two parameters.**	There is **moderate** gear marking, in accordance with national legislation in order that the owner of the gear can be identified, that takes into account internationally recognizable gear marking systems. **Lacking in one parameter.**	Fishing gear is marked in accordance with national legislation in order that the owner of the gear can be identified. Gear marking requirements take into account uniform and internationally recognizable gear marking systems. **Fulfils all parameters.**

Evaluation Parameters

Process: There is regulation for gear marking.

Current Status/Appropriateness/Effectiveness: Fixed gear is marked according to national legislation, and lost gear can be identified back to owner.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include various fleet reports and regulations.

9. There shall be defined management measures designed to maintain stocks at levels capable of producing maximum sustainable yields.

FAO CCRF 7.1.8, 7.6.3, 7.6.6, 8.4.5, 8.4.6, 8.5.1, 8.5.3, 8.5.4, 8.11.1, 12.10; ECO 29.2bis

9.1 Measures shall be introduced to identify and protect depleted resources and those resources threatened with depletion, and to facilitate the sustained recovery of such stocks. Also, efforts shall be made to ensure that resources and habitats critical to the well-being of such resources which have been adversely affected by fishing or other human activities are restored.

FAO CCRF 7.6.10; ECO 30

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
No measures have been introduced that identify and protect depleted resources and those threatened with depletion, that facilitate the sustained recovery of such stocks, or that restore resources and habitats critical to the well-being of such resources which have been adversely affected.	**Insufficiently** effective measures have been introduced that identify and protect depleted resources and those threatened with depletion, that facilitate the sustained recovery of such stocks, or that restore resources and habitats critical to the well-being of such resources which have been adversely affected.	**Moderately** effective measures have been introduced that identify and protect depleted resources and those threatened with depletion, that facilitate the sustained recovery of such stocks, and that restore resources and habitats critical to the well-being of such resources which have been adversely affected.	Measures have been introduced to identify and protect depleted resources and those resources threatened with depletion, and to facilitate the sustained recovery of such stocks. Also, efforts are made to ensure that resources and habitats critical to the well-being of such resources which have been adversely affected by fishing or other human activities are restored.
Lacking in all parameters.	**Lacking in two parameters.**	**Lacking in one parameter.**	**Fulfils all parameters.**

Evaluation Parameters

Process: There is a process, system, or regulations aimed at identifying and protecting depleted resources and those threatened with depletion, that facilitates the sustained recovery of the stocks, resources, and habitats.

Current Status/Appropriateness/Effectiveness: If the stock(s) in question is in need of recovery (i.e., overfished), and the habitat is in need of restoration (i.e., significantly impacted), there are active efforts to restore the depleted resource and habitat.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include various ecosystem or stock assessment reports.

9.2 When deciding on use, conservation and management of the resource, due recognition shall be given, where relevant, in accordance with national laws and regulations, to the traditional practices, needs and interests of indigenous people and local fishing communities which are highly dependent on these resources for their livelihood.

FAO CCRF 7.6.6

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
Management has **not** taken into account traditional practices and interests of indigenous people, and local communities highly dependent on the resource for their livelihood.	Management has **insufficiently** taken into account traditional practices and interests of indigenous people, and local communities highly dependent on the resource for their livelihood.	Management has **moderately** taken into account traditional practices and interests of indigenous people, and local communities highly dependent on the resource for their livelihood.	When deciding on use, conservation and management of the resource, due recognition is given, where relevant, in accordance with national laws and regulations, to the traditional practices, needs and interests of indigenous people and local fishing communities which are highly dependent on these resources for their livelihood.
Lacking in all parameters.	**Lacking in two parameters.**	**Lacking in one parameter.**	**Fulfils all parameters.**

Evaluation Parameters

Process: There are national laws and regulations to recognize and decide on use for indigenous people and local fishing communities which are highly dependent on these resources for their livelihood.

Current Status/Appropriateness/Effectiveness: Allocation is given to the appropriate indigenous people and local fishing communities.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include various laws, data and reports.

9.3 States and relevant groups from the fishing industry shall encourage the development and implementation of technologies and operational methods that reduce discards of the target and non-target species catch. The use of fishing gear and practices that lead to the discarding of catch shall be discouraged and the use of fishing gear and practices that increase survival rates of escaping fish shall be promoted.

FAO CCRF 8.4.5

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
The use of technologies, material and operational methods are **not** promoted and applied to reduce discards and increase survival rates of escaping fish.	The use of technologies, material and operational methods are **insufficiently** promoted and applied to reduce discards and increase survival rates of escaping fish.	The use of technologies, material and operational methods are **moderately** promoted and applied to reduce discards and increase survival rates of escaping fish.	The state and relevant groups from the fishing industry encourage the development and implementation of technologies and operational methods that reduce discards of the target and non-target species catch. The use of fishing gear and practices that lead to the discarding of catch is discouraged and the use of fishing gear and practices that increase survival rates of escaping fish is promoted.
Lacking in all parameters.	**Lacking in two parameters.**	**Lacking in one parameter.**	**Fulfils all parameters.**

Evaluation Parameters

Process: There has been development of technologies and operational methods applied to reduce discards.

Current Status/Appropriateness/Effectiveness: These methods are effective in reducing discards.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include various laws, data and reports.

9.4 Technologies, materials and operational methods shall be applied to minimize the loss of fishing gear and the ghost fishing effects of lost or abandoned fishing gear.

FAO CCRF 8.4.6, 8.4.1

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
The use of technologies, materials and operational methods are **not** applied to minimize the loss of fishing gear and the ghost fishing effects of lost or abandoned fishing gear. **Lacking in all parameters.**	The use of technologies, materials and operational methods are **insufficiently** applied to minimize the loss of fishing gear and the ghost fishing effects of lost or abandoned fishing gear. **Lacking in two parameters.**	The use of technologies, materials and operational methods are **moderately** applied to minimize the loss of fishing gear and the ghost fishing effects of lost or abandoned fishing gear. **Lacking in one parameter.**	Technologies, materials and operational methods are applied to minimize the loss of fishing gear and the ghost fishing effects of lost or abandoned fishing gear. **Fulfils all parameters.**

Evaluation Parameters

Process: There has been development of technologies, materials and operational methods, that minimize the loss of fishing gear and the ghost fishing effects of lost or abandoned fishing gear.

Current Status/Appropriateness/Effectiveness: Describe the effects and implications of lost fishing gear.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include various laws, data and reports.

9.5 There shall be a requirement that fishing gear, methods and practices where practicable, are sufficiently selective as to minimize waste, discards, and catch of non-target species - both fish and non-fish species and impacts on associated or dependent species.

FAO CCRF 7.6.9, 7.2.2

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
There is **no** requirement for fishing gear, methods and practices where practicable, to be sufficiently selective to minimize waste, discards, and catch of non-target species (both fish and non-fish), as well as impacts on associated or dependent species. **Lacking in all parameters.**	There is **insufficient** requirement for fishing gear, methods and practices where practicable, to be sufficiently selective to minimize waste, discards, and catch of non-target species (both fish and non-fish), as well as impacts on associated or dependent species. **Lacking in two parameters.**	There is **moderate** requirement for fishing gear, methods and practices where practicable, to be sufficiently selective to minimize waste, discards, and catch of non-target species (both fish and non-fish), as well as impacts on associated or dependent species. **Lacking in one parameter.**	There is a requirement that fishing gear, methods and practices where practicable, are sufficiently selective to minimize waste, discards, and catch of non-target species (both fish and non-fish), as well as impacts on associated or dependent species. **Fulfils all parameters.**

Evaluation Parameters

Process: There are requirements for adoption of methods to increase selectivity and to minimize bycatch, waste and discards of non-target species.

Current Status/Appropriateness/Effectiveness: The adopted methods are successful and effective in minimizing bycatch, waste and discards of non-target species.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include various laws, data and reports.

9.6 The intent of fishing selectivity and fishing impacts related regulations shall not be circumvented by technical devices and information on new developments and requirements shall be made available to all fishers.

FAO CCRF 8.5.1

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
Information on new developments and requirements is **not** made available to all fishers. **Lacking in all parameters.**	Information on new developments and requirements is **insufficiently** made available to all fishers. **Lacking in two parameters.**	Information on new developments and requirements is **moderately** made available to all fishers. **Lacking in one parameter.**	The intent of fishing selectivity and fishing impacts related regulations is not circumvented by technical devices and information on new developments and requirements is made available to all fishers. **Fulfils all parameters.**

Evaluation Parameters

Process: There is a system that makes available information on new developments and requirements to all fishers to avoid circumvention of fishing regulation.

Current Status/Appropriateness/Effectiveness: The adopted methods are successful and effective making known fishing regulation to the participants. Enforcement data are highlighting significant violations.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include various data and reports.

9.7 International cooperation shall be encouraged with respect to research programs for fishing gear selectivity and fishing methods and strategies, dissemination of the results of such research programs and the transfer of technology.

FAO CCRF 8.5.4

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
International cooperation is **not** encouraged for research programs for fishing selectivity and fishing methods strategies, and dissemination of information and technology transfer. **Lacking in all parameters.**	International cooperation is **insufficiently** encouraged for research programs for fishing selectivity and fishing methods strategies, and dissemination of information and technology transfer. **Lacking in two parameters.**	International cooperation is **moderately** encouraged for research programs for fishing selectivity and fishing methods strategies, and dissemination of information and technology transfer. **Lacking in one parameter.**	International cooperation is encouraged with respect to research programs for fishing gear selectivity and fishing methods and strategies, dissemination of the results of such research programs and the transfer of technology. **Fulfils all parameters.**

Evaluation Parameters

Process: There is a system of international information exchange to allow knowledge to be shared

Current Status/Appropriateness/Effectiveness: There is evidence for international information exchange, such as meeting records or other information.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include various data and reports.

9.8 States and relevant institutions involved in the fishery shall collaborate in developing standard methodologies for research into fishing gear selectivity, fishing methods and strategies, and on the behaviour of target and nontarget species in relation to such fishing gear as an aid for management decisions and with a view to minimizing non-utilized catches.

FAO CCRF 8.5.3, 12.10

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
There are **no** standard methodologies developed for studies on fishing gear selectivity and methods been decided by States and relevant institutions involved.	There are **insufficient** standard methodologies developed for studies on fishing gear selectivity and methods been decided by States and relevant institutions involved.	There are **moderate** standard methodologies developed for studies on fishing gear selectivity and methods been decided by States and relevant institutions involved.	States and relevant institutions involved in the fishery collaborate in developing standard methodologies for research into fishing gear selectivity, fishing methods and strategies, and on the behaviour of target and non-target species in relation to such fishing gear as an aid for management decisions and with a view to minimizing non-utilized catches.
Lacking in all parameters.	**Lacking in two parameters.**	**Lacking in one parameter.**	**Fulfils all parameters.**

Evaluation Parameters

Process: There is collaborative research into fishing gear selectivity, fishing methods and strategies.

Current Status/Appropriateness/Effectiveness: There is evidence of such research, and the results have been applied accordingly in fisheries management.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include various data and reports.

9.9 Policies shall be developed for increasing stock populations and enhancing fishing opportunities through the use of artificial structures, placed with due regard to the safety of navigation.

FAO CCRF 8.11.1

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
There are **no** policies developed for increasing stock populations and enhancing fishing opportunities through the use of artificial structures. **Lacking in all parameters.**	There are **insufficiently** effective policies developed for increasing stock populations and enhancing fishing opportunities through the use of artificial structures. **Lacking in two parameters.**	There are **moderately** effective policies developed for increasing stock populations and enhancing fishing opportunities through the use of artificial structures. **Lacking in one parameter.**	Policies are developed for increasing stock populations and enhancing fishing opportunities through the use of artificial structures, placed with due regard to the safety of navigation. **Fulfils all parameters.**

Evaluation Parameters

The use of artificial structures may be adequate for some stocks but not necessary for all. This clause may therefore not be applicable if such structures are not practical or appropriate for stocks.

Process: There is a need and a policy developed for increasing stock populations and enhancing fishing opportunities through the use of artificial structures.

Current Status/Appropriateness/Effectiveness: These policies are effective in their function.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include various laws, data and reports.

9.9.1 States shall ensure that, when selecting the materials to be used in the creation of artificial reefs as well as when selecting the geographical location of such artificial reefs, the provisions of relevant international conventions concerning the environment and safety of navigation are observed.

FAO CCRF 8.11.2

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
No care has been taken in the selection of materials to use in constructing artificial reefs, in the selection of sites for their deployment, or to ensure that relevant conventions concerning the environment and the safety of navigation have been observed. **Lacking in all parameters.**	**Insufficient** care has been taken in the selection of materials to use in constructing artificial reefs, in the selection of sites for their deployment, or to ensure that relevant conventions concerning the environment and the safety of navigation have been observed. **Lacking in two parameters.**	**Moderate** care has been taken in the selection of materials to use in constructing artificial reefs, in the selection of sites for their deployment, or to ensure that relevant conventions concerning the environment and the safety of navigation have been observed. **Lacking in one parameter.**	States ensure that, when selecting the materials to be used in the creation of artificial reefs as well as when selecting the geographical location of such artificial reefs, the provisions of relevant international conventions concerning the environment and safety of navigation are observed. **Fulfils all parameters.**

Evaluation Parameters

This clause is not applicable if clause 9.9 is not applicable.

Process: Appropriate measures have been taken for artificial reefs that favour environmental protection, safety, and navigation.

Current Status/Appropriateness/Effectiveness: Care has been taken in the selection of materials to use in constructing artificial reefs, the selection of sites for their deployment. Care has been taken to ensure that relevant conventions concerning the environment and the safety of navigation have been observed.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include various laws, data and reports.

9.9.2 States shall, within the framework of coastal area management plan, establish management systems for artificial reefs and fish aggregation devices. Such management systems shall require approval for the construction and deployment of such reefs and devices and shall take into account the interests of fishers, including artisanal and subsistence fishers.

FAO CCRF 8.11.3

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
There are **no** management plans for artificial reefs or fish aggregation devices integrated within the framework of coastal area management plans taking into account the interest of fishers, including artisanal and subsistence fishers.	There are **insufficiently** effective management plans for artificial reefs or fish aggregation devices integrated within the framework of coastal area management plans taking into account the interest of fishers, including artisanal and subsistence fishers.	There are **moderately** effective management plans for artificial reefs or FADs integrated within the framework of coastal area management plans taking into account the interest of fishers, including artisanal and subsistence fishers.	The state within the framework of coastal area management plan, establish management systems for artificial reefs and fish aggregation devices. Such management systems require approval for the construction and deployment of such reefs and devices and take into account the interests of fishers, including artisanal and subsistence fishers.
Lacking in all parameters.	**Lacking in two parameters.**	**Lacking in one parameter.**	**Fulfils all parameters.**

Evaluation Parameters

This clause is not applicable if clause 9.9 is not applicable.

Process: Management plans for artificial reefs or fish aggregation devices integrated within the framework of coastal area management plans take into account the interest of fishers.

Current Status/Appropriateness/Effectiveness: Management plans for artificial reefs or fish aggregation devices s have been effectively integrated within the framework of coastal area management plans, and these plans effectively take into account the interest of fishers, including artisanal and subsistence fishers.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include various laws, plans, data and reports.

10. Fishing operations shall be carried out by fishers with appropriate standards of competence in accordance with international standards and guidelines and regulations.

FAO CCRF 8.1.7, 8.1.10, 8.2.4, 8.4.5

10.1 States shall enhance through education and training programmes the education and skills of fishers and, where appropriate, their professional qualifications. Such programmes shall take into account agreed international standards and guidelines.

FAO CCRF 8.1.7, 8.4.1

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
No education and training programmes for fishers have been implemented that meet international standards and guidelines. **Lacking in all parameters.**	**Insufficiently** effective education and training programmes for fishers have been implemented that meet international standards and guidelines. **Lacking in two parameters.**	**Moderately** effective education and training programmes for fishers have been implemented that meet international standards and guidelines. **Lacking in one parameter.**	States enhance through education and training programmes the education and skills of fishers and, where appropriate, their professional qualifications. Such programmes take into account agreed international standards and guidelines. **Fulfils all parameters.**

Evaluation Parameters

Process: There are implemented education programmes for fishers.

Current Status/Appropriateness/Effectiveness: These programmes are effective in training fishers, in line with international standards and guidelines.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include various data, websites.

10.2 States, with the assistance of relevant international organizations, shall endeavour to ensure through education and training that all those engaged in fishing operations be given information on the most important provisions of the FAO CCRF, as well as provisions of relevant international conventions and applicable environmental and other standards that are essential to ensure responsible fishing operations.

FAO CCRF 8.1.10

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
There are **no** education and training measures making fishers aware of the provisions of FAO CCRF and other applicable environmental and other standards essential for responsible fisheries.	There are **insufficient** education and training measures making fishers aware of the provisions of the FAO CCRF and other applicable environmental and other standards essential for responsible fisheries.	There are **moderate** education and training measures making fishers aware of the provisions of the FAO CCRF and other applicable environmental and other standards essential for responsible fisheries.	States, with the assistance of relevant international organizations, endeavour to ensure through education and training that all those engaged in fishing operations be given information on the most important provisions of the FAO CCRF, as well as provisions of relevant international conventions and applicable environmental and other standards that are essential to ensure responsible fishing operations.
Lacking in all parameters.	**Lacking in two parameters.**	**Lacking in one parameter.**	**Fulfils all parameters.**

Evaluation Parameters

Process: There are relevant measures of the code and other applicable environmental and other standards being exposed to fishers for their training.

Current Status/Appropriateness/Effectiveness: These programmes are effective in training fishers, in line with international standards and guidelines and the Code's principle.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include various data, websites.

10.3 States shall, as appropriate, maintain records of fishers which shall, whenever possible, contain information on their service and qualifications, including certificates of competency, in accordance with their national laws.

FAO CCRF 8.1.8

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
There are **no** records kept of fishers, including wherever possible, qualification in accordance with their national laws.	There are **insufficient** records kept of fishers, including wherever possible, qualification in accordance with their national laws.	There are **moderately** appropriate records kept of fishers, including wherever possible, qualification in accordance with their national laws.	The State shall as appropriate, maintain records of fishers which, whenever possible, contain information on their service and qualifications, including certificates of competency, in accordance with their national laws.
Lacking in all parameters.	**Lacking in two parameters.**	**Lacking in one parameter.**	**Fulfils all parameters.**

Evaluation Parameters

Process: There is a system to collect and maintain fishermen records.

Current Status/Appropriateness/Effectiveness: These records are considered accurate and effective for management purposes.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include various data or reports.

E. Implementation, Monitoring and Control

11. An effective legal and administrative framework shall be established and compliance ensured through effective mechanisms for monitoring, surveillance, control and enforcement for all fishing activities within the jurisdiction.

FAO CCRF 7.1.7, 7.7.3, 7.6.2, 8.1.1, 8.1.4, 8.2.1; ECO 29.5

11.1. Effective mechanisms shall be established for fisheries monitoring, surveillance, control and enforcement measures including, where appropriate, observer programmes, inspection schemes and vessel monitoring systems, to ensure compliance with the conservation and management measures for the fishery in question.

FAO CCRF 7.1.7; Others 7.7.3, 8.1.1; ECO 29.5

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
There are **no** mechanisms established for fisheries monitoring, surveillance and control.	There are **insufficiently** effective mechanisms established for fisheries monitoring, surveillance and control.	There are **moderately** effective mechanisms established for fisheries monitoring, surveillance and control.	Effective mechanisms are established for fisheries monitoring, surveillance, control and enforcement measures including, where appropriate, observer programmes, inspection schemes and vessel monitoring systems, to ensure compliance with the conservation and management measures for the fishery in question.
Lacking in all parameters.	**Lacking in two parameters.**	**Lacking in one parameter.**	**Fulfils all parameters.**

Evaluation Parameters

Process: There is a mechanism established for fisheries monitoring, surveillance and control.

Current Status/Appropriateness/Effectiveness: These mechanisms include effective observer, inspection scheme, and vessel monitoring schemes. Note that mechanism may all be there or may be somehow integrated depending on the individual characteristics and need of fisheries. For example observer schemes and inspection schemes may be one of the same and vessel monitoring schemes may be required to different degrees. Provide data to quantify boarding and violations.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include rules and regulations, enforcement reports.

11.2 Fishing vessels shall not be allowed to operate on the resource in question without specific authorization.

FAO CCRF 7.6.2 Other 8.1.2, 8.2.1

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
The local management body does **not** maintain an updated record of all authorization to fish. **Lacking in all parameters.**	The local management body maintain an **insufficiently** updated record of all authorization to fish. **Lacking in two parameters.**	The local management body maintain a **moderately** updated record of all authorization to fish. **Lacking in one parameter.**	Fishing vessels are not allowed to operate on the resource in question without specific authorization. **Fulfils all parameters.**

Evaluation Parameters

Process: There is a mechanism or system established to maintain a record of fishing authorizations.

Current Status/Appropriateness/Effectiveness: This mechanism is effective for maintaining updated records of fishing authorizations.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include various data.

11.3 States involved in the fishery shall, in accordance with international law, within the framework of sub-regional or regional fisheries management organizations or arrangements, cooperate to establish systems for monitoring, control, surveillance and enforcement of applicable measures with respect to fishing operations and related activities in waters outside their national jurisdiction.

FAO CCRF 8.1.4

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
Within a regional framework involving other regional bodies, the local management body is **not** cooperating in establishing systems for monitoring, control and surveillance and enforcement of measures regulating fishing operations in waters outside their national jurisdiction. **Lacking in all parameters.**	Within a regional framework involving other regional bodies, the local management body is cooperating **insufficiently** in establishing systems for monitoring, control and surveillance and enforcement of measures regulating fishing operations in waters outside their national jurisdiction. **Lacking in two parameters.**	Within a regional framework involving other regional bodies, the local management body is cooperating **moderately** in establishing systems for monitoring, control and surveillance and enforcement of measures regulating fishing operations in waters outside their national jurisdiction. **Lacking in one parameter.**	States involved in the fishery do, in accordance with international law, within the framework of sub-regional or regional fisheries management organizations or arrangements, cooperate to establish systems for monitoring, control, surveillance and enforcement of applicable measures with respect to fishing operations and related activities in waters outside their national jurisdiction. **Fulfils all parameters.**

Evaluation Parameters

Not applicable if the fishery does not occur outside the State's Exclusive Economic Zone.

Process: There is a mechanism or system established to conduct enforcement operations outside the country jurisdiction.

Current Status/Appropriateness/Effectiveness: This mechanism is enforcing operations in internationally occurring fisheries.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include enforcement reports.

11.3.1 States which are members of or participants in sub-regional or regional fisheries management organizations or arrangements shall implement internationally agreed measures adopted in the framework of such organizations or arrangements and consistent with international law to deter the activities of vessels flying the flag of non-members or non-participants which engage in activities which undermine the effectiveness of conservation and management measures established by such organizations or arrangements. In that respect, Port States shall also proceed, as necessary, to achieve and to assist other States in achieving the objectives of the FAO CCRF, and should make known to other States details of regulations and measures they have established for this purpose without discrimination for any vessel of any other State.

FAO CCRF 7.7.5, 8.3.1

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
The State has **not** implement internationally agreed measures consistent with international law to deter the activities of vessels flying the flag of non-members or non-participants which engage in activities which undermine the effectiveness of conservation and management measures established by regional organizations or arrangements.	The State has **insufficiently** implement internationally agreed measures consistent with international law to deter the activities of vessels flying the flag of non-members or non-participants which engage in activities which undermine the effectiveness of conservation and management measures established by regional organizations or arrangements.	The State has **moderately** implement internationally agreed measures consistent with international law to deter the activities of vessels flying the flag of non-members or non-participants which engage in activities which undermine the effectiveness of conservation and management measures established by regional organizations or arrangements.	The state which is members of or participants in sub-regional or regional fisheries management organizations or arrangements implements internationally agreed measures adopted in the framework of such organizations or arrangements and consistent with international law to deter the activities of vessels flying the flag of non-members or non-participants which engage in activities which undermine the effectiveness of conservation and management measures established by such organizations or arrangements. In that respect, Port States also proceed, as necessary, to achieve and to assist other States in achieving the objectives of the FAO CCRF, and make known to other States details of regulations and measures they have established for this purpose without discrimination for any vessel of any other State.
Lacking in all parameters.	**Lacking in two parameters.**	**Lacking in one parameter.**	**Fulfils all parameters.**

Evaluation Parameters

Not applicable if the fishery does not occur outside the State's Exclusive Economic Zone.

Process: There are regulations established against vessels flying the flag of non-members or non-participants country which may engage in activities which undermine the effectiveness of conservation and management measures established by regional bodies.

Current Status/Appropriateness/Effectiveness: These measures are effective in deterring such practices.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include enforcement or other reports.

11.4 Flag States shall ensure that no fishing vessels entitled to fly their flag fish on the high seas or in waters under the jurisdiction of other States unless such vessels have been issued with a Certificate of Registry and have been authorized to fish by the competent authorities. Such vessels shall carry on board the Certificate of Registry and their authorization to fish.

FAO CCRF 8.2.2

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
No Certificate of Registry issued to vessels.	An **insufficient** number of vessels have been issued the Certificate of Registry.	A **moderate** number of vessels have been issued the Certificate of Registry.	The flag State ensures that no fishing vessels entitled to fly their flag fish on the high seas or in waters under the jurisdiction of other States unless such vessels have been issued with a Certificate of Registry and have been authorized to fish by the competent authorities. Such vessels carry on board the Certificate of Registry and their authorization to fish.
Lacking in all parameters.	**Lacking in two parameters.**	**Lacking in one parameter.**	**Fulfils all parameters.**

Evaluation Parameters

Not applicable if no foreign vessels fish in the State's EEZ, or if its vessels do not fish in high seas or in another State's EEZ.

Process: There are foreign vessels fishing in State's EEZ. State's EEZ vessels do not fish in high seas or in another State's EEZ.

Current Status/Appropriateness/Effectiveness: These vessels have been issued with a Certificate of Registry and they are required to carry it on board.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include various laws, regulations and other data or reports.

11.4.1 Fishing vessels authorized to fish on the high seas or in waters under the jurisdiction of a State other than the flag State shall be marked in accordance with uniform and internationally recognizable vessel marking systems such as the FAO Standard Specifications and Guidelines for Marking and Identification of Fishing Vessels.

FAO CCRF 8.2.3

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
Vessels have **not** been marked in accordance with uniform and internationally recognizable vessel marking systems such as the FAO Standard Specifications and Guidelines for Marking and Identification of Fishing Vessels. **Lacking in all parameters.**	An **insufficient** number of vessels have been marked in accordance with uniform and internationally recognizable vessel marking systems such as the FAO Standard Specifications and Guidelines for Marking and Identification of Fishing Vessels. **Lacking in two parameters.**	A **moderate** number of vessels have been marked in accordance with uniform and internationally recognizable vessel marking systems such as the FAO Standard Specifications and Guidelines for Marking and Identification of Fishing Vessels. **Lacking in one parameter.**	Fishing vessels authorized to fish on the high seas or in waters under the jurisdiction of a State other than the flag State, are marked in accordance with uniform and internationally recognizable vessel marking systems such as the FAO Standard Specifications and Guidelines for Marking and Identification of Fishing Vessels. **Fulfils all parameters.**

Evaluation Parameters

Not applicable if no foreign vessels fish in the State's EEZ or if its vessels do not fish in high seas or in another State's EEZ.

Process: There are foreign vessels fishing in State's EEZ. State's EEZ vessels do not fish in high seas or in another State's EEZ.

Current Status/Appropriateness/Effectiveness: Foreign vessels authorized to fish in the State's EEZ or its vessels fishing in another State's EEZ have been marked accordingly to international guidelines.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include various laws, regulations and other data or reports.

12. There shall be a framework for sanctions for violations and illegal activities of adequate severity to support compliance and discourage violations.

FAO CCRF 7.7.2, 8.2.7

12.1 National laws of adequate severity shall be in place that provide for effective sanctions.

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
National laws of adequate severity are **not** in place that provides effective sanctions. **Lacking in all parameters.**	National laws of adequate severity are in place but are **insufficiently** effective in providing for effective sanctions. **Lacking in two parameters.**	National laws of adequate severity are in place but are **moderately** effective in providing for effective sanctions. **Lacking in one parameter.**	National laws of adequate severity are in place that provide for effective sanctions. **Fulfils all parameters.**

Evaluation Parameters

Process: There are laws in place to allow for adequate severity and for the provision of effective sanctions.

Current Status/Appropriateness/Effectiveness: There are sanctions in place for those who violate fisheries laws. These laws are considered effective in their scope.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include various laws, regulations and other data or reports.

12.1.1 Sanctions shall be in force that affects authorization to fish and/or to serve as masters or officers of a fishing vessel, in the event of non-compliance with conservation and management measures.

FAO CCRF 7.7.2, 8.1.9, 8.2.7

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
Sanctions considered effective in severity to deter violators are **not** in force. **Lacking in all parameters.**	Sanctions are in force but **insufficiently** effective to affect authorization to fish and/or to serve as masters or officers of a fishing vessel, in the event of non-compliance with conservation and management measures. **Lacking in two parameters.**	Sanctions are in force but **insufficiently** effective to affect authorization to fish and/or to serve as masters or officers of a fishing vessel, in the event of non-compliance with conservation and management measures. **Lacking in one parameter.**	Sanctions are in force that affects authorization to fish and/or to serve as masters or officers of a fishing vessel, in the event of non-compliance with conservation and management measures. **Fulfils all parameters.**

Evaluation Parameters

Process: The system of sanctions in place is severe enough to deter violations.

Current Status/Appropriateness/Effectiveness: There is evidence to substantiate that sanctions for violations of regulations (e.g., suspension, withdrawal or refusals of fishing permit or of the right to fish) are adequate in severity to secure compliance and discourage violations.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include various laws, regulations and other

data or reports.

12.2 Flag States shall take enforcement measures in respect of fishing vessels entitled to fly their flag which have been found by them to have contravened applicable conservation and management measures, including, where appropriate, making the contravention of such measures an offence under national legislation.

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
There are **no** enforcement measures for fishing vessels entitled to fly their State flag when the vessels have been found by the State to have contravened applicable conservation and management measures.	There are **insufficiently** effective enforcement measures available for fishing vessels entitled to fly their State flag when the vessels have been found by the State to have contravened applicable conservation and management measures.	There are **moderately** effective enforcement measures available for fishing vessels entitled to fly their State flag when the vessels have been found by the State to have contravened applicable conservation and management measures.	Flag States take enforcement measures with fishing vessels entitled to fly their flag if the vessels have been found by the State to have contravened applicable conservation and management measures. These enforcement measures will include, where appropriate, making the contravention of such measures an offence under national legislation.
Lacking in all parameters.	**Lacking in two parameters.**	**Lacking in one parameter.**	**Fulfils all parameters.**

Evaluation Parameters

Not applicable if no foreign vessels fish in the State's EEZ or if its vessels do not fish in high seas or in another State's EEZ.

Process: If applicable, the system of enforcement measures is effective for foreign vessels fishing in the State's EEZ or for its vessels fishing in high seas or in another State's EEZ.

Current Status/Appropriateness/Effectiveness: There is evidence to substantiate enforcement action in these cases i.e., boarding, violations.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include various laws, regulations and other data or enforcements reports.

12.2.1 Sanctions applicable in respect of violations and illegal activities shall be adequate in severity to be effective in securing compliance and discouraging violations wherever they occur.

FAO CCRF 8.2.7

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
Sanctions are **not** effective in severity to deter violators and illegal activities.	Sanctions are in force but **insufficiently** effective in severity to deter violators and illegal activities.	Sanctions are in force but **moderately** effective in severity to deter violators and illegal activities.	Sanctions applicable in respect of violations and illegal activities are adequate in severity to be effective in securing compliance and discouraging violations wherever they occur.
Lacking in all parameters.	**Lacking in two parameters.**	**Lacking in one parameter.**	**Fulfils all parameters.**

Evaluation Parameters

Process: The system of sanctions in place is severe enough to deter violations and illegal activities.

Current Status/Appropriateness/Effectiveness: There is evidence to substantiate that such sanctions are adequate in severity to secure compliance and discourage violations and illegal activities. Illegal activities may include illegal, unreported and unregulated fishing, and shark finning, among others.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include various laws, regulations and other data or enforcement reports.

F. Serious Impacts of the Fishery on the Ecosystem

13. Considerations of fishery interactions and effects on the ecosystem shall be based on best available science, local knowledge where it can be objectively verified and using a risk based management approach for determining most probable adverse impacts. Adverse impacts on the fishery on the ecosystem shall be appropriately assessed and effectively addressed.

FAO CCRF 7.2.3, 8.4.7, 8.4.8, 12.11; ECO 29.3, 31

13.1 States shall assess the impacts of environmental factors on target stocks and species belonging to the same ecosystem or associated with or dependent upon the target stocks, and assess the relationship among the populations in the ecosystem.

FAO CCRF 7.2.3

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
There is **no** assessment of the impacts of environmental factors on target stocks and associated species in the same ecosystems. **Lacking in all parameters.**	There is **insufficient** assessment of the impacts of environmental factors on target stocks and associated or dependant species in the same ecosystems, and the relationships among these species. **Lacking in two parameters.**	There is **moderate** assessment of the impacts of environmental factors on target stocks and associated or dependant species in the same ecosystems, and the relationships among these species. **Lacking in one parameter.**	The State assesses the impacts of environmental factors on target stocks and species belonging to the same ecosystem or associated with or dependent upon the target stocks, and the relationship among the populations in the ecosystem. **Fulfils all parameters.**

Evaluation Parameters

Process: There is a process that allows for the assessment of environmental factors (e.g. climatic, oceanographic) on target stocks and associated species in the same ecosystems.

Current Status/Appropriateness/Effectiveness: There is evidence of appropriate assessments made to elucidate the impacts of environmental factors on the target stock and on associated or dependant species (to the stock) in the same ecosystems, and on the relationships among these species.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include various stock and ecosystems assessment reports**.**

13.1.1 Adverse environmental impacts on the resources from human activities shall be assessed and, where appropriate, corrected.

FAO CCRF 7.2.2

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
There is **no** assessment and corrections where appropriate, of adverse environmental impacts on the resources from human activities. **Lacking in all parameters.**	There is **insufficient** assessment and corrections, where appropriate, of adverse environmental impacts on the resources from human activities. **Lacking in two parameters.**	There is **moderate** assessment and corrections where appropriate, of adverse environmental impacts on the resources from human activities. **Lacking in one parameter.**	Adverse environmental impacts on the resources from human activities are assessed and, where appropriate, corrected. **Fulfils all parameters**.

Evaluation Parameters

Process: There is a process that allows for the assessment of environmental impacts and their minimization or correction.

Current Status/Appropriateness/Effectiveness: There is evidence of appropriate assessments made to elucidate the impacts environmental impacts on the resources from human activities. Human impacts include both fishing and non-fishing activities. Examples may include overfishing of the target stock, significant bycatch of associated species, gear-habitat interactions, mining, dredging, pollution, introduction of exotic species, and conversion of important aquatic habitats.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include various stock and ecosystems assessment reports.

13.1.2 The most probable adverse impacts of the fishery on the ecosystem/environment shall be considered, taking into account available scientific information and local knowledge.

ECO 31

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
There is **no** accounting of most probable adverse impacts of the fishery on the ecosystem/environment. **Lacking in all parameters.**	There is **insufficient** accounting of most probable adverse impacts of the fishery on the ecosystem/environment. **Lacking in two parameters.**	There is **moderate** accounting of most probable adverse impacts of the fishery on the ecosystem/environment. **Lacking in one parameter.**	The most probable adverse impacts of the fishery on the ecosystem/environment are considered, taking into account available scientific information, and local knowledge. **Fulfils all parameters.**

Evaluation Parameters

Process: There is a system in use to account for the most probable adverse impacts of the fishery on the ecosystem/environment.

Current Status/Appropriateness/Effectiveness: There is evidence of appropriate assessments and accounting of adverse impacts of the fishery on the ecosystem/environment. Such impacts may include the most common ones such as significant impacts on non-target fishery resources (including discards), gear-habitat interactions, Endangered, Threatened, Protected (ETP) species interactions, and food web interactions.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include various stock and ecosystems assessment reports.

13.1.3 In the absence of specific information on the ecosystem impacts of fishing for the unit of certification, generic evidence based on similar fishery situations can be used for fisheries with low risk of severe adverse impact. However, the greater the risk the more specific evidence shall be necessary to ascertain the adequacy of mitigation measures.

ECO 30.4, 31.4

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
There is **no** use of generic evidence on the ecosystem impact of fishing for the unit of certification.	There is **insufficient** availability or use of generic evidence on the ecosystem impact of fishing for the unit of certification.	There is **moderate** availability or use of generic evidence on the ecosystem impact of fishing for the unit of certification.	In the absence of specific information on the ecosystem impacts of fishing for the unit of certification, generic evidence based on similar fishery situations is used for fisheries with low risk of severe adverse impact. However, the greater the risk the more specific evidence is necessary to ascertain the adequacy of mitigation measures.
Lacking in all parameters.	**Lacking in two parameters.**	**Lacking in one parameter.**	**Fulfils all parameters.**

Evaluation Parameters

Refer to clause 13.1.2 for additional information.

Process: There is specific information on the ecosystem impacts of fishing for the unit of certification present.

Current Status/Appropriateness/Effectiveness: If not, information has been utilized from generic evidence based on similar fishery situations. Based on the risk of severe adverse impact, the information shall be of higher precision for higher risk. For example, keystone species or species with relative low growth rates, high catchability, or fisheries with significant ETP, bycatch of non-target fishery resources (or non-target stocks or species or harvests or discards), or with important concerns for gear–habitat interactions can be considered high risk. If information specific to the unit of certification area is available, generic evidence based on similar fishery situations may not be necessary.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include various stock and ecosystems assessment reports.

13.1.4 Impacts that are likely to have serious consequences shall be addressed. This may take the form of an immediate management response or a further analysis of the identified risk.

ECO 29.3, 29.4, 31

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
There is **no** addressing of significant impacts employing an immediate management response or a further analysis of the identified risk. **Lacking in all parameters.**	Impacts that are likely to have serious consequences are **insufficiently** addressed employing an immediate management response or a further analysis of the identified risk. **Lacking in two parameters.**	Impacts that are likely to have serious consequences are **moderately** addressed employing an immediate management response or a further analysis of the identified risk. **Lacking in one parameter.**	Impacts that are likely to have serious consequences are addressed. This may take the form of an immediate management response or a further analysis of the identified risk. **Fulfils all parameters.**

Evaluation Parameters

Refer to clause 13.1.2 for information.

Process: There is a process that allows for impacts that are likely to have serious consequences to be addressed.

Current Status/Appropriateness/Effectiveness: If so, and if there are impacts likely to have serious consequences, there is evidence available to support the use of an immediate management response or a further analysis of the identified risk.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include various stock and ecosystems assessment reports.

13.2 Appropriate measures shall be applied to minimize catch, waste and discards of non-target species (both fish and non-fish species), and impacts on associated, dependent or endangered species.

FAO CCRF 7.6.9; ECO 31.1

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
There is **no** application of appropriate measures to minimize catch, waste and discards of non-target species (both fish and non-fish species) and impacts on associated, dependent or endangered species. **Lacking in all parameters.**	There is **insufficient** application of appropriate measures to minimize catch, waste and discards of non-target species (both fish and non-fish species) and impacts on associated, dependent or endangered species. **Lacking in two parameters.**	There are **moderate** application of appropriate measures to minimize catch, waste and discards of non-target species (both fish and non-fish species) and impacts on associated, dependent or endangered species. **Lacking in one parameter.**	Appropriate measures are applied to minimize catch, waste and discards of non-target species (both fish and non-fish species) and impacts on associated, dependent or endangered species. **Fulfils all parameters.**

Evaluation Parameters

Process: There is a system that allows for appropriate measures to be taken on non-target species bycatch, waste and discards and impacts on associated, dependent or endangered species.

Current Status/Appropriateness/Effectiveness: There are measures available to minimize catch, waste, and discards of non-target species (both fish and non-fish species). These measures are considered effective.

There are measures available to minimize impacts on associated, dependent, or endangered species. These measures are considered effective.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include various stock and ecosystems assessment reports.

13.2.1 Non-target catches, including discards, of stocks other than the "stock under consideration" shall be monitored and shall not threaten these non-target stocks with serious risk of extinction; if serious risks of extinction arise, effective remedial action shall be taken.

ECO 31.1

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
Non-target catches, including discards, of stocks other than the "stock under consideration" are **not** monitored and may threaten these non-target stocks with serious risk of extinction. **Lacking in all parameters.**	Non-target catches, including discards, of stocks other than the "stock under consideration" are **insufficiently** monitored and may threaten these non-target stocks with serious risk of extinction. For serious risks of extinction arise, effective remedial action are **insufficiently** effective. **Lacking in two parameters.**	Non-target catches, including discards, of stocks other than the "stock under consideration" are **moderately** monitored and may threaten these non-target stocks with serious risk of extinction. For serious risks of extinction arise, effective remedial action are **moderately** effective. **Lacking in one parameter.**	Non-target catches, including discards, of stocks other than the "stock under consideration" are monitored and do not threaten these non-target stocks with serious risk of extinction; if serious risks of extinction arise, effective remedial action are taken. **Fulfils all parameters.**

Evaluation Parameters

Process: There is a system to monitor non-target catches and discards of stocks other than the stock under consideration.

Current Status/Appropriateness/Effectiveness: If catches endanger these stocks with serious risk of extinction, effective remedial action is taken by the management organization. Examples may include incidental take allowances, bycatch caps, prohibited retention, safe release practices, or use of bycatch reduction devices or practices.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include various stock and ecosystems assessment reports.

13.3 The role of the "stock under consideration" in the food web shall be considered, and if it is a key prey species in the ecosystem, management measures shall be in place to avoid severe adverse impacts on dependent predators.

ECO 31.2

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
There is **no** consideration of the role of the "stock under consideration" in the food web, especially if it is a key prey species in the ecosystem, to avoid severe adverse impacts on dependent predators. **Lacking in all parameters.**	There is **insufficient** consideration of the role of the "stock under consideration" in the food web, especially if it is a key prey species in the ecosystem, with measures to avoid severe adverse impacts on dependent predators. **Lacking in two parameters.**	There is **moderate** consideration of the role of the "stock under consideration" in the food web, especially if it is a key prey species in the ecosystem, with measures to avoid severe adverse impacts on dependent predators. **Lacking in one parameter.**	The role of the "stock under consideration" in the food web is considered, and for a key prey species in the ecosystem, management measures are in place to avoid severe adverse impacts on dependent predators. **Fulfils all parameters.**

Evaluation Parameters

Process: The role of the "stock under consideration" in the food web considered, especially if the species is an important prey species in the ecosystem.

Current Status/Appropriateness/Effectiveness: The species is effectively considered in regards to food web importance by using, for example, more conservative harvest measures (for key prey species) to avoid severe adverse impacts (i.e., prey scarcity) on dependent predators.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include various stock and ecosystems assessment reports.

13.4 Pollution, waste, catch by lost or abandoned gear shall be minimized, through measures including, to the extent practicable, the development and use of selective, environmentally safe and cost effective fishing gear and techniques.

FAO CCRF 7.2.2

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
Pollution, waste, and catch by lost or abandoned gear is **not** minimized. **Lacking in all parameters.**	Pollution, waste, and catch by lost or abandoned gear is **insufficiently** minimized, including to the extent practicable, the development and use of selective, environmentally safe and cost effective fishing gear and techniques. **Lacking in two parameters.**	Pollution, waste, and catch by lost or abandoned gear is **moderately** minimized, including to the extent practicable, the development and use of selective, environmentally safe and cost effective fishing gear and techniques. **Lacking in one parameter.**	Pollution, waste, and catch by lost or abandoned gear is minimized, including to the extent practicable, the development and use of selective, environmentally safe and cost effective fishing gear and techniques. **Fulfils all parameters.**

Evaluation Parameters

Process: There is a system to minimize pollution, waste, catch by lost or abandoned gear.

Current Status/Appropriateness/Effectiveness: These measures are effective in minimizing, to the extent practicable, pollution, waste, and catch by lost or abandoned gear.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include various regulations, data and reports.

13.4.1 States shall introduce and enforce laws and regulations based on the International Convention for the Prevention of Pollution from Ships, 1973, as modified by the Protocol of 1978 relating there to (MARPOL 73/78).

FAO CCRF 8.7.1

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
There is **no** introduction and enforcement of laws and regulations based on the International Convention for the Prevention of Pollution from Ships, 1973, as modified by the Protocol of 1978 relating there to (MARPOL 73/78). **Lacking in all parameters.**	There is insufficiently **effective** introduction and enforcement of laws and regulations based on the International Convention for the Prevention of Pollution from Ships, 1973, as modified by the Protocol of 1978 relating there to (MARPOL 73/78). **Lacking in two parameters.**	There is moderately **effective** introduction and enforcement of laws and regulations based on the International Convention for the Prevention of Pollution from Ships, 1973, as modified by the Protocol of 1978 relating there to (MARPOL 73/78). **Lacking in one parameter.**	The State has introduced and enforces laws and regulations based on the International Convention for the Prevention of Pollution from Ships, 1973, as modified by the Protocol of 1978 relating there to (MARPOL 73/78). **Fulfils all parameters.**

Evaluation Parameters

Process: The appropriate regulations have been implemented.

Current Status/Appropriateness/Effectiveness: These regulations and their enforcement are effective and in line with the International Convention for the Prevention of Pollution from Ships, 1973, as modified by the Protocol of 1978 relating there to (MARPOL 73/78).

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include various regulations, data and reports.

13.5 There shall be knowledge of the essential habitats for the "stock under consideration" and potential fishery impacts on them. Impacts on essential habitats and on habitats that are highly vulnerable to damage by the fishing gear involved shall be avoided, minimized or mitigated. In assessing fishery impacts, the full spatial range of the relevant habitat shall be considered, not just that part of the spatial range that is potentially affected by fishing.

ECO 31.3

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
There is **no** knowledge basis for avoidance, minimization or mitigation of impacts on essential fish habitats for the "stock under consideration," or for consideration of the full spatial range of relevant habitat.	There is an **insufficient** knowledge basis for avoidance, minimization or mitigation of impacts on essential fish habitats for the "stock under consideration," or for consideration of the full spatial range of the relevant habitat.	There is a **moderate** knowledge basis for avoidance, minimization or mitigation of impacts on essential fish habitats for the "stock under consideration", or for consideration of the full spatial range of the relevant habitat.	There is knowledge of the essential habitats for the "stock under consideration" and potential fishery impacts on them. Impacts on essential habitats and on habitats that are highly vulnerable to damage by the fishing gear involved are avoided, minimized or mitigated. In assessing fishery impacts, the full spatial range of the relevant habitat is considered, not just that part of the spatial range that is potentially affected by fishing.
Lacking in all parameters.	**Lacking in two parameters.**	**Lacking in one parameter.**	**Fulfils all parameters.**

Evaluation Parameters

Process: There is a requirement under which knowledge of essential fish habitats is to be acquired and negative impacts on them accordingly minimized.

Current Status/Appropriateness/Effectiveness: The current knowledge on essential fish habitats for the stock under consideration is appropriate. In assessing fishery impacts, the full spatial range of the relevant habitat is considered. The measures in place are considered effective in minimizing negative effects.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include various regulations, data and reports.

13.5.1 Assessment and scientific evaluation shall be carried out on the implications of habitat disturbance impact on the fisheries and ecosystems prior to the introduction on a commercial scale of new fishing gear, methods and operations. Accordingly, the effects of such introductions shall be monitored.

FAO CCRF 8.4.7; Other 12.11

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
The implications of commercial scale introductions of a new gear or fishing operations on the fish habitat are **not** considered prior to its introduction.	The implications of commercial scale introductions of a new gear or fishing operations on the fish habitat are **insufficiently** considered prior to its introduction.	The implications of commercial scale introductions of a new gear or fishing operations on the fish habitat are **moderately** considered prior to its introduction.	Assessment and scientific evaluation is carried out on the implications of habitat disturbance impact on the fisheries and ecosystems prior to the introduction on a commercial scale of new fishing gear, methods and operations. Accordingly, the effects of such introductions are monitored.
Lacking in all parameters.	**Lacking in two parameters.**	**Lacking in one parameter.**	**Fulfils all parameters.**

Evaluation Parameters

This clause is not applicable if new gear has not been introduced in the past 3 years.

Process: New gear has been recently introduced on a commercial scale. There is a plan to introduce new gear in the forthcoming future.

Current Status/Appropriateness/Effectiveness: An appropriate assessment of potential risks has been carried out. The assessment is believed to be adequate to support habitat conservation and fishery management purposes. There is continuous monitoring.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include various regulations, data and reports.

13.6 Research shall be promoted on the environmental and social impacts of fishing gear and, in particular, on the impact of such gear on biodiversity and coastal fishing communities.

FAO CCRF 8.4.8, 7.6.4

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
Research is **not** promoted on the environmental and social impacts of fishing gear and its impacts on biodiversity and coastal fishing communities. **Lacking in all parameters.**	**Insufficient** research is promoted on the environmental and social impacts of fishing gear and its impacts on biodiversity and coastal fishing communities. **Lacking in two parameters.**	**Moderate** research is promoted on the environmental and social impacts of fishing gear and its impacts on biodiversity and coastal fishing communities. **Lacking in one parameter.**	Research is promoted on the environmental and social impacts of fishing gear and, in particular, on the impact of such gear on biodiversity and coastal fishing communities. **Fulfils all parameters.**

Evaluation Parameters

Process: Research is promoted on the environmental and social impacts of fishing gear and its impacts on biodiversity and coastal fishing communities.

Current Status/Appropriateness/Effectiveness: There is evidence for this research, and is it considered appropriate for overall fisheries management purposes.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include various regulations, data and reports.

14. Where fisheries enhancement is utilized, environmental assessment and monitoring shall consider genetic diversity and ecosystem integrity.

FAO CCRF 9.1.2, 9.1.3, 9.1.4, 9.1.5, 9.3.1, 9.3.5

14.1 States shall promote responsible development and management of aquaculture, including an advanced evaluation of the effects of aquaculture development on genetic diversity and ecosystem integrity, based on the best available scientific information.

FAO CCRF 9.1.2

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
The effects of aquaculture on genetic diversity and ecosystem integrity are **not** evaluated scientifically. **Lacking in all parameters.**	The effects of aquaculture on genetic diversity and ecosystem integrity are **insufficiently** evaluated, utilizing best available scientific information. **Lacking in two parameters.**	The effects of aquaculture on genetic diversity and ecosystem integrity are **moderately** evaluated, utilizing best available scientific information. **Lacking in one parameter.**	States promotes responsible development and management of aquaculture, including an advanced evaluation of the effects of aquaculture development on genetic diversity and ecosystem integrity, based on the best available scientific information. **Fulfils all parameters.**

Evaluation Parameters

Process: There is evaluation of the effects of aquaculture development on genetic diversity and ecosystem integrity, based on the best available scientific information.

Current Status/Appropriateness/Effectiveness: The research is deemed appropriate for maintaining genetic diversity and ecosystem integrity.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include various regulations, data and assessment reports.

14.2 States shall produce and regularly update aquaculture development strategies and plans, as required, to ensure that aquaculture development is ecologically sustainable and to allow the rational use of resources shared by aquaculture and other activities.

FAO CCRF 9.1.3

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
There are **no** regularly updated aquaculture development strategies and plans, to ensure that aquaculture development is ecologically sustainable and to allow the rational use of resources shared by aquaculture and other activities. **Lacking in all parameters.**	Regularly updated aquaculture development strategies and plans, are **insufficiently** appropriate to ensure that aquaculture development is ecologically sustainable and to allow the rational use of resources shared by aquaculture and other activities. **Lacking in two parameters.**	Regularly updated aquaculture development strategies and plans, are **moderately** appropriate to ensure that aquaculture development is ecologically sustainable and to allow the rational use of resources shared by aquaculture and other activities. **Lacking in one parameter.**	States produce and regularly update aquaculture development strategies and plans, as required, to ensure that aquaculture development is ecologically sustainable and to allow the rational use of resources shared by aquaculture and other activities. **Fulfils all parameters.**

Evaluation Parameters

Process: There are defined strategies and plans for aquaculture development in accordance with ecological sustainability and rational use of resources shared by aquaculture and other activities.

Current Status/Appropriateness/Effectiveness: If studies have concluded that aquaculture developments are ecologically sustainable in the interested unit of certification area, the aquaculture developments allow the rational sharing of resources with other activities.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include various regulations, data and assessment reports.

14.2.1 States shall ensure that the livelihoods of local communities, and their access to fishing grounds, are not negatively affected by aquaculture developments.

FAO CCRF 9.1.4

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
The livelihoods of local communities, and their access to fishing grounds, have been **negatively** affected by aquaculture developments. **Lacking in all parameters.**	Livelihoods of local communities, and their access to fishing grounds, are affected by aquaculture developments to a **significant degree**. **Lacking in two parameters.**	Livelihoods of local communities, and their access to fishing grounds, are affected by aquaculture developments to a **small degree**. **Lacking in one parameter.**	The state ensures that the livelihoods of local communities, and their access to fishing grounds, are not negatively affected by aquaculture developments. **Fulfils all parameters.**

Evaluation Parameters

Process: There are measures, regulations, and policies to ensure that the livelihoods of local communities, and their access to fishing grounds, are not negatively affected by aquaculture developments.

Current Status/Appropriateness/Effectiveness: These measures are effective in appropriately mitigating aquaculture development's impact on local community fishing activities.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include various regulations, data and assessment reports.

14.3 Effective procedures specific to aquaculture of fisheries enhancement shall be established to undertake appropriate environmental assessment and monitoring, with the aim of minimizing adverse ecological changes (such as those caused by inputs from enhancement activities and related economic and social consequences.

FAO CCRF 9.1.5, 9.2.5

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
Procedures are **not** in place for environmental assessment and monitoring to minimize adverse ecological and related economic and social changes from aquaculture. **Lacking in all parameters.**	Procedures are in place for environmental assessment and monitoring but are **insufficiently** effective to minimize adverse ecological and related economic and social changes from aquaculture. **Lacking in two parameters.**	Procedures are in place for environmental assessment and monitoring but are only **moderately** effective to minimize adverse ecological and related economic and social changes from aquaculture. **Lacking in one parameter.**	The State ensures that the livelihoods of local communities, and their access to fishing grounds, are not negatively affected by aquaculture developments. **Fulfils all parameters.**

Evaluation Parameters

Process: There are management measures and regulations to ensure appropriate environmental assessment and monitoring is undertaken.

Current Status/Appropriateness/Effectiveness: These procedures are effective in minimizing adverse ecological changes (such as those caused by inputs from enhancement activities) and related economic and social consequences.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include various regulations, data and assessment reports.

14.4 Management shall be appropriate for the conservation of genetic diversity and maintenance of integrity of aquatic communities and ecosystems.

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
Management is **not** appropriate for the conservation of genetic diversity and maintenance of integrity of aquatic communities and ecosystems. **Lacking in all parameters.**	Management is **insufficiently** appropriate for the conservation of genetic diversity and maintenance of integrity of aquatic communities and ecosystems. **Lacking in two parameters.**	Management is **moderately** appropriate for the conservation of genetic diversity and maintenance of integrity of aquatic communities and ecosystems. **Lacking in one parameter.**	Management is appropriate for the conservation of genetic diversity and maintenance of integrity of aquatic communities and ecosystems. **Fulfils all parameters.**

Evaluation Parameters

Process: There are management measures or regulations appropriate for the conservation of genetic diversity and maintenance of integrity of aquatic communities and ecosystems.

Current Status/Appropriateness/Effectiveness: These measures are effective. There are specific issues, concerning the fishery under assessment, specifically relating to genetic diversity and maintenance of integrity of aquatic communities and ecosystems, The fishery management system accounts for the natural production processes and minimizes adverse impacts on ecosystem structure and function.

In the case of enhanced fisheries, “stock under consideration” may comprise naturally reproductive components and components maintained by stocking. The overall enhanced fishery should be managed in such a way that the naturally reproductive components are managed responsibly. In this respect, naturally reproductive components of enhanced stocks should not be overfished or substantially displaced by stocked components. In particular, displacement must not result in a reduction of the natural reproductive stock component below abundance-based target reference points (or their proxies, escapement goals being one example) defined for the regulation of harvest.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include various regulations, data and reports.

14.4.1 Efforts shall be undertaken to minimize the harmful effects of introducing non-native species or genetically altered stocks used for aquaculture including culture based fisheries into waters.

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
Efforts are **not** undertaken to minimize the harmful effects of introducing non-native species or genetically altered stocks used for aquaculture, including culture-based fisheries. **Lacking in all parameters.**	Efforts are undertaken but **insufficient** to minimize the harmful effects of introducing non-native species or genetically altered stocks used for aquaculture, including culture-based fisheries. **Lacking in two parameters.**	Efforts are undertaken but **moderately** successful in minimizing the harmful effects of introducing non-native species or genetically altered stocks used for aquaculture, including culture-based fisheries. **Lacking in one parameter.**	Efforts are undertaken to minimize the harmful effects of introducing non-native species or genetically altered stocks used for aquaculture including culture-based fisheries. **Fulfils all parameters.**

Evaluation Parameters

Process: There are introduced non-native species or genetically altered stocks used for aquaculture, including culture based fisheries.

Current Status/Appropriateness/Effectiveness: Efforts are made to minimize recognized harmful issues or effects, and, these efforts are considered effective.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include various regulations, data and reports.

14.4.2 Steps shall be taken to minimize adverse genetic, disease and other effects of escaped farmed fish on wild stocks.

FAO CCRF 9.3.1

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
Steps are **not** taken to minimize adverse genetic, disease and other effects of escaped farmed fish on wild stocks. **Lacking in all parameters.**	Steps are taken but **insufficient** to minimize adverse genetic, disease and other effects of escaped farmed fish on wild stocks. **Lacking in two parameters.**	Steps are taken but **moderately** effective to minimize adverse genetic, disease and other effects of escaped farmed fish on wild stocks. **Lacking in one parameter.**	Steps are taken to minimize adverse genetic, disease and other effects of escaped farmed fish on wild stocks. **Fulfils all parameters.**

Evaluation Parameters

Process: There are issues with adverse genetic, disease and other effects of escaped farmed fish on wild stocks.

Current Status/Appropriateness/E**ffectiveness**: The management measures in place are effective in minimizing adverse genetic, disease and other effects of escaped farmed fish on wild stocks.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include various regulations, data and reports.

14.5 Research shall be promoted to develop culture techniques for endangered species to protect, rehabilitate and enhance their stocks, taking into account the critical need to conserve genetic diversity of endangered species.

FAO CCRF 9.3.5

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
Research is **not** promoted to develop culture techniques for endangered species to protect, rehabilitate and enhance their stocks. The critical need to conserve genetic diversity of endangered species is **not** taken into account. **Lacking in all parameters.**	Research is **insufficiently** promoted to develop culture techniques for endangered species to protect, rehabilitate and enhance their stocks. The critical need to conserve genetic diversity of endangered species is **insufficiently** taken into account. **Lacking in two parameters.**	Research is **moderately** promoted to develop culture techniques for endangered species to protect, rehabilitate and enhance their stocks. The critical need to conserve genetic diversity of endangered species is **moderately** taken into account. **Lacking in one parameter.**	Research is promoted to develop culture techniques for endangered species to protect, rehabilitate and enhance their stocks, taking into account the critical need to conserve genetic diversity of endangered species. **Fulfils all parameters.**

Evaluation Parameters

Not applicable if enhancement activities are not geared towards endangered species rehabilitation.

Process: There is a process in place to recognize if the fishery in question is composed of one or more endangered species in need of rehabilitation.

Current Status/Appropriateness/Effectiveness: Research into rehabilitation techniques for endangered species and the conservation of genetic diversity is being promoted. The research has taken into account the critical need to conserve genetic diversity of endangered species.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include various regulations, data and reports.

14.6 States shall protect transboundary aquatic ecosystems by supporting responsible aquaculture practices within their national jurisdiction and by cooperation in the promotion of sustainable aquaculture practices.

FAO CCRF 9.2.1

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
There is **no** support of sustainable aquaculture practices that protect transboundary aquatic ecosystems in accord with international norms. **Lacking in all parameters.**	There is **insufficient** support of sustainable aquaculture practices that protect transboundary aquatic ecosystems in accord with international norms. **Lacking in two parameters.**	There is **moderate** support of sustainable aquaculture practices that protect transboundary aquatic ecosystems in accord with international norms. **Lacking in one parameter.**	States protect transboundary aquatic ecosystems by supporting responsible aquaculture practices within their national jurisdiction and by cooperation in the promotion of sustainable aquaculture practices. **Fulfils all parameters.**

Evaluation Parameters

Process: Management measures are in place to support sustainable aquaculture practices and these are in accord with international practices.

Current Status/Appropriateness/Effectiveness: These measures are effective in promoting national sustainable aquaculture practices.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include various regulations, data and reports.

14.7 States shall, with due respect to their neighbouring States and in accordance with international law, ensure responsible choice of species, siting and management of aquaculture activities which could affect transboundary aquatic ecosystems.

FAO CCRF 9.2.2

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
There is **no** ensuring of responsible choice of species, sites and management procedures promoted in line with international law, where this could affect transboundary aquatic ecosystems. **Lacking in all parameters.**	There is **insufficiently** ensuring of responsible choice of species, sites and management procedures promoted in line with international law, where this could affect transboundary aquatic ecosystems. **Lacking in two parameters.**	There is **moderately** ensuring of responsible choice of species, sites and management procedures promoted in line with international law, where this could affect transboundary aquatic ecosystems. **Lacking in one parameter.**	The State, with due respect to their neighbouring States and in accordance with international law, ensures responsible choice of species, siting and management of aquaculture activities which could affect transboundary aquatic ecosystems. **Fulfils all parameters.**

Evaluation Parameters

Process: Management measures are in place ensuring responsible choice of species, siting and management of aquaculture activities which could affect transboundary aquatic ecosystems.

Current Status/Appropriateness/Effectiveness: There is evidence for the responsible in-country choice of species, sites and management procedures. This is considered effective in minimizing potential risks to transboundary aquatic ecosystems.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include various regulations, data and reports.

14.8 States shall consult with their neighbouring States, as appropriate, before introducing non-indigenous species into transboundary aquatic ecosystems.

FAO CCRF 9.2.3

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
There is **no** appropriate consultation with a neighbouring state with adjacent jurisdiction prior to the introduction of exotic species. **Lacking in all parameters.**	There is **insufficiently** appropriate consultation with a neighbouring state with adjacent jurisdiction prior to the introduction of exotic species. **Lacking in two parameters.**	There is **moderately** appropriate consultation with a neighbouring state with adjacent jurisdiction prior to the introduction of exotic species. **Lacking in one parameter.**	The State consults with their neighbouring States, as appropriate, before introducing non-indigenous species into transboundary aquatic ecosystems. **Fulfils all parameters.**

Evaluation Parameters

Process: There has been introduction of exotic species in recent years.

Current Status/Appropriateness/Effectiveness: There is evidence of consultation prior to introduction of exotic species into transboundary aquatic ecosystems.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include various regulations, data and reports.

14.9 States shall establish appropriate mechanisms, such as databases and information networks to collect, share and disseminate data related to their aquaculture activities to facilitate cooperation on planning for aquaculture development at the national, sub-regional, regional and global level.

FAO CCRF 9.2.4

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
There is **no** regional public database on aquaculture enterprises compiled with their species and characteristics to facilitate international cooperation.	There is a regional public database on aquaculture enterprises but it is **insufficiently** compiled with their species and characteristics to facilitate international cooperation.	There is a regional public database on aquaculture enterprises but it is **moderately** compiled with their species and characteristics to facilitate international cooperation.	States establish appropriate mechanisms, such as databases and information networks to collect, share and disseminate data related to their aquaculture activities to facilitate cooperation on planning for aquaculture development at the national, sub-regional, regional and global level.
Lacking in all parameters.	**Lacking in two parameters.**	**Lacking in one parameter.**	**Fulfils all parameters.**

Evaluation Parameters

Process: A publically available database has been established.

Current Status/Appropriateness/Effectiveness: The information is disseminated properly and the database is available for public access so to facilitate international cooperation.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include various regulations, data and reports.

14.10 States shall cooperate in the elaboration, adoption and implementation of international codes of practice and procedures for introductions and transfers of aquatic organisms.

FAO CCRF 9.3.2

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
The international code of practice for introductions or transfers of aquatic organisms is **not** observed. **Lacking in all parameters.**	The international code of practice for introductions or transfers of aquatic organisms is **insufficiently** observed. **Lacking in two parameters.**	The international code of practice for introductions or transfers of aquatic organisms is **moderately** observed. **Lacking in one parameter.**	States cooperate in the elaboration, adoption and implementation of international codes of practice and procedures for introductions and transfers of aquatic organisms. **Fulfils all parameters.**

Evaluation Parameters

Process: There is an international code of practice developed.

Current Status/Appropriateness/Effectiveness: The code of practice is being effectively observed by the country of interest.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include various regulations, data and reports.

14.11 States shall, in order to minimize risks of disease transfer and other adverse effects on wild and cultured stocks, encourage adoption of appropriate practices in the genetic improvement of broodstocks, the introduction of non-native species, and in the production, sale and transport of eggs, larvae or fry, broodstock or other live materials. States shall facilitate the preparation and implementation of appropriate national codes of practice and procedures to this effect.

FAO CCRF 9.3.3

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
The State, in order to minimize risks of disease transfer and other adverse effects on wild and cultured stocks, has **not** encourage adoption of appropriate practices in the genetic improvement of broodstocks, the introduction of non-native species, the production, sale and transport of eggs, larvae or fry, broodstock, or other live materials, and in the preparation and implementation of appropriate national codes of practice and procedures to this effect. **Lacking in all parameters.**	The State, in order to minimize risks of disease transfer and other adverse effects on wild and cultured stocks, has **insufficiently** encouraged adoption of appropriate practices in the genetic improvement of broodstocks, the introduction of non-native species, and in the production, sale and transport of eggs, larvae or fry, broodstock, or other live materials, and preparation and implementation of appropriate national codes of practice and procedures to this effect. **Lacking in two parameters.**	The State, in order to minimize risks of disease transfer and other adverse effects on wild and cultured stocks, has **moderately** encouraged adoption of appropriate practices in the genetic improvement of broodstocks, the introduction of non-native species, the production, sale and transport of eggs, larvae or fry, broodstock, or other live materials, and in the preparation and implementation of appropriate national codes of practice and procedures to this effect. **Lacking in one parameter.**	The State in order to minimize risks of disease transfer and other adverse effects on wild and cultured stocks, encourage adoption of appropriate practices in the genetic improvement of broodstocks, the introduction of non-native species, and in the production, sale and transport of eggs, larvae or fry, broodstock or other live materials. States facilitate the preparation and implementation of appropriate national codes of practice and procedures to this effect. **Fulfils all parameters.**

Evaluation Parameters

Process: There are management measures geared at minimizing risks of disease transfer and other adverse effects on wild and cultured stocks.

Current Status/Appropriateness/Effectiveness: Care is taken to avoid both movement of genotypes or species between catchment areas, river or lake systems, and contamination of local wild genotypes from hatchery animals of the same species. Appropriate practices have been adopted for the genetic improvement of broodstocks to avoid impoverishment of their genetic pool. Appropriate procedures are being published for the selection, production, sale, and transport of broodstocks, eggs, larvae, and fry. There has been preparation and implementation of appropriate codes of practice and procedures to accomplish the above mentioned items.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include various regulations, data and reports.

14.12 States shall promote the use of appropriate procedures for the selection of broodstock and the production of eggs, larvae and fry.

FAO CCRF 9.3.4

Low Confidence Rating (Critical NC)	Medium Confidence Rating (Major NC)	Medium Confidence Rating (Minor NC)	High Confidence Rating (Full Conformance)
The State has **not** promoted the use of appropriate procedures for the selection of broodstock and the production of eggs, larvae and fry. **Lacking in all parameters.**	The State has **insufficiently** promoted the use of appropriate procedures for the selection of broodstock and the production of eggs, larvae and fry. **Lacking in two parameters.**	The State has **moderately** promoted the use of appropriate procedures for the selection of broodstock and the production of eggs, larvae and fry. **Lacking in one parameter.**	The State has promoted the use of appropriate procedures for the selection of broodstock and the production of eggs, larvae and fry. **Fulfils all parameters.**

Evaluation Parameters

Process: Use of appropriate procedures for the selection of broodstock and the production of eggs, larvae and fry has been promoted.

Current Status/Appropriateness/Effectiveness: There are procedures established for the selection of broodstock and the production of eggs, larvae and fry, and they are considered effective.

Evidence Basis: Availability, quality, and adequacy of the evidence. Examples may include various regulations, data and reports.