

Marine Stewardship Council (MSC) 4th Surveillance Audit Report

(Amended report)

**The Northeastern Tropical Pacific Purse Seine
Yellowfin and Skipjack Tuna Fishery**

On behalf of:

**Pacific Alliance for Sustainable Tuna
(Alianza del Pacífico por el Atún Sostenible A.C.)**

Prepared by:

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16th March, 2023

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CONTENTS

QUALITY ASSURANCE	3
TABLE OF TABLES	4
GLOSSARY	6
1 EXECUTIVE SUMMARY	8
2 REPORT DETAILS	9
2.1 Surveillance information	9
3 BACKGROUND	13
3.1 Version details	13
3.2 Units of Assessment (UoAs) and Units of Certification (UoCs).....	13
3.3 Principle 1.....	15
3.3.1 Yellowfin tuna stock assessment.....	18
3.3.2 Skipjack tuna stock assessment.....	22
3.3.3 Principle 1 overall conclusion.....	22
3.4 Principle 2.....	22
3.4.1 PAST Training on bycatch management and the policy zero shark finning.....	23
3.4.2 The Science and Technical Group on Sharks and Rays.....	24
3.4.3 Dolphin Interactions	24
3.4.4 Dolphin abundance survey and mother-calf separation.....	26
3.4.5 Principle 2 overall conclusion.....	27
3.5 Principle 3.....	27
3.5.1 Decision-making processes	27
3.5.2 Monitoring, Control and Surveillance (MCS).....	29
3.5.3 Principle 3 overall conclusion.....	32
3.6 Traceability	33
4 RESULTS	34
4.1 Surveillance results overview	34
4.1.1 Total Allowable Catch (TAC) and Catch Data.....	34
4.1.2 Summary of conditions	35
4.1.3 Recommendations.....	39
4.2 Principle 1 Conditions.....	40
Condition 1-1 (PI 1.1.2 Sla: Skipjack tuna)	40
Condition 1-2 (PI 1.2.1 Sla: Skipjack tuna)	41
4.3 Principle 2 Conditions.....	44
Condition 2-1 (PI 2.1.1 Slc – Dolphin sets).....	44
Condition 2-2 (PI 2.1.2 Slc – Dolphin sets)	49
Condition 2-3 (PI 2.1.2 Sle – Dolphin sets).....	52
Condition 2-4 (PI 2.1.3 Slc – Dolphin sets).....	55
Condition 2-5 (PI 2.1.3 Sld – Dolphin sets).....	57
Condition 2-6 (PI 2.3.1 Sla – Dolphin sets).....	60
Condition 2-7 (PI 2.3.1 Slb – Dolphin sets).....	66

Condition 2-8 (PI 2.3.2 SIb – Dolphin sets).....	72
Condition 2-9 (PI 2.3.2 SIc – Dolphin sets).....	77
Condition 2-10 (PI 2.3.3 SIa – Dolphin sets).....	82
Condition 2-11 (PI 2.3.3 SIb – Dolphin sets).....	89
Condition 2-12 (PI 2.1.1 SIc – Free school sets)	93
Condition 2-13 (PI 2.1.1 SIc – Free School sets)	98
Condition 2-13b (PI 2.1.1 SIc – Free School Sets)	100
Condition 2-14 (PI 2.1.2 SIc – Free School Sets)	102
Condition 2-15 (PI 2.1.2 SIc – Free School Sets)	105
Condition 2-16 (PI 2.1.2 SIe – Free School Sets).....	106
Condition 2-17 (PI 2.1.3 SIc – Free School Sets)	108
Condition 2-18 (PI 2.1.3 SId – Free School Sets)	111
Condition 2-19 (PI 2.1.3 SId – Free School Sets)	114
4.4 Principle 3 Conditions.....	117
Condition 3-1 (PI 3.2.1 SIa – All UoCs)	117
Condition 3-2 (PI 3.2.2 SIb – All UoCs).....	118
Condition 3-3 (PI 3.2.2 SId – All UoCs).....	122
Condition 3-4 and 3-5 (PI 3.2.3 SIa and SIb – All UoCs)	125
Condition 3-6 (PI 3.2.5 SIb – All UoCs).....	129
Condition 3-7 (PI 3.2.3 SId – All UoCs, introduced at expedited audit [Morgan et al. 2018]).	131
4.5 Client action plan	135
4.6 Rescoring Performance Indicators	135
Year 4, Revised Scoring Table for PI 2.1.1, UoCs 1 and 3 (Dolphin sets): Condition 2-1	135
Year 4, Revised Scoring Table for PI 2.1.2, UoCs 1 and 3 (Dolphin sets): Conditions 2-2 and 2-3	138
Year 4, Revised Scoring Table for PI 2.1.3, UoCs 1 and 3 (Dolphin sets): Conditions 2-4 and 2-5	140
Year 4, Revised Scoring Table for PI 2.3.2, UoCs 1 and 3 (Dolphin sets): Condition 2-9	142
Year 4, Revised Scoring Table for PI 2.1.1, UoCs 2 and 4 (Free school sets): Condition 2-12	145
Year 4, Revised Scoring Table for PI 2.1.2, UoCs 2 and 4 (Free school sets): Condition 2-14 and 2-16	149
Year 4, Revised Scoring Table for PI 2.1.3, UoCs 2 and 4 (Free school sets): Condition 2-17 and 2-18	154
Year 4, Revised Scoring Table for PI 3.2.2, All UoCs: Condition 3-3.....	157
Year 4, Revised Scoring Table for PI 3.2.3, All UoCs: Condition 3-4 & 3-5 and 3-7.....	162
4.7 Principle level scores	170
5 REFERENCES.....	172
6 APPENDICES.....	174
APPENDIX 1 EVALUATION PROCESSES AND TECHNIQUES.....	174
Appendix 1.1 Site visits	174
APPENDIX 2 STAKEHOLDER INPUT	178
The International Seafood Sustainability Foundation (ISSF) submitted comments at this Year 4 audit / Reassessment site visit.	178
APPENDIX 3 REVISED SURVEILLANCE PROGRAM	181
APPENDIX 4 HARMONISED FISHERY ASSESSMENTS	182
APPENDIX 5 CURRENT PAST VESSEL LIST	183

Quality Assurance

Role	Signature	Date
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Approver:	Dr. Toru Tsuzaki	9 th December 2022

Table of Tables

Table 1. Fisheries programme documents versions.....	13
Table 2. Units of Certification (UoCs) – currently certified.....	13
Table 3. Units of Certification (UoCs) – currently suspended.....	14
Table 4. Retained catch of the PAST fleet for the period 2017-2021 by set type in metric tonnes and as a % of the total catch by set type.	15
Table 5. Recent estimates of total EPO catch of yellowfin and skipjack tuna by purse seiners, with number of sets by type. Data from IATTC depository available at: Public domain data for download IATTC.	16
Table 6. Estimated catch of yellowfin and skipjack tuna in metric tonnes by the PAST fleet in the EPO. Note that the object-associated sets are not certified, and skipjack tuna is currently suspended (Source: client).....	18
Table 7. Observer data, including fate, for silky shark and oceanic whitetip shark for the PAST fleet, 2018 and 2019 (source (2018-2019): Dreyfus León 2020a, Dreyfus León 2020b, (2020): CONAPESCA, pers. comm.).....	22
Table 8. Observer data, including fate, for ray species for the PAST fleet, 2018 and 2019 (source (2018-2019): Dreyfus León 2020a, Dreyfus León 2020b, (2020): CONAPESCA, pers. comm.).....	23
Table 9. Bycatches (t) of Pacific bluefin tuna and Eastern Pacific and striped bonito in the PAST fleet, 2016-2020 (source: CONAPESCA).....	23
Table 10. Effort by set type for PAST vessels, 2014-2021 (source: client).....	24
Table 11. Dolphin mortality for PAST vessels and all fleets, 2014-2019 (PAST data source: client, All fleet data source: AIDCP 2022).....	25
Table 12. Percentages of sets with no dolphin mortalities, with major gear malfunctions, with net collapses, with net canopies, average times of backdown (in minutes), and average number of live dolphins left in the net at the end of backdown. 1986-2008 data are from trips observed by the IATTC program only; data after 2008 include trips covered by national programs (Source: adapted from AIDCP 2022).	25
Table 13. Estimates of total mortalities of dolphins in 2021, population abundance, and relative total mortality (all fleets), by stock (Source: AIDCP 2022).	26
Table 14. TAC and Catch Data	34
Table 15. Summary of conditions.....	35
Table 16. Revised Principle level scores	170
Table 17. Performance Indicator scores. Note YFT P1 is scored under FCR2.0, whilst P2 and P3 are FR 1.3.	171
Table 18. Meetings held during the Year 4 audit of the PAST fishery.....	174

Table 19. Overlapping fisheries.....	182
Table 20. Overlapping fisheries.....	182
Table 21. Vessels within the UoC (correct as of December 8 th 2021).	183

Glossary

Acronym	Definition
AIDCP/IDCP	Agreement on the /International Dolphin Conservation Program
B _{MSY}	Biomass at maximum sustainable yield
BET	Bigeye tuna
CAB	Conformity Assessment Body
CAP	Client action plan
CoC	Chain of Custody
CONAPESCA	<i>Comisión Nacional de Acuacultura y Pesca</i>
CR	Certification Requirement (MSC)
DML	Dolphin Mortality Limit
EEZ	Exclusive Economic Zone
eNGO	Environmental Non-governmental Organization
ENSO	El Niño Southern Oscillation
ETPO	Eastern Tropical Pacific Ocean
ETP	Endangered Threatened or Protected species
F	Fishing rate/catching rate
FAD	Fish Aggregating Device
FIDEMAR	Mexican Federal Marine Research Organization
F _{MSY}	Fishing rate at which catchability is sustainable and at a maximum
HCR	Harvest Control Rule
HMS	Highly Migratory Species
IATTC	Inter-American Tropical Tuna Commission
INAPESCA	<i>Instituto Nacional de la Pesca</i> / National Fisheries Institute
LRP	Limit reference point
MMPA	Marine Mammal Protection Act
MSC	Marine Stewardship Council
MSE	Management Strategy Evaluation
MSY	Maximum Sustainable Yield
NOAA	National Oceanic and Atmospheric Administration (US)
NOM	<i>Norma Oficial Mexicana</i> / Official Mexican Standard
P1/P2/P3	MSC Principle 1/2/3
PAST	Pacific Alliance for Sustainable Tuna
PI	Performance Indicator
PNAAPD	Programa Nacional de Aprovechamiento del Atún y Protección del Delfín/ National Program for Utilization of Tuna and the Protection of Dolphins
PROFEPA	Procuraduría Federal de Protección al Ambiente
RBF	Risk-Based Framework
RFMO	Regional Fisheries Management Organization
SBR	Spawning Biomass Ratio
SCS	Scientific Certification Systems/ SCS Global Services
SG 60/80/100	Scoring Guidepost 60/80/100

Acronym	Definition
SKJ	Skipjack tuna
SSB	Spawning Stock Biomass
TRP	Target reference point
US/USA	United States of America
WCPFC	Western Central Pacific Fisheries Commission
WWF	World Wildlife Fund
YFT	Yellowfin tuna

1 Executive Summary

The Northeastern Tropical Pacific Purse Seine Yellowfin and Skipjack Tuna (PAST) Fishery was certified on the 07 Sep 2017. The initial assessment was conducted in accordance with the MSC Fisheries Certification Requirements v1.3.

The year 1 surveillance audit and an expedited audit were undertaken in 2018, and the Year 2 audit was undertaken in 2020. At that time, following the variation request for all tuna fisheries¹, the MSC required both tuna stocks targeted by the PAST fishery (Eastern Pacific Ocean (EPO) yellowfin tuna (YFT) and EPO skipjack (SKJ)) to undergo Principle 1 upgrade to FCR2.01. The EPO YFT Principle 1 rescore appeared as an appendix to the Year 2 surveillance report, whilst the client chose to self-suspend the skipjack tuna UoCs (#3 and #4) during the EPO SKJ upgrade process in 2021.

In the lead up to the Year 3 audit, the MSC recognised the difficulty faced by clients in trying to make progress against conditions through issuing Derogation 6² for conditions raised against Principle 1 and Principle 2 management and information PIs, and all Principle 3 PIs. The derogation automatically extended the timelines for eligible conditions. Nevertheless, the Year 3 Audit Team sought to determine the progress made against all Conditions, with an update provided for each condition.

The Year 4 Audit Team consisted of Dr Robert Blyth-Skyrme (Principle 2 expert and team leader), Dr Carlos Alvarez (Principle 1 expert) and Peter Watt (Principle 3 expert); this is the same team that undertook the Year 2 and 3 audits. The site visit for the Year 4 audit was combined with the reassessment site visit, and was undertaken onsite in Mazatlan, Mexico and then La Jolla, USA. Details of the meetings held are provided further on in this report.

For Principle 1, there was little to update at this Year 4 audit, as the YFT assessment was undertaken and reported on in Year 2, and there are ongoing discussions on management at the IATTC, but no definitive decisions were taken within the requisite auditing reporting period. Further, although there have been harmonisation discussions amongst CABs regarding the IATTC's recent publication of a new stock assessment for EPO skipjack tuna, there has not been agreement that any rescoring can be justified at this time. As such, the SKJ UoCs remain suspended, and so reporting against Conditions 1-1 and 1-2 is not required at this time.

For Principle 2, progress against milestones for each of the 16 extant conditions was evaluated (four conditions relating to bonitos and pacific bluefin tuna having been closed at Year 3). Of the remaining conditions, the ten related to sharks and rays were closed at this Year 4 audit, the work required to close them having been carried out by the PAST as required. For conditions related to dolphins, all six are now behind target. No revisions were made to the client action plan in these cases as the existing milestones remain relevant in order for the Conditions to be closed by their deadlines. Further details are presented in the report for these conditions in the rescoring tables, presented in Section 4.6.

Under Principle 3, three conditions remained open at this audit. All three have also now been closed.

Based on the findings at Year 4, the audit team confirms that this fishery continues to conform to the MSC Principles and Criteria for sustainable fishing and recommends that this fishery remain certified.

¹ <https://cert.msc.org/FileLoader/FileLinkDownload.aspx/GetFile?encryptedKey=VL9/JvOh4Rf1duc6feshRGzfGLI/5a8Q1njKM02S4og3+f6fXfQnovv1B2YJSvdK>

² <https://www.msc.org/docs/default-source/default-document-library/for-business/program-documents/chain-of-custody-supporting-documents/msc-derogation-6-covid-19-fishery-conditions-extension.pdf>

2 Report Details

2.1 Surveillance information

1	Fishery name							
	The Northeastern Tropical Pacific Purse Seine Yellowfin and Skipjack Tuna Fishery.							
2	Surveillance level and type							
	The fishery was scheduled to have an on-site surveillance audit at Year 3, in keeping with the default (Level 6) surveillance schedule that was indicated at certification (Morgan et al. 2017). However, due to travel restrictions associated with Coronavirus and the MSC derogation, an off-site surveillance was undertaken. Therefore, the onsite site visit was conducted this year 4 as combined site visit with the reassessment audit..							
3	Surveillance number							
	4 th Surveillance	X						
4	Proposed team leader							
	<table border="1"> <tr> <td>Name</td><td>Dr Rob Blyth-Skyrme</td></tr> <tr> <td>Areas of responsibility</td><td>Team Leader, Principle 2 and Traceability assessor</td></tr> <tr> <td>Competency criteria (Annex PC)</td><td> Rob started his professional career in commercial aquaculture in 1996, before switching to a focus on the science, management and policy of wild fisheries. Following his PhD, which considered biological and socio-economic aspects of an inshore shellfish fishery and resulted in peer-reviewed publications on issues including habitat and ecosystem interactions, he worked as the Senior Environment Officer and then Deputy Chief Fishery Officer at the Eastern Sea Fisheries Joint Committee, the largest regional fisheries management organization in England. In these roles he was responsible for, amongst other things, advising the Committee on ETP species, habitat and ecosystem considerations. Rob then became Natural England's senior advisor to the UK Government on marine fisheries and environmental issues, leading a team dealing with fisheries policy, science and nationally significant fisheries casework. Since 2008, Rob has run Ichthys Marine Ecological Consulting Ltd., which provides marine fisheries and environmental advice to a variety of governmental and industry clients. Projects have included a review of ETP fish species management options to advise an expert group convened by a UK nature conservation body, reviewing fisheries management proposals for a suite of marine protected areas, and undertaking a detailed analysis of fisheries impacts in three marine protected areas in the UK. Rob has also undertaken all facets of MSC work as a Team Leader, expert team member and peer reviewer, across a wide variety of fisheries, including those for highly migratory species. He has completed the MSC Certification Process V.2.1 and V2.2 training and is a Third Party Expert for the MSC's Peer Review College. Rob has completed the required Fishery MSC training modules for v1.3 and v2.01 Fisheries Standard including the team leader modules and holds an ISO 19011 lead auditor </td></tr> </table>		Name	Dr Rob Blyth-Skyrme	Areas of responsibility	Team Leader, Principle 2 and Traceability assessor	Competency criteria (Annex PC)	Rob started his professional career in commercial aquaculture in 1996, before switching to a focus on the science, management and policy of wild fisheries. Following his PhD, which considered biological and socio-economic aspects of an inshore shellfish fishery and resulted in peer-reviewed publications on issues including habitat and ecosystem interactions, he worked as the Senior Environment Officer and then Deputy Chief Fishery Officer at the Eastern Sea Fisheries Joint Committee, the largest regional fisheries management organization in England. In these roles he was responsible for, amongst other things, advising the Committee on ETP species, habitat and ecosystem considerations. Rob then became Natural England's senior advisor to the UK Government on marine fisheries and environmental issues, leading a team dealing with fisheries policy, science and nationally significant fisheries casework. Since 2008, Rob has run Ichthys Marine Ecological Consulting Ltd., which provides marine fisheries and environmental advice to a variety of governmental and industry clients. Projects have included a review of ETP fish species management options to advise an expert group convened by a UK nature conservation body, reviewing fisheries management proposals for a suite of marine protected areas, and undertaking a detailed analysis of fisheries impacts in three marine protected areas in the UK. Rob has also undertaken all facets of MSC work as a Team Leader, expert team member and peer reviewer, across a wide variety of fisheries, including those for highly migratory species. He has completed the MSC Certification Process V.2.1 and V2.2 training and is a Third Party Expert for the MSC's Peer Review College. Rob has completed the required Fishery MSC training modules for v1.3 and v2.01 Fisheries Standard including the team leader modules and holds an ISO 19011 lead auditor
Name	Dr Rob Blyth-Skyrme							
Areas of responsibility	Team Leader, Principle 2 and Traceability assessor							
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		qualification. For this assessment, it is proposed that Robert would be the overall Team Leader and have primary responsibility for the assessment of Principle 2. Based on the above CU UK are confident he meets the requirements of Table PC3 3. Fishing impacts on aquatic ecosystems.
	Conflict of interest	No conflict of interest has been identified for this fishery.
	On-site or off-site	On site - Please see the note above on 'Surveillance level and type' regarding the remote nature of this audit. Under FCP v2.2 .28.6.1 It is proposed that Rob will act as Team Leader, Principle 2 and Traceability assessor for this audit. Rob will also be responsible for bringing together the report.
	CV	CV available on request
5	Proposed team members [remove if not applicable]	
	Name	Dr Carlos Alvarez Flores
	Areas of responsibility	Principle 1
	Competency criteria (Annex PC)	Carlos obtained his Bachelor of Science and Master of Science degrees at the National University of Mexico. He later moved to Seattle USA to obtain his PhD at the School of Fisheries at the University of Washington. His research interest is focused on the management and conservation of wildlife and fisheries. This includes abundance estimation; assessment of population status; estimation of population parameters; the effect of human intervention; direct harvest; bycatch and associated environmental effects; projections based on biological potential; population viability; risk assessment; design of alternative management strategies. His background comes from work dealing with large, pelagic, data rich fisheries, but his current assessments are related to small-scale, coastal, data poor fisheries. Therefore, his present ambition is to combine ideas, techniques, knowledge and experience to improve the performance of these problematic activities in developing countries. Most of his experience has been focused on practical investigations applied to populations and fishery assessments and management as a consultant for governments, NGO's and private sector of different countries. Carlos has over 5 years' experience in MSC pre-assessments, full assessments and surveillance audits of different types of fisheries in different countries. Carlos has previous experience with this fishery having been the primary Principle 1 assessor in the initial assessment cycle in 2016. For this assessment, it is proposed that that Carlos would again have primary responsibility for the assessment of Principle 1. Carlos has completed the required Fishery Team member MSC training modules for the new V1.3 and V2.01 Fisheries Certification Requirements. Based on the above CU UK are confident he meets the requirements of Table PC3 section 1 and 2.
	Conflict of interest	No conflict of interest has been identified for this fishery
	On-site or off-site	On- site – Please see the note above on 'Surveillance level and type' regarding the remote nature of this audit. Under FCP v2.2 .28.6.1 It is proposed that Carlos will act as Principle 1 assessor for this audit and will support the rest of the team. He will be responsible for updating P1 and to ensure scores comply with up-to-date harmonisation across tuna-fisheries.

	CV	CV available on request
	Name	Peter Watt
	Areas of responsibility	Principle 3
	Competency criteria (Annex PC)	Educated in Canada and living in the Philippines, Peter has over 20 years fisheries management and development work experience with national governments, regional organisations and private consultancy companies in the Marshall Islands, Samoa, Papua New Guinea, Solomon Islands, Palau, Tokelau, Tonga, New Caledonia, Vanuatu, Kiribati, Federated States of Micronesia, Commonwealth of the Mariana Islands, Fiji, New Zealand, Canada, and United States. Peter has authored or co-authored over 30 publications in his field and worked on more than 50 projects and assignments in technical research, marine management and development, technical training and project administration. He developed and established community-based fisheries management arrangements for the Coastal Fisheries Development and Management Project in Papua New Guinea, establishing over twenty fisheries management plans and developing legislation to empower communities to manage their fisheries resources. Prior to this he was the Commercial Fisheries Advisor in Samoa for four years, providing management advice and expertise for the development and management of the tuna longline and other fisheries. This included working with the government and stakeholders to develop and implement a tuna management plan, with related legislation and policies. Other experience also includes rapid resource assessments in the Philippines, Papua New Guinea and Samoa, and conducting stock assessments for the tuna longline fishery and outer reef slope assessments for the deep-water snapper fishery. It is proposed that Peter would have primary responsibility for the assessment of Principle 3. Peter has completed the required Fishery Team member MSC training modules for the new V1.3 and V2.01 Fisheries Certification Requirements. Based on the above CU UK are confident he meets the requirements of Table PC3 section 4.
	Conflict of interest	No conflict of interest has been identified for this fishery
	On-site or off-site	Off- site – Please see the note above on ‘Surveillance level and type’ regarding the remote nature of this audit. Under FCP v2.2 .28.6.1 It is proposed that Peter will act as Principle 3 assessor for this audit and will be available remotely for the site visit.
	CV	CV available on request
6	Audit/review time and location	
	The audit was started on the 5th September 2022 and took place via a series of in-person meetings and conference calls with the client and stakeholders. The closing meeting was held with the client on the 13th September 2021. Stakeholders were encouraged to provide information either through the MSC stakeholder input form or by arranging for a remote meeting with the assessment team in the week of the audits	
7	Assessment and review activities	

	During the audit, CU UK communicated with the client and any relevant stakeholders and used any available up to date information to assess and review; • Any changes to the fishery and its management including those to management systems, regulation and relevant personnel; • Any changes to the scientific base of information such as stock assessments; • Progress against the conditions associated with this fishery (Please see Appendix 1 below). • Harmonization against the other fisheries certified on the MSC program • Any developments or changes within the fishery impact may impact on traceability and the ability to segregate MSC from non-MSC products; • The impact of Covid-19 on the fishery and its management, and on the client's ability to make progress against conditions. • Any other significant changes in the fishery.
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3 Background

3.1 Version details

Table 1. Fisheries programme documents versions

Document	Version number
MSC Fisheries Certification Process	Version 2.2
MSC Fisheries Standard	Version 1.3 (FCR2.01 for the YFT Principle 1 upgrade)
MSC General Certification Requirements	Version 2.4.1
MSC Reporting Template	Version 2.3

3.2 Units of Assessment (UoAs) and Units of Certification (UoCs)

When the fishery was certified, the Units of Assessment (UoAs) were the same as the Units of Certification (UoCs). However, the client self-suspended the skipjack tuna UoCs (UoCs 3 and 4) in February 2021, and an announcement was published on the MSC website on February 15th, 2021³. This leaves only the yellowfin tuna UoCs (UoCs 1 and 2) as certified units; these are presented in Table 2, below. The suspended UoCs (UoCs 3 and 4) are presented in Table 3.

Table 2. Units of Certification (UoCs) – currently certified.

UoC	Stock/Species	Location	Method of Capture
1	ETPO yellowfin tuna, <i>Thunnus albacares</i>	Mexican EEZ and greater Eastern Tropical Pacific Ocean (ETPO), within FAO 77 and the IATTC management zone with scope defined by the Antigua Convention.	Purse seine vessels > 363mt hold capacity, dolphin-associated sets
2	ETPO yellowfin tuna, <i>Thunnus albacares</i>		Purse seine vessels > 363mt hold capacity, unassociated sets
Client Group	The UoC is equivalent to the UoA and includes only vessels that are members of the Pacific Alliance for Sustainable Tuna (PAST), referred to as the Alliance, with catches from vessels greater than 363 mt (400 short tons) hold carrying capacity or equivalent in cubic meters, licensed by Mexico, using purse seine gear, fishing within the Mexican EEZ and the IATTC management area defined by the Antigua Convention. There are 34 purse seine vessels within the PAST catching yellowfin and skipjack tuna (see the list of vessels in Appendix 5); this is a change since certification (when 36 vessels were included within the UoC). If required, stakeholders are advised to confirm the current vessel list with the CAB or client. The PAST represented four companies at certification (Grupomar, Herdez Del Fuerte, Pesca Azteca and Procesa Chiapas), but Herdez del Fuerte recently left the client group. The three remaining companies are vertically integrated in their harvesting, processing and marketing operations; supply domestic and foreign markets (see: http://www.pacifictunaalliance.org/).		

³<https://cert.msc.org/FileLoader/FileLinkDownload.aspx/GetFile?encryptedKey=VOeDt3H2dUszyRfueBT+iYC5HB38XlghAhzo1oUuGzAJuu1Qtnn8TKn5PvzOZ6bD>

Table 3. Units of Certification (UoCs) – currently suspended.

UoC	Stock/Species	Location	Method of Capture
3	ETPO skipjack tuna, <i>Katsuwonus pelamis</i>	Mexican EEZ and greater Eastern Tropical Pacific Ocean (ETPO), within FAO 77 and the IATTC management zone with scope defined by the Antigua Convention.	Purse seine vessels > 363mt hold capacity, dolphin-associated sets
4	ETPO skipjack tuna, <i>Katsuwonus pelamis</i>		Purse seine vessels > 363mt hold capacity, unassociated sets
Client Group	The UoC is equivalent to the UoA and includes only vessels that are members of the Pacific Alliance for Sustainable Tuna (PAST), referred to as the Alliance, with catches from vessels greater than 363 mt (400 short tons) hold carrying capacity or equivalent in cubic meters, licensed by Mexico, using purse seine gear, fishing within the Mexican EEZ and the IATTC management area defined by the Antigua Convention.		
	There are 34 purse seine vessels within the PAST catching yellowfin and skipjack tuna (see the list of vessels in Appendix 5); this is a change since certification (when 36 vessels were included within the UoC). If required, stakeholders are advised to confirm the current vessel list with the CAB or client. The PAST represented four companies at certification (Grupomar, Herdez Del Fuerte, Pesca Azteca and Procesa Chiapas), but Herdez del Fuerte recently left the client group. The three remaining companies are vertically integrated in their harvesting, processing and marketing operations; supply domestic and foreign markets (see: http://www.pacifictunaalliance.org/).		

It is noted that, when the suspension for UoCs 3 and 4 was announced in February 2021, the skipjack tuna UoCs were undergoing a Version 2.01 upgrade under the MEGVAR process (i.e., to assess skipjack tuna against v.2.01 of the MSC Standard as an upgrade from v.1.3)⁴; this upgrade process was also suspended at that point. If UoCs 3 and 4 are to be unsuspended, progress against any relevant conditions would need to be assessed, and the upgrade process would recommence.

CU UK confirms that the fishery under audit remains within in the scope of the MSC Fisheries Standard (7.4 of the MSC Fisheries Certification Process v.2.2):

- The target species are not an amphibian, reptile, bird or mammal;
- The fishery does not use poisons or explosives;
- The fishery is not conducted under a controversial unilateral exemption to an international agreement;
- The client or client group does not include an entity that has been successfully prosecuted for a forced or child labour violation in the last 2 years;
- the client or client group does not include an entity that has been convicted for a shark finning violation in the last 2 years
- The fishery has in place a mechanism for resolving disputes, and disputes do not overwhelm the fishery;
- The fishery is not an enhanced fishery as per the MSC FCP 7.4.6; and
- The fishery is not an introduced species-based fishery as per the MSC FCP 7.4.7.

CU UK also confirms the following:

4

<https://cert.msc.org/FileLoader/FileLinkDownload.aspx/GetFile?encryptedKey=myOo9a2eeeku81M0lpcA6VO0/0s kKaVQrIkI3whq6VKAvC1ofogKU9CN5DXD85JSN>

- That the client group has submitted the completed 'Certificate Holder Forced and Child Labour Policies, Practices and Measures Template' prior to the start of this assessment.
- That there are no significant changes to the management system to report this year.
- That there are no significant changes to relevant regulations to report this year.
- That there are no changes to the personnel involved in science, management or industry to report this year that would result in significant changes to the approach taken to managing the fishery.

3.3 Principle 1

The PAST fleet's retained catch of yellowfin tuna and skipjack tuna, and of other species, by set type and year, is presented in Table 4.

Table 4. Retained catch of the PAST fleet for the period 2017-2021 by set type in metric tonnes and as a % of the total catch by set type.

Set type/species	Volume (mt)					Percent from total				
	2017	2018	2019	2020	2021	2017	2018	2019	2020	2021
Dolphin sets										
Yellowfin tuna	59,936	84,803	87,192	85,396	84,319	98	99	98	99	98
Skipjack tuna	1,290	888	2,059	977	1,331	2	1	2	<1	2
Dolphin sets – All other species combined	38	47	44	41	20	<0.1	<0.1	<0.1	<0.1	<0.1
Dolphin sets / All species	61,265	85,738	89,295	86,414	85,670	(100)	(100)	(100)	(100)	(100)
Free school sets										
Yellowfin tuna	9,996	3,346	4,290	4,162	8,454	43	45	31	73	70
Skipjack tuna	12,050	4,085	7,570	1,192	2,218	51	55	54	21	18
East.Pac. and striped bonito	1,354	0	2,151	303	1,481	6	0	15	5	12
Free school sets – All other species combined	42	9	26	8	11	<0.2	<0.2	<0.2	<0.2	<0.2
Free schools / All species	23,442	7,440	14,037	5,665	12,164	(100)	(100)	(100)	(100)	(100)

The trends in recent total EPO catch of yellowfin and skipjack tuna with all gears by all fleets from 2000 to 2020 is shown in Figure 1.

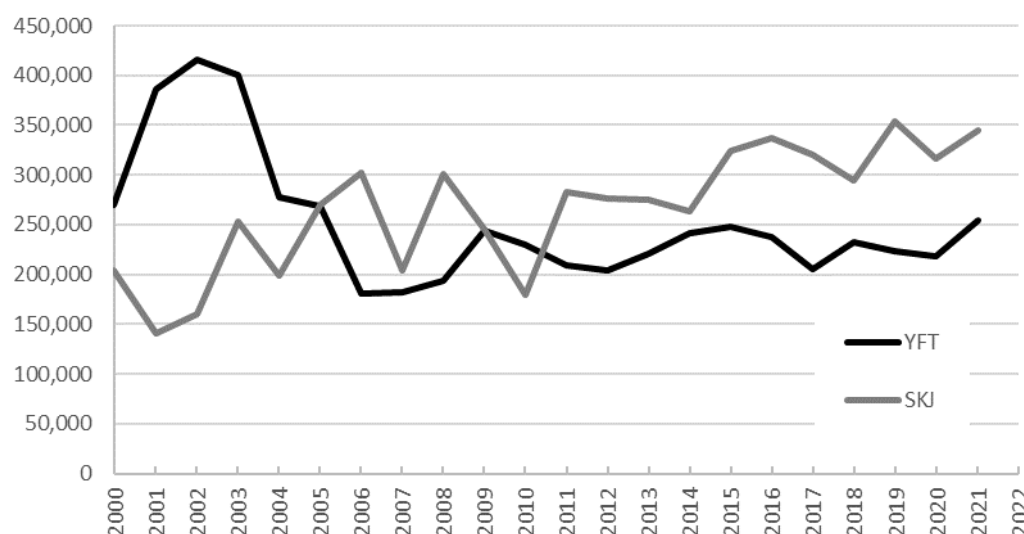


Figure 1. Trends in total catch of yellowfin and skipjack tuna caught with all gears by all purse seine fleets in the EPO. Data from IATTC depository, available at: [Public domain data for download | IATTC](#).

Total EPO purse seine catch data for yellowfin tuna and skipjack tuna for the last five years, together with the number of sets by type, are presented in Table 5. Catches of yellowfin tuna and skipjack tuna by all purse seiners in the EPO for 2000-2021, differentiated by set type, are then presented in Figure 2, together with effort in number of sets. The trend in catch of yellowfin tuna closely follows the number of the different set types, as does the catch of skipjack tuna in the object-associated sets (Figure 2c). The relative catch of skipjack tuna per unassociated set has increased in recent years (Figure 2b). Catch volume of yellowfin tuna is larger in dolphin sets while catch of skipjack is larger in object sets. Catch of both species is relatively low in unassociated sets.

Table 5. Recent estimates of total EPO catch of yellowfin and skipjack tuna by purse seiners, with number of sets by type. Data from IATTC depository available at: [Public domain data for download | IATTC](#).

Year	Yellowfin (mt)	Skipjack (mt)	Number of sets of each type			
			Dolphin	Unassociated	Object	Total
2017	205,718	319,829	8,863	6,797	15,055	30,715
2018	232,064	294,454	9,763	5,948	16,432	32,143
2019	223,199	354,040	9,680	7,660	14,987	32,327
2020	218,688	316,534	9,789	6,153	11,543	27,485
2021	254,496	345,353	9,952	6,722	14,865	31,539

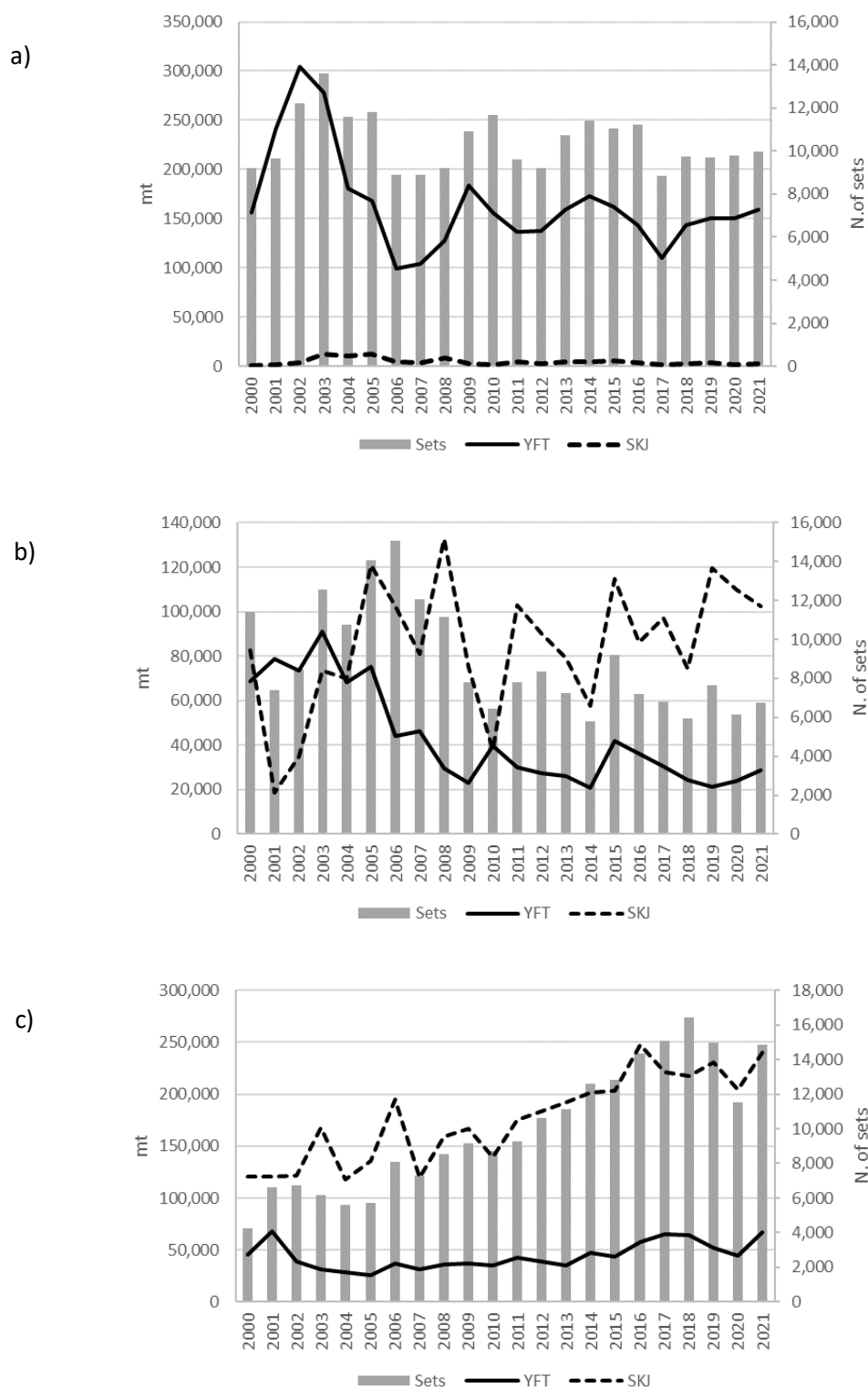


Figure 2. 2000-2021 trends in catch of yellowfin tuna (continuous line) and skipjack (broken line) by purse seiners of all flags in the EPO by set type: a) dolphin-associated; b) unassociated and c) object-associated. Gray bars are effort in number of sets. Data from IATT: [Public domain data for download | IATTC](#).

The first surveillance audit for the PAST fishery presented purse seine catch and effort data for the entire fleet flying a Mexican flag, which is larger than the UoC alone. Data from 2016 to 2021, specific for the PAST Fishery alone, are presented in Table 6, below.

Table 6. Estimated catch of yellowfin and skipjack tuna in metric tonnes by the PAST fleet in the EPO. Note that the object-associated sets are not certified, and skipjack tuna is currently suspended (Source: client).

	Yellowfin tuna				Skipjack tuna				Grand Total
Year	Dolphin	Unassoc.	Object	Total	Dolphin	Unassoc.	Object	Total	
2016	65,796	11,334	1,771	78,901	2,809	3,215	5,225	11,249	90,150
2017	59,936	9,996	2,356	72,288	1,290	12,050	5,030	18,370	90,658
2018	84,803	3,346	3,471	91,620	888	4,085	5,891	10,864	102,484
2019	87,192	4,290	1,708	93,215	2,059	7,570	5,157	14,786	108,001
2020	85,396	4,162	1,221	90,782	977	1,192	3,386	5,555	96,337
2021	84,319	8,454	3,228	96,001	1,331	2,218	3,194	6,743	102,744

3.3.1 Yellowfin tuna stock assessment

There was no updated assessment of yellowfin tuna. However, the IATTC staff conducted an analysis of stock status indicators (SSI) for all tropical tunas in the Eastern Tropical Pacific, YFT, BET and SKJ (Xu et al. 2022). The SSIs were obtained using data from both the purse-seine and longline fisheries. If results from the floating object fishery are observed, the trends for all three species together suggest that fishing mortality has increased, mainly due to the increase in the number of sets on floating objects (Figure 3).

The report indicates that when interpreting trends, caution should be considered with the SSIs for 2020 and 2021 because they may have been affected by the negative effect of the COVID-19 pandemic on both the fishery and port sampling. The indicators also suggest increased catches, reduced catch-per-set, and reduced average length for all three species in the floating object fishery (Figure 3 and Figure 4). However, trends in some other SSIs do not support the interpretation that fishing mortality has increased due to an increase in the number of floating object sets, but identifying the causes of differences among the SSIs is difficult, even when SSIs are considered in aggregate. Nonetheless, most SSIs based on the floating-object fishery are consistent with an increase in fishing mortality in that fishery and in 2021 the catch-per-set for bigeye in floating-object sets is at the lowest level since 2000.

For yellowfin tuna in particular, the indicators, both from the purse-seine (Figure 5) and longline (Figure 6) fisheries, indicate that the catch has been either stable or increasing. The CPUE in the purse-seine fishery appears very stable (Figure 3), while it shows a slight increase in the last seven years in the SSI based on spatio-temporal modelling of catch-per-day for the purse-seine fishery on yellowfin associated with dolphins (Figure 5). The CPUE based on longline data also appear to be increasing in the latest years of the series (Figure 6). The SSIs based on length of fish are variable depending on what data source is observed (Figure 4 – Figure 6). While the interpretation of these trends is difficult and even for YFT, catch per set in the dolphin associated fishery may not be an appropriate indicator of relative abundance, all indicators appear to be consistent with the estimated status of the stock obtained in the latest benchmark assessment.

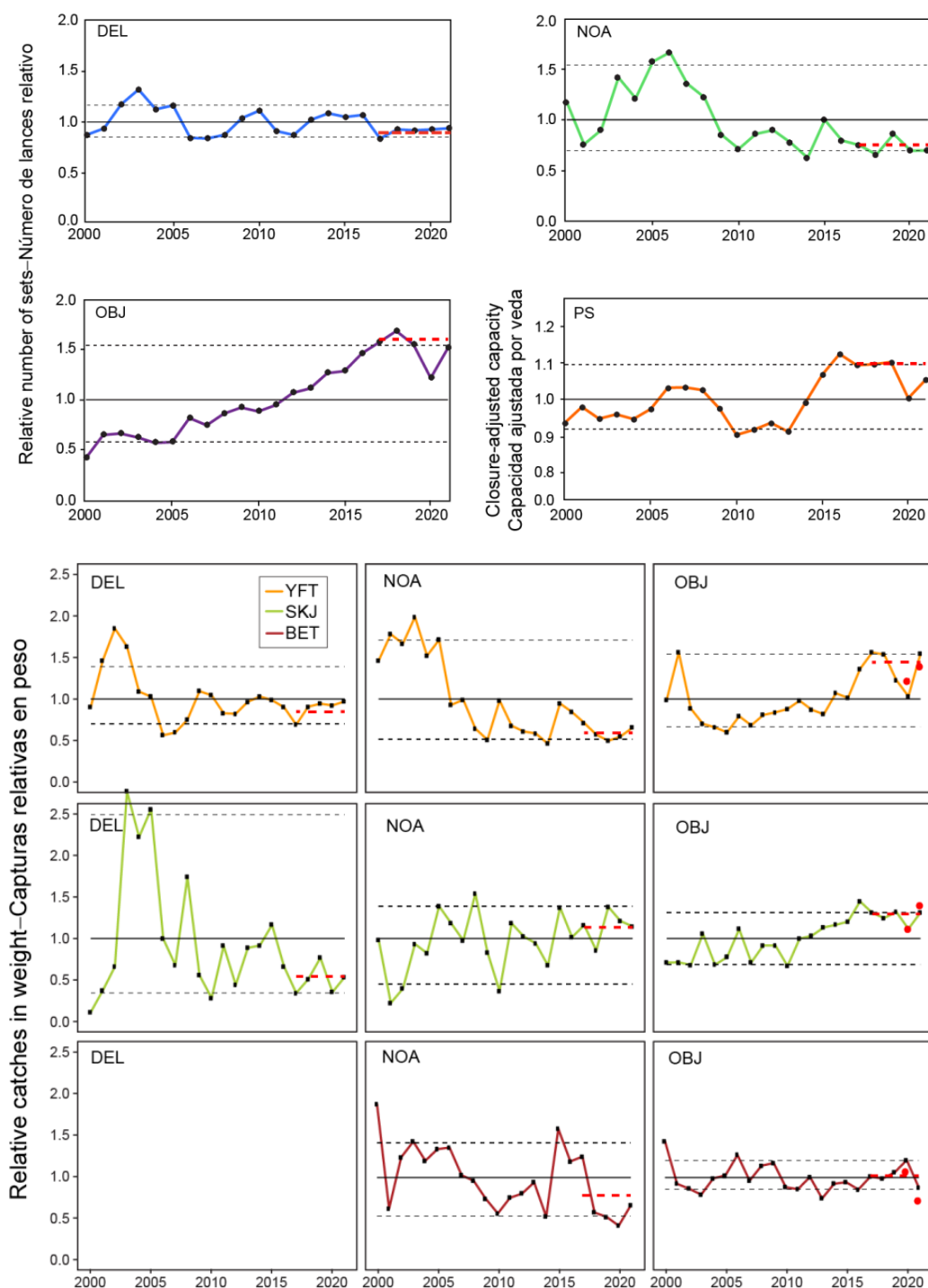


Figure 3. Indicators based on purse-seine fishing effort (top) and catch in weight (bottom) for the period 2000-2021. The red dashed lines mark the status quo reference levels (average conditions from 2017 to 2019). Reproduced from Xu et al. (2022).

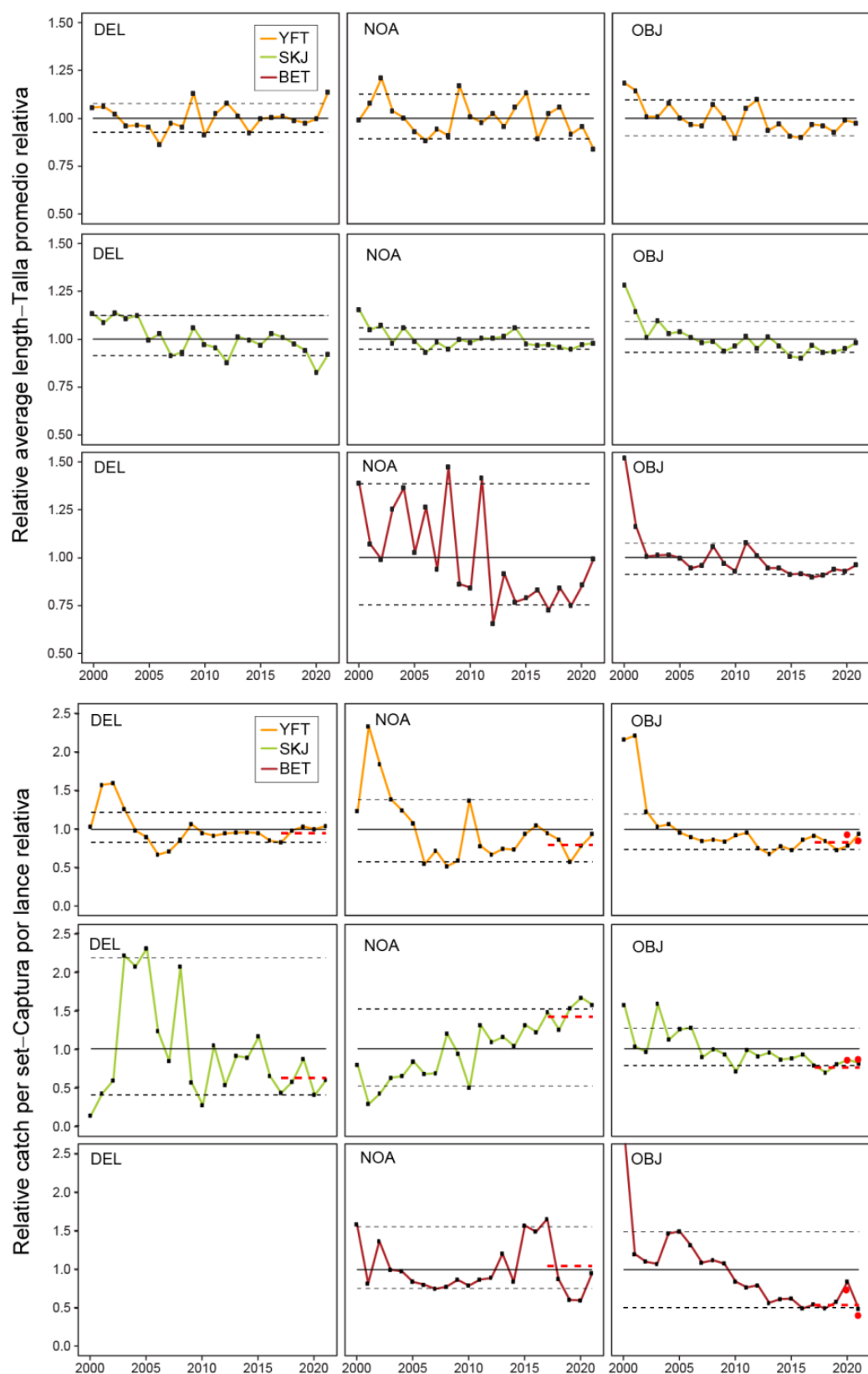


Figure 4. Indicators based on catch per set (top) and average length of fish (bottom) for the period 2000-2021. The red dashed lines mark the status quo reference levels (average conditions from 2017 to 2019). Reproduced from Xu et al. (2022).

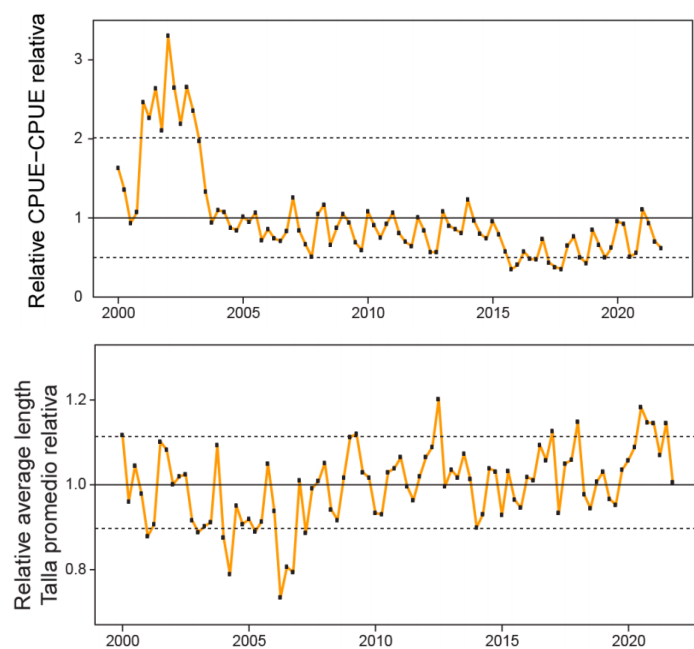


Figure 5. Indicators based on spatio-temporal modelling of catch-per-day and length composition for the purse-seine fishery on yellowfin associated with dolphins for the period 2000-2021. Reproduced from Xu et al. (2022).

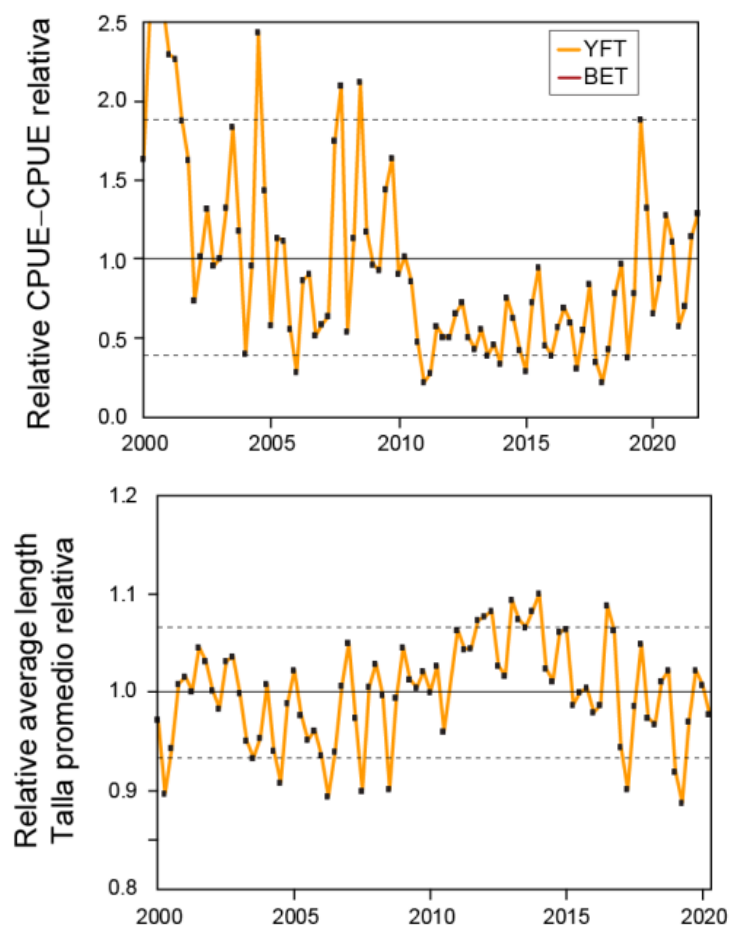


Figure 6. Indicators based on spatio-temporal modelling of longline data for the period 2000-2021. Reproduced from Xu et al. (2022).

3.3.2 Skipjack tuna stock assessment

The fishery suspended the certificate portion for skipjack tuna, therefore it was not considered in this surveillance audit.

3.3.3 Principle 1 overall conclusion

3.3.3.1 Yellowfin tuna

The yellowfin stock status is assumed to continue to be fluctuating around or above the level producing the MSY with high probability, therefore the PI 1.1.1 maintains a high score. The same applies for PI 1.2.4 given no changes in the entire stock assessment procedures.

3.4 Principle 2

Various data sources were provided to the Audit Team by the client in support of the milestones for the Principle 2 conditions on the fishery.

Observer data on oceanic whitetip shark and silky shark catches in 2021 were provided to the Audit Team, which were added to data for earlier years that were already available (Table 7). These catch data show that the live release rate for silky shark has improved considerably from 2018 to 2020 (50.9% to 64% and then 76.7%), with a slight decline back to 66.6% recorded for 2021. Very few oceanic whitetip are taken in the fishery in any case, but all of those which were taken in these years were recorded as released alive (1 in 2018, 8 in 2019, 3 in 2020, 7 in 2021). Observer data for catches of rays in 2021 were also provided by the client, again to add to the data already available for 2018 – 2020 (Table 8). These data show that catches decreased in 2021 after an increase in 2020, but with slightly higher survival rate after a small decrease in 2020.

Table 7. Observer data, including fate, for silky shark and oceanic whitetip shark for the PAST fleet, 2018 and 2019 (source (2018-2019): Dreyfus León 2020a, Dreyfus León 2020b, (2020): CONAPESCA, pers. comm.).

Common name	Retained				Discarded (Dead)				Other/Unknown				Released (Alive)			
	2018	2019	2020	2021	2018	2019	2020	2021	2018	2019	2020	2021	2018	2019	2020	2021
Oceanic whitetip	0	0	0	0	0	0	0	0	0	0	0	0	1	8	3	7
	Released proportion of total, oceanic whitetip shark												100%	100%	100%	100%
Silky shark	7	1	1	1	1,522	1,272	422	369	0	0	0	0	1,587	2,267	1,392	737
	Released proportion of total, silky shark												50.9%	64.0%	76.7%	66.6%

As well as providing details on the inspections carried out on vessels of the PAST fleet, and compliance with measures to prohibit retention of sharks, rays and shark fins, CONAPESCA confirmed the following for bycatches of bluefin tuna and bonito (Table 9). The data for 2021 are consistent with those for earlier years.

Table 8. Observer data, including fate, for ray species for the PAST fleet, 2018 and 2019 (source (2018-2019): Dreyfus León 2020a, Dreyfus León 2020b, (2020): CONAPESCA, pers. comm.).

Common name	Retained				Discarded (Dead)				Other/Unknown				Released (Alive)			
	2018	2019	2020	2021	2018	2019	2020	2021	2018	2019	2020	2021	2018	2019	2020	2021
Spinetail mobula	0	0	0	0	8	2	2	0	0	0	0	0	19	9	3	4
Chilean devil ray	0	0	0	0	0	0	1	0	0	0	0	0	4	30	0	3
Bentfin devil ray	0	0	0	0	0	0	7	0	0	0	0	0	23	7	4	0
Mobula spp.	0	3	0	1	3	0	4	2	0	0	0	0	89	72	108	39
Pelagic stingray	6	0	2	0	4	10	6	5	2	1	0	0	74	68	145	86
Ray spp.	0	0	15	0	0	2	13	0	0	0	0	0	5	16	8	4
Totals	6	3	17	1	15	14	33	7	2	1	0	0	214	202	268	136
Release proportion of total, all ray species													90.3%	91.8%	84.3%	94.4%

Table 9. Bycatches (t) of Pacific bluefin tuna and Eastern Pacific and striped bonito in the PAST fleet, 2016-2020 (source: CONAPESCA)

	2016 (t)	2017 (t)	2018 (t)	2019 (t)	2020 (t)	2021 (t)
Pacific Bluefin tuna	0	0	0	0	0	0
Eastern Pacific and Striped Bonito	108	1,354	0	2,125	303	1,481

3.4.1 PAST Training on bycatch management and the policy zero shark finning

The Audit Team was provided with a copy of the PAST guide to good practices to reduce the mortality of sharks and rays captured incidentally by purse seine vessels in a previous audit (PAST 2019a), as well as the PAST workshop training manual on the commitment to zero retention, zero finning and 100% release of sharks and rays (PAST 2019b). These training materials are intended to be delivered at workshops with skippers, fishing captains and other crew of the PAST fleet, and highlight the benefits to sharks, rays and other bycatch species of appropriate, safe handling techniques. The materials also point to the Mexican and IATTC laws and regulations around finning and shark management, specifying clearly that the PAST operates a zero retention and 100% release policy for sharks and ray species, and that there is a zero-finning policy in place (including because of the impact this practice would have on MSC certification for the fishery).

In 2020, 168 skippers and crew received the training, with 979 receiving the training in 2021. In 2022, 1,148 PAST skippers and crew received the training, which is delivered at workshops, as evidenced to the Audit Team through images and sign-in sheets from the workshops.

3.4.2 The Science and Technical Group on Sharks and Rays

The Science and Technical Group on Sharks and Rays (STG) was initiated by the PAST as a stakeholder forum to provide support and advice in the formulation and implementation of its policies of zero retention and safe handling / live return of sharks and rays that interact with the fishery; several meetings have been held since March 2020.

This year, the STG was offered the opportunity to comment on the policies implemented by the PAST (PAST 2022). Several comments were received, with all reflecting support or strong support for the approach being taken. No new proposals for change were received.

3.4.3 Dolphin Interactions

An update was available for the Year 4 audit regarding fishing effort by the PAST fleet; this showed that effort has remained relatively stable over recent years, with around 6,000 dolphin sets and a few hundred unassociated sets per year (Table 10). Catches from the dolphin-associated sets have also been very stable over the last four years (Table 4). It is noted that only the dolphin sets (UoCs 1 and 3) and unassociated sets (UoCs 2 and 4) were assessed as part of the PAST certificate, while catches from floating object associated sets are outside of the certification. Despite Covid-19, it was also noted during the Year 4 audit that 100% observer coverage was maintained on PAST vessels in 2020-2021.

Table 10. Effort by set type for PAST vessels, 2014-2021 (source: client)

Year	Dolphin set (UoCs 1 & 3)		Unassociated (UoCs 2 & 4)		Floating object (not certified)		Total Annual sets
	PAST vessels	% of total annual sets	PAST vessels	% of total annual sets	PAST vessels	% of total annual sets	
2014	6,659	89.0	625	8.4	197	2.6	7,481
2015	6,038	77.2	1438	18.4	344	4.4	7,820
2016	6,168	82.9	902	12.1	366	4.9	7,436
2017	5,314	77.7	1152	16.8	374	5.5	6,840
2018	6,236	85.3	498	6.8	574	7.9	7,308
2019	6,145	83.6	791	10.8	412	5.6	7,348
2020	5,862	90.4	340	5.2	279	4.3	6,481
2021	5,830	87.1	558	8.3	306	4.6	6,694

Dolphin mortalities in the PAST fishery increased slightly in 2018 and 2019 compared to the proceeding three years, in part because of the slightly higher number of dolphin sets undertaken, but also because the mortality rate increased slightly from around 0.07 to just under 0.09 dolphins per set; however, the mortality rate declined for 2020 and 2021 to 0.08 dolphins per set (Table 11). It is noted that the total annual dolphin mortality limit (DML) continues to be set at 5,000 dolphins across all fleets (4,900 in the unreserved portion – AIDCP 2022), and in recent years the PAST fleet has been responsible for a relatively consistent proportion of the total annual EPO mortality, at around 55-68% of the total; this comprises around 10% of the DML.

The average individual vessel DML across the 109 vessels that requested a DML in 2021 was 44.95, and no EPO purse seine vessel exceeded that figure (AIDCP 2022).

Table 11. Dolphin mortality for PAST vessels and all fleets, 2014-2019 (PAST data source: client, All fleet data source: AIDCP 2022).

Year	PAST vessels	Total all fleets	PAST vessels as % of total	PAST vessels mean mortality per dolphin set
2014	591	975	60.6	0.089
2015	420	765	54.9	0.070
2016	406	702	57.8	0.066
2017	400	688	58.1	0.075
2018	554	819	67.6	0.089
2019	530	778	68.1	0.086
2020	462	689	67.1	0.079
2021	467	729	64.1	0.080

Importantly, the performance of the EPO fleet has improved with respect to the key risk factors posed during the fishing operations, including major malfunctions (e.g., vessel hydraulic failure), sets with net collapse and sets where a net canopy forms. Table 12 is adapted from AIDCP 2022 and shows these data in four periods since 1987. The percentages of the sets with issues have all improved dramatically over the period, reflected in the percentage of sets with zero mortality and the average number of live dolphins left in the net after backdown.

Table 12. Percentages of sets with no dolphin mortalities, with major gear malfunctions, with net collapses, with net canopies, average times of backdown (in minutes), and average number of live dolphins left in the net at the end of backdown. 1986-2008 data are from trips observed by the IATTC program only; data after 2008 include trips covered by national programs (Source: adapted from AIDCP 2022).

	Sets with zero mortality (%)	Sets with major malfunctions (%)	Sets with net collapse (%)	Sets with net canopy (%)	Average duration of backdown (mins)	Average number of live dolphins left in net after backdown
1987	46.1	10.9	32.9	18.9	14.6	4.4
1988	45.1	11.6	31.6	22.7	14.3	5.5
1989	44.9	10.3	29.7	18.3	15.1	5.0
1990	54.2	9.8	30.1	16.7	14.3	2.4
1991	61.9	10.6	25.2	13.2	14.2	1.6
Mean 87-91	50.4	10.6	29.9	18.0	14.5	3.8
1997	87.7	6.6	6.1	4.6	14.3	0.2
1998	90.3	6.3	4.9	3.7	13.2	0.2
1999	91.0	6.6	5.9	4.6	14.0	0.1
2000	90.8	5.6	4.3	5.0	14.9	0.2
2001	91.6	6.5	3.9	4.6	15.6	0.1
Mean 97-01	90.3	6.3	5.0	4.5	14.4	0.2
2007	94.2	5.1	1.6	3.4	15.2	<0.1
2008	92.4	4.9	2.9	3.7	16.1	0.1
2009	93.3	5.2	1.8	3.1	16.7	<0.1

2010	94.1	4.7	1.3	2.4	16.2	<0.1
2011	94.0	4.1	1.9	2.1	16.3	<0.1
Mean 07-11	93.6	4.8	1.9	2.9	16.1	<0.1
2017	96.2	3.6	1.0	1.0	15.9	<0.1
2018	95.8	3.3	0.8	1.5	17.3	<0.1
2019	95.8	4.1	1.1	1.1	16.6	<0.1
2020	96.5	3.9	0.3	0.9	17.0	0
2021	96.5	3.5	0.7	0.8	17.0	0
Mean 17-21	96.2	3.7	0.8	1.1	16.8	<0.1

Although the estimates of population size for the different dolphin populations are dated, AIDCP 2022 provided a summary estimate of relative total mortality (all fleets) compared to those best estimates; the highest relative mortality rate estimate for any population was 0.02% (Table 13). This is very similar to the data reported for 2020 in the previous PAST Fishery audit report.

Table 13. Estimates of total mortalities of dolphins in 2021, population abundance, and relative total mortality (all fleets), by stock (Source: AIDCP 2022).

Species	Population	Mortality	Population estimate	Relative mortality (%)
Offshore spotted dolphin ¹	Northeastern—Nororiental	167	911,177	0.02
	Western/southern—Occidental y sureño	174	911,830	0.02
Spinner dolphin ¹	Eastern—Oriental	195	790,613	0.02
	Whitebelly—Panza blanca	173	711,883	0.02
Common dolphin ²	Northern—Norteño	3	449,462	< 0.01
	Central	6	577,048	<0.01
	Southern—Sureño	5	1,525,207	<0.01
Other dolphins ³		6	n/a	n/a
Total		729		

Notes for table provided by AIDCP 2020

1 Logistic model for 1986-2006 (IATTC SAB-07-05)

2 Weighted averages for 1998-2003 (IATTC Special Report 14: Appendix 5)

3 "Other dolphins" includes the following species and stocks, whose observed mortalities were as follows: Central American spinner dolphin (*Stenella longirostris centroamericana*) 6, striped dolphin (*Stenella coeruleoalba*) 3, roughtoothed dolphin (*Steno bredanensis*) 2, and unidentified dolphins, 1.

3.4.4 Dolphin abundance survey and mother-calf separation

A key interest for the Audit Team remains progress made against the plan to produce abundance estimates for dolphin species in the Eastern Tropical Pacific Ocean. This work was intended to update estimates of abundance that relied upon fishery-independent and ecosystem assessment surveys that were undertaken periodically by the US National Marine Fisheries Service from 1979 to 2006; because those surveys have not been undertaken since 2006 there are currently no reliable indicators of abundance for Eastern Tropical Pacific dolphin populations (Lennert-Cody et al. 2018).

As reported in 2020, a research plan was developed to address identified constraints (AIDCP 2019b), and a 14 day trial cruise was undertaken in November 2019 aboard the Mexican research vessel Dr Jorge Carranza Fraser, provided by INAPESCA for the project; a cruise report was made available to the Audit Team for the Year 2 audit (Oedekoven et al. 2020), which indicated that while the Research Vessel was proven to be appropriate for undertaking the work, contrary to the methodological requirements the drones employed for the survey were not able to provide sufficient endurance, camera image resolution was too low, transmitted video footage was of insufficient quality due to data compression and other issues, and there was no on-board back-up video storage capability. Further, one drone was lost and only one pilot was able to fly the drones successfully. Together, these issues meant that whilst some calibration of trackline detection and counts by species could occur, the test was not sufficiently successful to confirm the feasibility of the methodology for undertaking a full survey covering 120 days.

A further sea trial was proposed by the survey project team, using a different drone-camera system to provide improved image resolution and endurance capabilities (Oedekoven et al. 2020). However, the limitations posed by Covid-19 meant that the new sea trial was not undertaken in 2021.

Covid-19 has also impacted the proposed mother-calf separation work. The Audit Team heard this year that the PAST has requested that the IATTC commit part of its research budget to a project considering this issue. However, this has yet to be agreed because there has been disruption to the normal IATTC meeting process, including because the term of the previous IATTC Director ended in August 2020, and a new postholder or a new term for the previous Director cannot be confirmed until the IATTC meets in person – this has not happened since the pandemic began, and so a temporary Director is in post currently. With the ongoing pandemic causing difficulty with IATTC process, it is understandable that some matters have not been addressed in the way they might have been otherwise; the dolphin research requires the input of IATTC staff and non-Mexican external experts, and in this regard Covid-19 has clearly caused difficulty because of the continuing absence of in-person meetings, travel restrictions for out-of-country collaborators, and because at-sea research work has been constrained greatly even for in-country participants.

3.4.5 Principle 2 overall conclusion

Overall, the audit team is satisfied that the PAST is working diligently to improve understanding of the fishery with respect to the risk posed to bycatch species, including sharks and rays and dolphins, and to address conditions. Nevertheless, Covid-19 is a factor beyond the control of the client group and, in particular, this has affected delivery of the work focused on dolphin interactions. In essence, progress been very positive in general where the client has been in control of the required processes, but not universal for all areas. More details can be found in the summary table for the Conditions (Table 15) and in the detailed commentaries on the P2 conditions (Section 4.3).

3.5 Principle 3

The management framework for the Northeastern Tropical Pacific Purse Seine Yellowfin and Skipjack Tuna Fishery has not undergone any significant changes or revisions since the fishery was certified by SCS Global Services on 7th September 2017.

3.5.1 Decision-making processes

The Final Assessment Report included two Conditions for PI 3.2.2: Decision-making processes.

- **Condition 3.2 for PI 3.2.2 SI b** was applied due to there being insufficient evidence to demonstrate that issues identified through research and monitoring outside IATTC processes were responded to in a transparent and timely manner.
- **Condition 3.3 for PI 3.2.2 SI d** was applied due to it not being evident that the Management Plan for Yellowfin Tuna (SAGARPA 2014) was effective as a management tool for the fishery and the level of influence of the fishing industry in decision-making was not clear. In addition, overall there was a lack of transparency in decision-making.

During the on-site visit for the First Year Surveillance Audit the team met with CONAPESCA to discuss existing decision-making processes in the management of the purse seine tuna fishery and evaluating the progress of the Client Action Plan to meet the First Year Milestones. CONAPESCA provided a detailed explanation of how the Official Mexican Standard (NOM in Spanish) establishes rules and guidelines for the management of fisheries operations. It was explained that in the development of the NOM a Technical Working Group (GTT) reviews issues identified through scientific research, evaluations and information provided from various stakeholders including the fishing industry and NGOs. A draft of the NOM when completed was sent for approval to the Subcommittee for Responsible Fisheries (SCPR), once approved, it was presented to the National Committee for Agrifood Standardization (CNNA) for publication and public consultation. The public was given 60 days to raise any issues concerning the content of the NOM. Comments from stakeholders were responded to and when applicable, modifications were made to the draft. The NOM for the tuna fishery (NOM-001-SAG/PESC-2013) was published in 2014 after the approval of the Subcommittee for Responsible Fisheries (SCPR). A review of the NOM was to be conducted every 5 years where changes can be made or its validity can be ratified. The audit team concluded that although there were opportunities for public consultation access to information concerning the details of decisions that were made was limited. INAPESCA did not provide technical opinions, or details concerning the developing stages of the NOM, therefore, it remained unclear how research and monitoring were incorporated in the NOM to address fisheries issues. As a review of the current NOM was expected to commence in 2019, the team recommended that this was an opportunity for CONAPESCA to present evidence of how issues identified through research and monitoring are taken into consideration. Also, it was reported to the team that the 'Barco Abierto', a multi-stakeholder group, proposed that new members from the fisheries sector be added to the National Council of Sustainable Fisheries and Aquaculture to strengthen stakeholder participation and that State Fisheries and Aquaculture Councils increase citizen participation in the creation of fisheries policies. To promote transparency, it was proposed that the Technical Secretariat of the Council publish on the internet portal of SAGARPA the list of members, work agenda, minutes of sessions, reports of activities etc.

Discussions during the Second Year Surveillance Audit indicated that the Alliance and CONAPESCA were concerned that in the Final Assessment Report rationale for PI 3.2.2b which stated "it was not clear that issues identified through research and monitoring, outside IATTC processes, are responded to in a transparent and timely manner", was not justified. CONAPESCA explained that decision-making processes for the NOM-001-SAG/PESC-2013 included inputs from the fishing industry and other stakeholders in all steps of its development. Also, INAPESCA provided scientific and technical information to support tuna management measures that were included in the NOM. It was mentioned that in the development of the Tuna Management Plan two workshops were conducted that included the participation of multiple stakeholders. Data from observer reports were also used to contribute to the development of the tuna management plan.

It was reported that to date, the National Advisory Committee for Agrifood Standardization (CCNNA) and Sub-committee of Sustainable Fisheries have not added new members as the functions and operation of the CCNNA are governed by operational rules published in the Secretariat Agreement of

2012 and as long as these rules have not been amended the inclusion of new members is prohibited. The Alliance mentioned that during the First Surveillance Audit there was a discussion about either changing the wording of Condition 3.2 or closing the Condition as there was evidence that issues identified through research and monitoring were responded to in a transparent and timely manner.

Following these discussions, the Second Year Surveillance Audit team concluded that to justify any revisions to the wording of Condition 3.2 milestones or changing the status of the Condition, it would require evidence that decision-making issues identified through research and/or evaluation were taken into consideration in developing tuna management plans or legislation. It was recommended that CONAPESCA provide meeting minutes or other relevant information from the review of the NOM in 2019 and the Management Plan for Tropical Yellowfin Tuna as evidence. CONAPESCA mentioned that although a review of the NOM was conducted in 2019, there were not any revisions to the document. As the NOM had not been revised there was not a review report, however, there are meeting minutes that are publicly available.

Discussions during Third Year Surveillance Audit indicated that there were no major changes to the fisheries management system since the last audit was conducted in 2020. There were some changes to the senior staff of CONAPESCA, however, these changes have not affected the management of the tuna fishery.

Correspondence was provided by the Alliance requesting information from the Director General of INAPESCA on the status of the Management Plan for Tropical Yellowfin Tuna review. The Director General of INAPESCA responded stating that due to COVID-19 restrictions INAPESCA and its partners were unable to meet and commence the review process. However, the Director General reported that it was expected that the review would be completed by May 2021. The Alliance sent another letter to the Director General of INAPESCA in April 2021 requesting an update on the review but to date, there has not been a reply. It was reported that the INAPESCA staff only returned to work in late August 2021 and this was likely the reason for a lack of correspondence concerning the review.

The Fourth Year Surveillance Audit site visit discussions with INEPESCA in September 2022 indicated that the review of the Management Plan for Tropical Yellowfin Tuna was completed during two meetings conducted in late August and early September 2021 after the COVID-19 restrictions were eased. Multiple stakeholders participated in the review including INAPESCA, FIDEMAR, Pesca Azteca S.A., Alliance de Pacifico por el Atun Sustentable, Pesca Chiapas and Grupo Maritimo Industrial. The stakeholders were given the opportunity to provide comments and recommendations concerning revisions to the Plan. The most significant revisions included the inclusion of artisanal, small-scale and longline fisheries in the management of yellowfin tuna within Mexico's EEZ. The initial Plan excluded objectives and strategies for the management of yellowfin tuna in these fisheries due to the minimal catches compared to the purse seine fishery. A list of participants, meeting minutes and a draft of the report for the revised Management Plan for Tropical Yellowfin Tuna were provided to the team to review.

3.5.2 Monitoring, Control and Surveillance (MCS)

The Final Assessment Report included three conditions for PI 3.2.3: Compliance and Enforcement.

- **Condition 3.4 for PI 3.2.3 Sla** was applied due to the national management system not being comprehensive and not having the ability to consistently enforce relevant management measures.

- **Condition 3.5 for PI 3.2.3 SIb** was applied due to sanctions to deal with non-compliance were not clearly, consistently or systematically applied.
- **Condition 3.7 for PI 3.2.3 SIId** was applied due to a report of over 29 cases of fishing/no movement in closed areas which constituted evidence of systematic non-compliance by the fishers.

During the First Year Surveillance Audit it was reported that the main MCS mechanisms for monitoring and reporting potential non-compliance incidents committed by vessel operators/owners include the Vessel Monitoring System (VMS), the Mexican and IATTC Regional Observer Programs and random dockside inspections.

There is a requirement for 100% observer coverage on purse seine vessels (including UoA vessels) that is shared 50:50 by the IATTC and Mexican observer programs. Apart from the collection of catch and effort data observers are required to report infractions that occur during the vessel's fishing activities, (i.e. the retention of illegal fish species or ETP species, after sundown sets etc.). If an infraction has occurred, the observer upon completion of the fishing trip will meet with the observer program supervisor to review the trip report, which is then forwarded to IATTC. The observer reports that provide information concerning violations committed by tuna fishing vessels are presented to the International Review Panel (IRP) under the AIDCP. The low level of violations reported by observers, given the 100% observer coverage requirement, indicates that there is a high level of compliance. Reports from IRP from 2016-2019 that were provided to the Second Year Surveillance Audit team indicated that there were not any violations reported for the Mexican tuna fishery.

CONAPESCA reported to the audit team that all UoA purse seine vessels are required to install a VMS system that tracks the routes of each vessel during fishing operations. The VMS system is installed maintained and monitored by CONAPESCA. The rate of transmission (ping rate) from the VMS system on the vessel is once an hour, however, if the vessel enters the waters of a Marine Protected Area (MPA) an alarm is triggered and the ping rate is reduced by the SISMEP operator to once every fifteen minutes. The rate is reduced to determine whether the vessel is conducting possible illegal fishing activities or transiting to another fishing area outside the MPA boundaries. If it is determined that the vessel speed indicates that a possible fishing activity is occurring the SISMEP control center sends a cedula (authorization) to PROFEPA and SEMAR to investigate the incident.

The Alliance members contracted a global satellite monitoring company, CLS, to track and monitor all UoA vessels during fishing operations. The CLS system triggers an alarm that alerts the Alliance if a UoA vessel enters MPA waters. The Alliance once alerted will contact the captain of the vessel with instructions to exit MPA waters. If it is determined that the vessel was indeed conducting fishing activities within the MPA waters the Alliance will terminate the captain's contract (pers.comm. Marianna Ramos, PAST, August 2020).

The VMS upgrade that was scheduled to be completed by CONAPESCA in 2019 was delayed due to the restructuring of national government agencies after the election of a new government which resulted in the funding for this project being reallocated.

CONAPESCA through the Dirección General de Inspección y Vigilancia (the Office for Inspection and Surveillance) and Federal Fisheries Officials conduct inspections of UoA vessel's fishing gear and fish products in accordance with Article 124 of the Ley General de Pesca y Acuicultura Sustentables, Article 145, Sections II and III of the Fisheries Law and Articles 62 and 69 of the Federal Law of Administrative Procedure. The resolution regarding dolphin safety gear inspections (Resolution A-04-0) stipulates that purse seine vessels are required to be inspected twice a year to ensure that the dolphin safety

gear and equipment are onboard. Random dockside inspections of purse seine vessels are also conducted by fisheries officers to determine whether there are illegal fish or ETP species onboard. In 2018 and 2019, Federal Fisheries Officials of CONAPESCA conducted random inspections on Alliance vessels; no cases of non-compliance were reported concerning the retention of sharks, rays or shark fins.

CONANP, which is responsible for managing Mexico's 173 marine protected areas (MPAs) works in close collaboration with relevant government agencies, as well as Global Fishing Watch and Marine Traffic. CONANP and CONAPESCA reported that although some of the MPA areas were traditional fishing grounds the response from the fishers has been very positive. Also, the deterrents for non-compliance that include sanctions, returning to port, loss of fishing time etc., are significant. The registration of UoA vessels in the new Revillagigedo National Park has also improved compliance. To raise the awareness of the vessel captains and crew about the MPA boundaries and fisheries regulations the Alliance and CONANP are developing videos that will be viewed onboard the UoA vessels during fishing operations.

During the expedited audit in 2019, out of a total of 71 potential cases identified of tuna fishing vessels entering MPA waters in 2017-2018, CONAPESCA provided records of 29 cases involving 18 fishing vessels entering MPA waters in 2017. When a fishing vessel enters a protected area, if it is determined that a fishing vessel is suspected of conducting illegal fishing activities a cedula is sent to PROFEPA and to SEMAR. It was determined that 14 of the cases identified in 2017 presented potential irregularities, which were sent to PROFEPA to determine whether there was an infraction committed. PROFEPA's investigations into fishing vessel entries into MPA waters confirmed that the tuna fishing vessel AZTECA 6 had illegally fished within MPA boundaries in 2017 and imposed a fine of 3,623,520 Mexican pesos (around GB£130,000).

Discussions during the Third Year Surveillance Audit indicated that during the COVID-19 pandemic Mexico was able to maintain 100% observer coverage on tuna purse seine vessels in 2020. As the purse seine fleet in Mexico only operates from domestic ports this enabled the government to closely monitor the placing of observers aboard vessels. This is a major accomplishment as in other regions observer coverage for tuna fleets has been problematic due to national and regional restrictions that have been implemented to control the spread of the virus. Also, regular dockside inspections were conducted by CONAPESCA of tuna vessels offloading their catches in domestic ports. New protocols port entry and offloading were implemented to address COVID-19 concerns in domestic ports.

The national VMS system which is monitored and maintained by CONAPESCA continued to operate efficiently and effectively with 100% of the tuna purse seine vessels meeting the requirement to install a VMS. Also, CLS, under contract by Alliance members tracked and monitored all UoA vessels during fishing operations. The CLS VMS system acts as a backup to the national VMS and enables the Alliance to monitor the UoA vessel fishing activities and warn captains if a vessel is approaching an MPA area. Although the national VMS system was not upgraded in 2019 due to financial constraints, CONAPESCA reported that it constantly updates the system to provide an effective and accurate mechanism for tracking of tuna fishing vessels.

IRP, CONAPESCA, and PROFEPA provided information concerning infractions and sanctions of UoA vessels from 2012-2020. The data concerning infractions indicated that since 2018 there have not been any infractions committed by the UoA fleet. It was reported that CONAPESCA, the Navy and other relevant enforcement partners have taken preventative measures to improve compliance.

CONAPESCA reported to the team that the 13 cases of tuna fishing vessels entering MPA waters in 2017 that required investigation had yet to be resolved due to COVID-19 restrictions. It was reported

that investigations concerning these infractions required the authorities to conduct face-to-face interviews with the captains and crew of the vessels as well as the staff from CONANP. Therefore, the investigations into these cases have been suspended until the COVID-19 restrictions are eased.

To raise awareness about Marine Protected Areas (MPAs), located within the Exclusive Economic Zone (EEZ) of Mexico, the Alliance has conducted 41 workshops with over 1000 participants, mainly the captains and crews of UoA vessels, since May 2020. Each workshop included a power-point presentation which provided details concerning the boundaries of MPAs and the rules and regulations for the management of the MPAs and tuna fishery. Further information on the workshops can be found at: <https://www.pacifictunaalliance.org/es/el-blog/medidas-para-el-desarrollo-de-una-pesca-sostenible-en-la-pescqueria-mexicana-de-atun-en-el-oceano-pacifico-html>.

Discussions during the Fourth Year Surveillance Audit indicated that reports from IRP in 2021 denoted there were no violations reported for the Mexican tuna fishery. During the COVID-19 pandemic Mexico was able to maintain 100% observer coverage on tuna purse seine vessels throughout 2021. As the purse seine fleet in Mexico only operates from domestic ports this enabled the government to closely monitor the placing of observers aboard vessels. During 2021, CONAPESCA maintained 100% VMS coverage of the UoA purse seine vessels during fishing operations. The Alliance members via the CLS satellite VMS system also tracked and monitored all UoA vessels fishing trips in 2021. Federal Fisheries Officials of CONAPESCA conducted random dockside inspections on Alliance vessels (74 in 2019, 6 in 2020, 15 in 2021 and inspections required by Resolution A-04—03, 70-72 in 2019, 68 in 2020 and 68 in 2021); no cases of non-compliance were reported concerning the retention of sharks, rays and shark fins from 2018-2021. CONAPESCA reported that the Navy boarded and inspected a total of 6 UoA purse seine vessels in 2019, while in 15 vessels were boarded and inspected in 2020 and 18 vessels were boarded and inspected in 2021. No infractions were identified by the Navy during these surveillance operations. To raise awareness about Marine Protected Areas (MPAs), located within the Exclusive Economic Zone (EEZ) of Mexico, the Alliance has conducted over 40 workshops with 1,141 participants, mainly for the captains and crews of UoA vessels, since May 2020.

As of the first quarter of 2022, the cases of tuna fishing vessels entering MPA waters in 2017 that required investigation were yet to be resolved by CONAPESCA and PROFEPA. When COVID-19 restrictions were eased, in late 2022 investigations into these cases were completed. CONAPESCA reported that with regard to the 13 remaining cases that observer reports from the vessels under investigation indicated that no illegal fishing operations occurred within the MPA waters. Also, according to the VMS data provided by SISMEP, CONAPESCA concluded that for the 5 cases reported in the El Vizcaino Biosphere Reserve, the 5 cases reported in the Revillagigedo Archipelago Biosphere Reserve, 2 cases in the Pacific Islands Biosphere Reserve of Baja California Peninsula and 1 case in the Gulf Island Biosphere Reserve, the purse seine vessels were in transit and there was no conclusive evidence that any illegal fishing activities had occurred.

3.5.3 Principle 3 overall conclusion

Since the North-eastern Tropical Pacific Purse Seine Yellowfin and Skipjack Fishery was certified in September 2017, the Government of Mexico, CONAPESCA and other relevant government agencies and the Alliance have continued to implement programs and measures to improve the management of the tuna purse seine fishery. The Fourth Annual Surveillance Audit has focused on changes and improvements since the Third Year Surveillance Audit and measures taken by the Alliance and CONAPESCA and other relevant government agencies to meet the milestones that were outlined for the P3 Conditions. Progress has been positive, resulting in the closure of the remaining Conditions;

more details can be found in the summary table for the Conditions (Table 15) and in the detailed commentaries on the P3 conditions (Section 4.4).

3.6 Traceability

There were no changes to traceability identified at this Year 4 audit.

4 Results

4.1 Surveillance results overview

4.1.1 Total Allowable Catch (TAC) and Catch Data

The TAC and catch data for 2020/2021 are shown in Table 14, below.

Table 14. TAC and Catch Data

UoC 1: Dolphin-associated sets – yellowfin tuna

TAC	Year	2021	Amount	N/A
UoC share of TAC	Year	2021	Amount	N/A
UoC share of total TAC	Year	2021	Amount	N/A
Total green weight catch by UoC	Year (most recent)	2021	Amount	84,329 tonnes
	Year (second most recent)	2020	Amount	85,396 tonnes

UoC 2: Unassociated sets – yellowfin tuna

TAC	Year	2021	Amount	N/A
UoC share of TAC	Year	2021	Amount	N/A
UoC share of total TAC	Year	2021	Amount	N/A
Total green weight catch by UoC	Year (most recent)	2021	Amount	4,162 tonnes
	Year (second most recent)	2020	Amount	4,290 tonnes

UoC 3: Dolphin-associated sets – skipjack tuna (**SUSPENDED**)

TAC	Year	2021	Amount	N/A
UoC share of TAC	Year	2021	Amount	N/A
UoC share of total TAC	Year	2021	Amount	N/A
Total green weight catch by UoC	Year (most recent)	2021	Amount	977 tonnes
	Year (second most recent)	2020	Amount	2,059 tonnes

UoC 4: Unassociated sets – skipjack tuna (**SUSPENDED**)

TAC	Year	2021	Amount	N/A
UoC share of TAC	Year	2021	Amount	N/A
UoC share of total TAC	Year	2021	Amount	N/A
Total green weight catch by UoC	Year (most recent)	2021	Amount	1,192 tonnes
	Year (second most recent)	2020	Amount	7,570 tonnes

4.1.2 Summary of conditions

The following table presents a summary of the 29 conditions (two in Principle 1, 20 in Principle 2, and seven in Principle 3) that were placed on the PAST purse seine tuna fishery. The status and scoring have been updated to show how the fishery is performing at this Year 4 audit.

It is highlighted that, in March 2021, the MSC responded to the Covid-19 pandemic by issuing a derogation (Derogation 6⁵) for conditions raised against Principle 1 and Principle 2 management and information PIs, and all Principle 3 PIs. This recognised the difficulty faced by clients in trying to make progress against conditions, and the timelines for eligible conditions were extended automatically under the derogation, with no milestones for this year.

Despite Derogation 6, the Audit Team sought to determine the progress made against all conditions on year 3, with an update provided for each condition.

In the following sections of the report, below, the Audit team has included the progress done in the surveillance year 4 considering when derogation 6 had any impact. The assessment team notes that the MSC has also clarified through interpretation⁶ that where the conditions were set originally to run to the fourth surveillance audit, the new deadline for the conditions covered by the Derogation 6 is the 1st year of a new surveillance audit; this is reflected in the revised timelines shown for eligible conditions.

Table 15. Summary of conditions

Condition number	Condition	PI	Status at Y4	PI original score	PI revised score
Principle 1					
1-1	<u>UoCs 3 & 4: Skipjack</u> By the fourth annual surveillance, provide evidence that the fishery for skipjack tuna has developed reference points that are appropriate for the stock and can be estimated.	1.1.2 Sla	UoC SUSPENDED	75	N/A
1-2	<u>UoCs 3 & 4: Skipjack</u> By the fourth annual surveillance, provide evidence that the harvest strategy is responsive to the state of the stock and the elements of the harvest strategy work together towards achieving management objectives reflected in the target and limit reference points.	1.2.1 Sla	UoC SUSPENDED	70	N/A
Principle 2					
2-1	<u>UoCs 1 & 3: Dolphin sets</u> Silky sharks and oceanic whitetips: By the fourth annual surveillance, provide evidence that there is a partial strategy of demonstrably effective management measures in place such that the dolphin sets do not hinder recovery and rebuilding.	2.1.1 Sla	Closed	60	80

⁵ <https://www.msc.org/docs/default-source/default-document-library/for-business/program-documents/chain-of-custody-supporting-documents/msc-derogation-6-covid-19-fishery-conditions-extension.pdf>

⁶ <https://mscportal.force.com/interpret/s/article/Derogation-6-Covid-19-Fishery-Conditions-Extension>

Condition number	Condition	PI	Status at Y4	PI original score	PI revised score
2-2	<u>UoCs 1 & 3: Dolphin sets</u> Silky sharks and oceanic whitetips: By the fourth annual surveillance, provide evidence that the partial strategy is being implemented successfully.	2.1.2 SIc	Closed	70	85
2-3	<u>UoCs 1 & 3: Dolphin sets</u> Silky sharks and oceanic whitetips: By the fourth annual surveillance, provide evidence that it is highly likely that shark finning is not taking place in dolphin sets	2.1.2 SIe	Closed	70	85
2-4	<u>UoCs 1 & 3: Dolphin sets</u> Silky shark and oceanic whitetips: By the fourth annual surveillance, provide evidence that information is adequate to support a partial strategy to manage main retained species.	2.1.3 SIc	Closed	70	80
2-5	<u>UoCs 1 & 3: Dolphin sets</u> Silky shark and oceanic whitetips: By the fourth annual surveillance, provide evidence that sufficient data continue to be collected for dolphin sets to detect any increase in risk level (e.g. due to changes in the outcome indicator score or the operation of the fishery or the effectiveness of the strategy).	2.1.3 SI d	Closed	70	80
2-6	<u>UoCs 1 & 3: Dolphin sets</u> Dolphins: By the fourth annual surveillance, provide evidence that the effects of dolphin sets in the fishery on dolphins are known and are highly likely to be within limits of national and international requirements for their protection.	2.3.1 SIa	Behind target (scheduled to close year 1 of new certificate)	65	N/A
2-7	<u>UoCs 1 & 3: Dolphin sets</u> Dolphins: By the fourth annual surveillance, provide evidence that direct effects of dolphin sets on dolphins have been considered and are thought to be unlikely to create unacceptable impacts.	2.3.1 SIb	Behind target (scheduled to close year 1 of new certificate)	65	N/A
2-8	<u>UoCs 1 & 3: Dolphin sets</u> Dolphins: By the fourth annual surveillance, provide evidence that there is an objective basis for confidence that the strategy will work (to ensure the fishery does not hinder recovery of ETP species), based on information directly about the fishery or species involved	2.3.2 SIb	Behind target (scheduled to close year 1 of new certificate)	65	75 (rescored because Condition 2-9 is met)
2-9	<u>UoCs 1 & 3: Dolphin sets</u> Dolphins: By the fourth annual surveillance, provide evidence that the strategy is being implemented successfully.	2.3.2 SIc	Closed	65	75 (Does not meet 80 unless Condition 2-8 is also met)

Condition number	Condition	PI	Status at Y4	PI original score	PI revised score
2-10	<u>UoCs 1 & 3: Dolphin sets</u> Dolphins: By the fourth annual surveillance, provide evidence to show that sufficient information is available from dolphin sets to allow fishery related mortality and the impact of fishing to be quantitatively estimated for dolphins.	2.3.3 S1a	Behind target (scheduled to close year 1 of new certificate)	65	N/A
2-11	<u>UoCs 1 & 3: Dolphin sets</u> Dolphins: By the fourth annual surveillance, provide evidence to show that information from dolphin sets is sufficient to determine whether the fishery may be a threat to protection and recovery of dolphins.	2.3.3 S1b	Behind target (scheduled to close year 1 of new certificate)	65	N/A
2-12	<u>UoCs 2 & 4: Free School Sets</u> Silky sharks and Mobulid rays: By the fourth annual surveillance, provide evidence that there is a partial strategy of demonstrably effective management measures in place such that the free school sets do not hinder recovery and rebuilding.	2.1.1 S1c		60	80
2-13	<u>UoCs 2 & 4: Free School Sets</u> Pacific bluefin tuna: By the fourth annual surveillance, provide evidence that there is a partial strategy of demonstrably effective management measures in place such that the free school sets do not hinder recovery and rebuilding.	2.1.1 S1c	Closed Year 3	60	80
2-13b	<u>UoCs 2 & 4: Free School Sets</u> Eastern Pacific and striped bonito tuna: By the fourth annual surveillance, provide evidence that these species are highly likely to be within biologically based limits or, if found to be outside such limits, that there is a partial strategy of demonstrably effective management measures in place such that the free school sets do not hinder recovery and rebuilding.	2.1.1 S1c	Closed Year 3	60	80
2-14	<u>UoCs 2 & 4: Free School Sets</u> Silky shark and Mobulid rays: By the fourth annual surveillance, provide evidence that the partial strategy is being implemented successfully.	2.1.2 S1c	Closed	65	85
2-15	<u>UoCs 2 & 4: Free School Sets</u> Pacific bluefin tuna: By the fourth annual surveillance, provide evidence that the partial strategy is being implemented successfully.	2.1.2 S1c	Closed	65	85
2-16	<u>UoCs 2 & 4: Free School Sets</u> Silky shark: By the fourth annual surveillance, provide evidence that it is highly likely that shark finning is not taking place in free school sets.	2.1.2 S1e	Closed	65	85
2-17	<u>UoCs 2 & 4: Free School Sets</u>	2.1.3	Closed	65	85

Condition number	Condition	PI	Status at Y4	PI original score	PI revised score
	Silky shark and Mobulid rays: By the fourth annual surveillance, provide evidence that information is adequate to support a partial strategy to manage main retained species.	SIc			
2-18	<u>UoCs 2 & 4: Free School Sets</u> Silky shark and Mobulid rays: By the fourth annual surveillance, provide evidence that sufficient data continue to be collected for free school sets to detect any increase in risk level (e.g. due to changes in the outcome indicator score or the operation of the fishery or the effectiveness of the strategy).	2.1.3 SIc	Closed	65	85
2-19	<u>UoCs 2 & 4: Free School Sets</u> Bonito: By the fourth surveillance, provide evidence that sufficient data continue to be collected for free school sets to detect any increase in risk level (e.g. due to changes in the outcome indicator score or the operation of the fishery or the effectiveness of the strategy).	2.1.3 SIc	Closed Year 3	65	85
Principle 3					
3-1	<u>All UoCs</u> By the third annual surveillance, demonstrate that short term objectives are in place at the national level, consistent with achieving the outcomes expressed by MSC's Principles 1 and 2 and explicit within the fishery's management system.	3.2.1 SIa	Closed (Year 1 audit)	75	80
3-2	<u>All UoCs</u> By the third annual surveillance, demonstrate that at the national level decision processes respond to serious and other important issues identified in relevant research, monitoring, evaluation and consultation, in a transparent, timely and adaptive manner.	3.2.2 SIb	Closed (Year 2 audit)	75	80
3-3	<u>All UoCs</u> By the third annual surveillance, demonstrate at the national level that explanations are provided for any actions or lack of action associated with findings and relevant recommendations emerging from research, monitoring, evaluation and review activity.	3.2.2 SIc	Closed	75	80
3-4 & 3-5	<u>All UoCs</u> By the fourth annual surveillance, demonstrate that the MCS system implemented in the fishery under assessment has a demonstrated ability to enforce relevant management measures, strategies and/or rules, and that sanctions to deal with non-compliance are consistently applied at the national levels. <i>Surveillance Y1 Note: Condition 3-4 and condition 3-5 are now joined as a single condition. Explanation provided in the original table for Condition 3-5</i>	3.2.3 SIa & SIb	Closed	65	80

Condition number	Condition	PI	Status at Y4	PI original score	PI revised score
3-6	<u>All UoCs</u> By the third annual surveillance demonstrate that external review at the regional and national level is undertaken (as proposed under Resolution C-14-09).	3.2.5 SIb	Closed Year 3	70	80
3-7	<u>All UoCs</u> By the 3rd surveillance audit (SA), assure that there is no evidence of systematic non-compliance such that the MSC mechanisms ensure the fishery's management measures are coherent, enforced and complied with.	3.2.3 SIc	Closed	65	80

4.1.3 Recommendations

No recommendations have been set against the PAST purse seine tuna fishery.

4.2 Principle 1 Conditions

The two conditions in Principle 1 were set against the skipjack tuna UoAs (UoAs 3 and 4). These UoAs are currently suspended. As such, there is no requirement to report progress at the Year 3 audit; for both conditions this is reflected in the section 'Progress on Condition (Year 3)', below.

Condition 1-1 (PI 1.1.2 Sla: Skipjack tuna)

Performance Indicator	1.1.2, Sla
Score	75
Justification	For SKJ, the IATTC uses a clear management procedure that through implicit association, operates to achieve goals based on MSY reference points for associated, more vulnerable, species for which reference points may be estimated. This approach is applied alongside alternative non-MSY indicators evaluating the status of the SKJ stock in the ETPO to maintain the stock far from the point where recruitment would be impaired. Given the difficulties in assessing the SKJ stock in the ETPO, this is considered an appropriate use of indicators that are reasonable surrogates of reference points, when in reality, the stock is expected to be well above B_{MSY} by indirect action of the HCR. The way that the harvest strategy operates in implicit association with explicit reference points and assisted by indicators, is consistent with the MSC intent to maintain stocks around levels producing MSY. The indirect approach meets the requirements at SG60 for Sla. However, the inability to directly estimate MSY related quantities for SKJ, and the fact that the alternative indicators are not part of the formally adopted tools/reference points prevent this requirement from meeting the SG80.
Condition	By the fourth annual surveillance, provide evidence that the fishery for skipjack tuna has developed reference points that are appropriate for the stock and can be estimated.
Condition Start	PCR
Condition Deadline	fourth annual surveillance
Milestones	M-I SKJ 1 Reference Points: By the first annual surveillance, the Alliance will provide evidence of the communications exchanged with CONAPESCA and the IATTC Secretariat, requesting the scientific staff of the Commission that, consistent with Resolution http://www.iattc.org/PDFFiles2/Resolutions/C-16-02-Harvest-control-rules.pdf, further develops (estimates) reference points (or formalizes alternative indicators) that are appropriate, and specific to the skipjack stock, and that can be estimated, and presented before the SAC for its consideration and approval. Responsiveness: By the first annual surveillance, the Alliance will provide evidence of the communications exchanged with CONAPESCA and the IATTC Secretariat, requesting that the scientific staff of the Commission create, within the harvest strategy, a formally responsive linkage to the status of the skipjack stock, such that status relative to defined reference points or formalized alternative indicators, is used to trigger required management actions to assure stock health. M-I SKJ 2 By the second annual audit, the Alliance will provide evidence on the recommendation from the SAC regarding reference points or alternative indicators and a formally responsive (as defined in M-SKJ-1) harvest strategy for skipjack.

	M-I SKJ 3 By the second annual surveillance, the Alliance will provide evidence showing that CONAPESCA has introduced a resolution calling for the estimation of reference points for the skipjack stock and a formally responsive harvest strategy for skipjack. M-I SKJ 4 By the fourth annual surveillance, the Alliance will show that the Commission has adopted appropriate reference points for skipjack that can be estimated and that a formally responsive harvest strategy for skipjack is in place, hence closing the Condition.
Client Action Plan	Goal: The Alliance will advocate, through CONAPESCA, that the IATTC scientific staff, develop and present for the consideration of the next Scientific Advisory Committee (SAC) within the first year of certification, appropriate reference points that can be estimated for skipjack as well as a defined mechanism within the harvest strategy for skipjack that allow the stock's status, relative to defined reference points, to be used to trigger actions to assure the state of the stock. Description of the Proposed Action The Alliance is committed to improving fisheries management measures taken by the IATTC, including the establishment of estimated target and limit reference points for skipjack and the establishment of a robust and responsive harvest strategy for this stock. While progress has been made in these areas, the Alliance remains committed to ensuring that in the near future, the IATTC develops reference points that can be estimated for skipjack, and that there is a harvest strategy with the capacity to be responsive to the state of the stock. The Alliance, working through CONAPESCA, will advocate before the SAC to recommend that the Commission takes into consideration the recommendations presented by IATTC scientific staff with regards to appropriate reference points and a harvest strategy that includes defined, management outcomes that trigger responsiveness to the status of the skipjack stock specifically, and will actively promote, together with other members of the IATTC and interested members of the NGO community, the introduction of a Resolution towards this goal.
Consultation on condition	Letters of Support below from CONAPESCA and IATTC were provided to SCS Global Services as the fishery's Conformity Assessment Body (CAB) when the fishery was certified (Morgan et al. 2017).
Progress on Condition (Year 3)	This condition was assessed as 'behind target' at audit 2. UoAs 3 and 4 (skipjack tuna) are currently suspended.
Progress on Condition (Year 4)	This condition was assessed as 'behind target' at audit 2. UoAs 3 and 4 (skipjack tuna) remain suspended.
Status	Suspended.
Additional information	None.

Condition 1-2 (PI 1.2.1 Sla: Skipjack tuna)

Performance Indicator	1.2.1, Sla
Score	70
Justification	The HCR + temporal closure is the main effort control for tropical tunas and is used in conjunction with indicators that are designed specifically for Skipjack. These elements have been designed to be responsive to the state of the stock of all three tropical tunas, and while

	they <i>could</i> be responsive for SKJ, the system does not have a mechanism a) to assure that any change of status in SKJ, apparent via indicators, is necessarily linked to, or triggers, a management outcome as with the HCR and b) to assure that any change in the current operational assumptions (that the fishery for SKJ tuna is tightly coupled with BET/YET) is linked to a management outcome as with the HCR, should this interspecific coupling change. In terms of b), the team has not seen sufficient publicly available evidence for the assumption that these conditions will always be maintained, particularly under varying environmental conditions or changes in fleet behaviour. The team observed there was the unusual situation where the harvest strategy has been designed (SG100), and has an HCR that is responsive to the state of the BET and YFT, but has no defined trigger to be responsive to the state of the SKJ stock. Therefore, it was possible to say that for SKJ, the harvest strategy is expected to achieve stock management objective (SG60), but it was not possible to say with assurance, that the harvest strategy is responsive to the state of the stock (SG80). This is because it is not clear that changes in SKJ indicators are formally linked to management actions and because the key assumption – that fishing effort on BET and YFT is linked to effort on SKJ - may not always hold. The current assumption appears to be reasonable in that it reflects current conditions and appears to now keep SKJ at or above target levels. However, to use these assumptions for management purposes that assure responsiveness, would require at least systematic monitoring and analysis of publicly available, relevant metrics, that ground-truth the linkages that allow SKJ to be managed via the large tunas, and to assure that these linkages hold in reality, on an ongoing basis. Therefore, we awarded a score of 60 vs 80 based on the elements of the strategy that will need to be more formally defined to trigger management measures, to assure responsiveness to SKJ in particular. ----- <i>Readers should note that the team deliberated extensively as to whether it was most appropriate to issue conditions against the HCR (1.2.2) or harvest strategy (1.2.1) Performance Indicators based on concerns a) and b) above. While the concerns relate to the HCR, they related to responsiveness specifically, which is a consideration that is most explicitly scored under PI 1.2.1: hence the decision to issue conditions under 1.2.1 vs. 1.2.2: the outcome is the same from a scoring perspective for P1 overall.</i>
Condition	By the fourth annual surveillance, provide evidence that the harvest strategy (for skipjack tuna) is responsive to the state of the stock and the elements of the harvest strategy work together towards achieving management objectives reflected in the target and limit reference points.
Condition Start	PCR
Condition Deadline	fourth annual surveillance
Milestones	Note, these milestones are the same as for Condition 1-1. M-I SKJ 1 Reference Points: By the first annual surveillance, the Alliance will provide evidence of the communications exchanged with CONAPESCA and the IATTC Secretariat, requesting the scientific staff of the Commission that, consistent with Resolution http://www.iattc.org/PDFFiles2/Resolutions/C-16-02-Harvest-control-rules.pdf, further develops (estimates) reference points (or formalizes alternative indicators) that are appropriate, and specific to the skipjack stock, and that can be estimated, and presented before the SAC for its consideration and approval. Responsiveness: By the first annual surveillance, the Alliance will provide evidence of the communications exchanged with CONAPESCA and the IATTC Secretariat, requesting that the scientific staff of the Commission create, within the harvest strategy, a formally responsive linkage to the status of the skipjack stock, such that status relative to defined reference points

	or formalized alternative indicators, is used to trigger required management actions to assure stock health. M-I SKJ 2 By the second annual audit, the Alliance will provide evidence on the recommendation from the SAC regarding reference points or alternative indicators and a formally responsive (as defined in M-SKJ-1) harvest strategy for skipjack. M-I SKJ 3 By the second annual surveillance, the Alliance will provide evidence showing that CONAPESCA has introduced a resolution calling for the estimation of reference points for the skipjack stock and a formally responsive harvest strategy for skipjack. M-I SKJ 4 By the fourth annual surveillance, the Alliance will show that the Commission has adopted appropriate reference points for skipjack that can be estimated and that a formally responsive harvest strategy for skipjack is in place, hence closing the Condition.
Client Action Plan	Note, this CAP is the same as for Condition 1-1. Goal: The Alliance will advocate, through CONAPESCA, that the IATTC scientific staff, develop and present for the consideration of the next Scientific Advisory Committee (SAC) within the first year of certification, appropriate reference points that can be estimated for skipjack as well as a defined mechanism within the harvest strategy for skipjack that allow the stock's status, relative to defined reference points, to be used to trigger actions to assure the state of the stock. Description of the Proposed Action The Alliance is committed to improving fisheries management measures taken by the IATTC, including the establishment of estimated target and limit reference points for skipjack and the establishment of a robust and responsive harvest strategy for this stock. While progress has been made in these areas, the Alliance remains committed to ensuring that in the near future, the IATTC develops reference points that can be estimated for skipjack, and that there is a harvest strategy with the capacity to be responsive to the state of the stock. The Alliance, working through CONAPESCA, will advocate before the SAC to recommend that the Commission takes into consideration the recommendations presented by IATTC scientific staff with regards to appropriate reference points and a harvest strategy that includes defined, management outcomes that trigger responsiveness to the status of the skipjack stock specifically, and will actively promote, together with other members of the IATTC and interested members of the NGO community, the introduction of a Resolution towards this goal.
Consultation on condition	Letters of Support below from CONAPESCA and IATTC were provided to SCS Global Services as the fishery's Conformity Assessment Body (CAB) when the fishery was certified (Morgan et al. 2017).
Progress on Condition (Year 3)	This condition was assessed as 'behind target' at audit 2. UoAs 3 and 4 (skipjack tuna) are currently suspended.
Progress on Condition (Year 4)	This condition was assessed as 'behind target' at audit 2. UoAs 3 and 4 (skipjack tuna) remain suspended.
Status	Suspended.
Additional information	None.

4.3 Principle 2 Conditions

The following tables present information on Principle 2 conditions that were set on the fishery. This includes the condition number and general focus (e.g., Condition 2-1, below, which was set on PI 2.1.1 Slc, and is focused on dolphin set UoCs).

For each condition, the tables also provide the justification, the condition itself, and then the annual milestones that were set; the milestones that are relevant to the Year 4 audit are highlighted in green. The Client Action Plan (CAP) is also presented, together with an update from the last audit report in the section 'Progress on Condition Year 3'.

New information from the client for this Year 4 surveillance audit was made available to the audit team and for each milestone, and relevant points are summarised and presented in the section 'Progress on Condition Year 4'. The Audit Team has indicated the current situation with respect to each condition being 'ahead of target', 'on target', 'behind target' or 'closed' in the 'Status' section.

Where MSC Derogation 6 was applied (i.e., conditions on all management and information PIs), details are provided in the 'Additional information' section of each Condition to show how the derogation impacted the milestones and deadlines going forward.

Condition 2-1 (PI 2.1.1 Slc – Dolphin sets)

Performance Indicator	2.1.1, Slc
Score	60
Justification	<u>Silky Shark</u> There is a range of measures in place that are directed at the conservation of sharks and constitute at least a partial strategy. As detailed in Section 3.4 these include IATTC Resolution C-05-03 which concerns the conservation of sharks (including silky sharks) and IATTC Resolution C-04-05 which mandates the live release of sharks when possible. These measures are expected to ensure that purse sets on dolphins do not hinder recovery and rebuilding of silky sharks. The low level of catch of silky sharks by dolphin sets also indicates that this fishing method is not hindering this recovery. This meets the requirements of the SG 60 level. The effectiveness of these measures, however, has not been demonstrated, so the requirements of the SG 80 level are not met. <u>Oceanic whitetip shark</u> Measures in place are intended to ensure that oceanic whitetip sharks, which are caught principally (See P2.1.1a) in dolphin sets, do not hinder recovery and rebuilding of oceanic whitetip shark populations. This meets the requirements of the SG 60 level. The effectiveness of these measures, however, has not been demonstrated: a) the team was not provided data to demonstrate that whitetip sharks are not retained, and b) conflicting national requirements between NOM 001 and NOM 029 represent problematic management requirements that impact the ability to enforce effectively. Therefore, the requirements of the SG 80 level are not met.
Condition	<u>Silky sharks and oceanic whitetips:</u> By the fourth annual surveillance, provide evidence that there is a partial strategy of demonstrably effective management measures in place such that the dolphin sets do not hinder recovery and rebuilding.
Condition Start	PCR

Condition Deadline	fourth annual surveillance
Milestones	<u>Milestones for Zero Retention of Sharks (S&R)</u> M-I S&R A.1 By the first annual audit, the Alliance will provide the auditors written evidence that the Zero Retention Policy has been fully developed and has been or is in the process of being implemented by all of the Alliance vessels. M-I S&R A.4 By the first annual audit, the Alliance will provide any available data resulting from the records being kept of interactions with oceanic whitetips and silky sharks, specifically indicating the numbers and condition of their release (live, unknown, injured, dead,). M-I S&R A.5 By the second annual audit, the Alliance will provide evidence showing records of any random port inspections conducted by CONAPESCA on Alliance vessels, highlighting any findings in relation to retentions of sharks (oceanic whitetips and silky sharks) found on any of the Alliance vessels. Data from these random port inspections will be uploaded onto the Alliance web page on a quarterly basis. M-I S&R A.6 By the second and third annual audits, the Alliance will provide evidence (i.e. records on the numbers and nature of interactions with oceanic whitetips and silky sharks and the conditions at the time of their release) showing that the Zero Retention Policy for sharks is being implemented successfully and that the strategy is consistent with measures adopted by both the IATTC and the Mexican Government for these species. M-I S&R A.7 By the second annual audit, the Alliance will provide evidence that information being collected is adequate to support a partial strategy to manage the main retained (or no longer retained) sharks species. M-I S&R A.9 By the fourth annual audit, the Alliance will provide evidence showing that there is a partial strategy of demonstrably effective measures in place such that dolphin and free school sets do not hinder recovery and rebuilding of oceanic whitetips and silky sharks. M-I S&R A.6 By the second and third annual audits, the Alliance will provide evidence (i.e. records on the numbers and nature of interactions with oceanic whitetips and silky sharks and the conditions at the time of their release) without being noticed by the crew during brailing and/or sorting, as well as documentation showing the donation of these species to a designated food bank. <u>Milestones for Safe-Handling/Live Return of Sharks</u> M-I S&R B.1 By the first annual audit, the Alliance will provide evidence of the written policy for the Safe-Handling/Live Return of sharks and rays to be implemented by all Alliance vessels that is consistent with both domestic regulations and IATTC resolutions. This will include a copy of the necessary formats required by the IATTC observer program for record keeping of interactions that will include a section for the apparent status of the species at the time of their release (live, unknown, injured, dead). The written policy will establish compliance mechanisms and sanctions to be applied for non-compliance. The Alliance will inform the auditors during this first surveillance visit of the status of the policy's implementation. M-I S&R B.4 For the second, third and fourth annual audits, the Alliance will provide any available data resulting from the records being kept, showing the interactions with all sharks, specifically with oceanic whitetips and silky sharks, indicating the numbers and condition at the time of their release (live, unknown, injured, dead). M-I S&R B.8 By the fourth annual audit, the Alliance will provide evidence that the partial strategy is being implemented successfully. M-I S&R B.9 By the fourth annual audit, the Alliance will provide evidence showing that there is a partial strategy of demonstrably effective measures in place such that dolphin and free school sets do not hinder recovery and rebuilding of oceanic whitetips and silky sharks. M-I S&R B.10 By the fourth annual audit, the Alliance will provide evidence that sufficient data continues to be collected for both dolphin and free school sets to detect any increase in risk level (e.g. due to changes in the outcome indicator score or the operation of the fishery or the

	effectiveness of the strategy) as it relates to the Safe-Handling/ Live Return policy oceanic whitetips and silky sharks. <u>Milestones to Promote Regulatory Consistency for Zero Retention of Sharks through Advocacy</u> M-II S&R 1 By the first annual audit, the Alliance will provide the auditor with evidence of any formal communication between the Alliance and CONAPESCA requesting modifications to seek consistency between NOM 029 and NOM 001. M-II S&R 2 By the first annual audit, the Alliance will provide the auditor evidence showing the adoption of IATTC Resolutions C-16-04, C-16-05 and C-16-06, which, once CONAPESCA incorporates them into the domestic regulatory framework, will prohibit Mexican tuna purse seine vessels from retaining any sharks incidentally caught during regular tuna fishing operations. <u>Milestones for the Scientific and Technical Group on Sharks and Rays.</u> M-III S&R 1 By the first annual audit, the Alliance will provide evidence to the auditors showing that written Terms of Reference have been developed and implemented for the operation and responsibilities of STG on Sharks and Rays. [see milestone in narrative action plan above for description of technical plan areas of interest] M-III S&R 2 By the first annual audit, the Alliance will provide evidence that the terms of reference for the STG has been posted in the Alliance website and that invitations have been extended to potential interested scientists and NGOs for their participation. M-III. S&R 3 By the second annual audit, the Alliance will provide evidence showing the integration of the STG, including a list of the individuals and/or organizations participating in the STG. M-III. S&R 4 By the second annual audit, the Alliance will provide evidence to the auditor demonstrating any suggestions made by the STG regarding the production of material to be utilized for training of skippers and crewmen as well as any tentative schedules for possible workshops. M-III. S&R 6 By the second annual audit, the Alliance will provide evidence showing any suggestions made by the STG for technical improvements that could lead to a reduction of interactions with shark and rays during dolphin and free school sets by the vessels of the Alliance, accompanied by considerations regarding costs and ease of implementation. M-III. S&R 7 By the third annual audit, the Alliance will provide the auditors with any external evaluation generated by the STG regarding the effectiveness of the policies implemented by the Alliance (assuming one has been requested) regarding Zero Retention, Zero Finning and Safe-Handling/Live Return of sharks and rays, including any recommendations for improvements. M-III. S&R 8 By the fourth annual audit, the Alliance will provide evidence, if any, of any improvements implemented by the Alliance vessels to improve the effectiveness of the policies adopted by the Alliance with regards to sharks and rays.
Client Action Plan	Refer to the following sections of Client Action Plan in the PCR: Section I. Comprehensive Strategy for Sharks and Rays. The Alliance will design and implement a comprehensive strategy that includes A. Proposed Action Plan on Implementation of Zero Retention of Sharks and Rays. Goal: To ensure that no sharks incidentally caught during regular tuna fishing operations (Dolphin sets and/or Free School sets), are voluntarily retained by any of the Alliance vessels. B. Proposed Action Plan on Implementation of the Alliance Safe-Handling/Live Return for Sharks and Rays. Goal: To implement on all Alliance vessels a Safe-Handling/Live Return policy to maximize the number of sharks released alive at sea, to the extent practical and without compromising the safety of any persons on board; and to keep records of all these interactions.

	Section II. Alignment of the National and International Regulatory Structure to support the Alliance Zero Retention of shark and rays policy. Goal: To advocate before CONAPESCA modifications to the current domestic regulatory framework to ensure consistency regarding retention of sharks incidentally caught during tuna purse seine fishing operations. Section III. Establishment of a Scientific and Technical Working Group (STG) on Sharks and Rays. Goal: To promote the creation of a STG that will provide support and advice to the Alliance in the formulation and implementation of its Zero Retention and Safe-Handling/Live Return policies.
Consultation on condition	Letters of Support below from CONAPESCA and IATTC were provided to SCS Global Services as the fishery's Conformity Assessment Body (CAB) when the fishery was certified (Morgan et al. 2017).
Progress on Condition (Year 3)	PI 2.1.1 is an outcome PI, and therefore Condition 2-1 is <u>not</u> eligible for an extension under Derogation 6. Therefore, the Year 3 milestones are effective this year. <u>Milestones for Zero Retention of Sharks (S&R)</u> M-I S&R A.6 With respects to sharks that may be retained inadvertently, the data show that this year there was just a single case (Table 7). The Audit Team is satisfied that this was in no way deliberate, and was presented with a letter from the IATTC to the client, confirming that the IATTC is also satisfied there was no intentional retention of sharks by PAST vessels (IATTC 2021a). This milestone is met. <u>Milestones for Safe-Handling/Live Return of Sharks</u> M-I S&R B.4 Observer data presented in Table 7 show that there continue to be very few oceanic whitetip sharks taken in total in the PAST fleet (3 in 2020, compared with 8 in 2019 and 1 in 2018), all of which were released alive. A smaller number of silky sharks were taken in 2020 (1,815) compared to the previous two years (3,116 in 2018 and 3,540 in 2019), but the Audit Team also noted the data showing that the percentage of the silky sharks recorded as 'released alive' has increased from 50.9% in 2018, to 64.0% in 2019, and then to 76.7% for the latest year. When queried during the audit, it was commented that the improvement in live releases had not been studied in detail but was thought to be linked to the effort undertaken to ensure PAST skippers and crew are trained in best practice handling techniques for these species. The Audit Team have no reason to doubt this assertion, and clearly welcomes the efforts made in this regard – this milestone is met. <u>Milestones for the Scientific and Technical Group on Sharks and Rays.</u> M-III. S&R 7 The Science and Technical Group on Sharks and Rays (STG) was initiated by the PAST as a stakeholder forum to provide support and advice in the formulation and implementation of its policies of zero retention and safe handling / live return of sharks and rays that interact with the fishery; several meetings have been held since March 2020. This year, the STG was offered the opportunity to comment on the policies implemented by the PAST (PAST 2021), and a response was received from Comunidad y Biodiversidad, AC (COBI 2021). The audit team confirmed that PAST confirmed acceptance of the COBI comments and that they would be discussed in due course. This milestone is met.
Progress on Condition (Year 4)	PI 2.1.1 is an outcome PI, and therefore Condition 2-1 was <u>not</u> eligible for an extension under Derogation 6 at the year 3 audit. The year 4 milestones are therefore effective this year.

Milestones for Zero Retention of Sharks (S&R) and for the Safe-Handling/Live Return of Sharks
M-I S&R A.9, M-I S&R B.4, M-I S&R B.8, M-I S&R B.9, M-I S&R B.10

Noting that 100% observer coverage has been maintained on PAST vessels, including throughout the Covid-19 pandemic, the number of oceanic whitetip sharks recorded captured in the fishery has remained very small, with an average annual catch of only five animals (summary data below). The number of silky sharks caught has also remained relatively low over time. Comparing annual catch data for 2018-2021 with the number of sets undertaken, there was a peak of 2,267 silky sharks caught in 2019, which represents less than one animal per three sets, with a low of 737 silky sharks caught in 2021, which represents just over one animal every ten sets in that year. The mean number of silky sharks caught annually over the last four years has been 1,496, which represents just over one shark every five sets (table below).

Common name		Released (Alive)				Mean
		2018	2019	2020	2021	
Oceanic whitetip shark	Number caught	1	8	3	7	5
	% Released alive	100%	100%	100%	100%	100%
Silky shark	Number caught	1,587	2,267	1,392	737	1,496
	% Released alive	50.9%	64.0%	76.7%	66.6%	64.6%

A key part of the partial strategy in place for the sharks (and rays) within the PAST fishery is the annual training that has been undertaken by PAST since 2019 to ensure vessel crew are reminded of the need to release sharks (and rays) safely and quickly where possible and are able to implement the appropriate techniques and measures to ensure that occurs. In 2022, 1,148 skippers and crew working within the PAST fleet received the annual training, adding to the training that was provided in previous years. More details are provided in the reporting for Condition 2-3.

Key evidence for meeting this condition is then contained within the data on the status upon release of the oceanic whitetip sharks and silky sharks captured in the PAST fishery. In this regard, all oceanic whitetip sharks were recorded by observers as 'released alive', while the percentage of the silky sharks that were recorded as 'released alive' has risen from 50.9% in 2018 to average 69.1% in the last three years. This improvement is consistent with the expectations of implementing the PAST fishery requirements.

Finally, it is noted that the requirement for 100% observer coverage is mandated by the IATTC, and the Audit Team has no doubt that this will be continued into the future. The detail on catches including fate of bycaught sharks that is provided by observers is also expected to be retained or even improved in future. As such, there is no doubt that sufficient data will continue to be collected to detect any increase in risk level going forward.

Milestones for the Scientific and Technical Group on Sharks and Rays.

M-III. S&R 8

The STG was approached by PAST in 2022, requesting input on the measures for sharks that have been introduced. Several comments were received, with all reflecting support or strong support for the approach being taken. No new proposals for change were received.

In summary, it is noted that the PAST fleet's catch of oceanic whitetip sharks is negligible, and the successful live release of these animals effectively negates any possible risk posed to the population by the PAST fishery. It is considered that *"there is a partial strategy of demonstrably effective management measures in place such that the dolphin sets do not*

	<i>hinder recovery and rebuilding” of oceanic whitetip sharks, and that SG80 is therefore met for this species.</i> For silky shark, the PAST fishery has always posed a low risk to the population, with estimated catch data presented by IATTC 2014 indicating that only approximately 5% of the EPO silky shark catch is taken by all EPO tuna purse seiners, and with the latest data indicating that class 6 purse seiners (i.e., the largest vessels, including those in the PAST fleet) were responsible for just 2.6% of the silky shark catch in 2020, of which 0.3% was attributable to dolphin sets and free school sets combined (IATTC 2022a). It is noted that the PAST fishery accounts for only a proportion of the total number of dolphin and free school sets undertaken in the EPO. Lennert-Cody et al. (2022) then presented the updated bycatch-per-set index value for large silky sharks in the EPO (a stock status indicator that is least correlated with interannual variability in oceanic conditions). The 2021 index values were similar to or slightly above the 2020 values, with there being no particular trend since the late 1990s or early 2000s in the North EPO and South EPO indices including live releases, respectively; these are considered to be the appropriate indices to use as a basis for silky shark management advice. Given the very low relative catch of silky sharks in the PAST fishery, the improvement observed in the proportion of the silky sharks that are released alive, and the ongoing efforts by the PAST fleet to maintain awareness of and train vessel crews in shark release procedures, it is considered that <i>“there is a partial strategy of demonstrably effective management measures in place such that the dolphin sets do not hinder recovery and rebuilding” of silky sharks, and that SG80 is therefore met for this species, also.</i> This Condition is closed.
Status	This condition is closed , and rescoring is provided in Section 4.6.
Additional information	None

Condition 2-2 (PI 2.1.2 Slc – Dolphin sets)

Performance Indicator	2.1.2, Slc
Score	70
Justification	<u>Silky sharks and oceanic whitetips:</u> The assessment team was not aware of any data or analyses that provide evidence that the measures adopted by the IATTC or Mexican Government are being implemented successfully. The requirements of the SG 80 level are therefore not met.
Condition	<u>Silky sharks and oceanic whitetips:</u> By the fourth first year reassessment annual surveillance, provide evidence that the partial strategy is being implemented successfully.
Condition Start	PCR
Condition Deadline	fourth first year reassessment annual surveillance
Milestones	<u>Milestones for Zero Retention of Sharks and Rays (S&R)</u> M-I S&R A.1 By the first annual audit, the Alliance will provide the auditors written evidence that the Zero Retention Policy has been fully developed and has been or is in the process of being implemented by all of the Alliance vessels.

	M-I S&R A.4 By the first annual audit, the Alliance will provide any available data resulting from the records being kept of interactions with oceanic whitetips and silky sharks, specifically indicating the numbers and condition of their release (live, unknown, injured, dead). M-I S&R A.6 By the second and third annual audits, the Alliance will provide evidence (i.e. records on the numbers and nature of interactions with oceanic whitetips and silky sharks the conditions at the time of their release), showing that the Zero Retention Policy for sharks is being implemented successfully and that the strategy is consistent with measures adopted by both the IATTC and the Mexican Government for these species. M-I S&R A.8 By the fourth annual audit, the Alliance will provide evidence that the partial strategy is being implemented successfully. M-I S&R A.9 By the fourth annual audit, the Alliance will provide evidence showing that there is a partial strategy of demonstrably effective measures in place such that dolphin and free school sets do not hinder recovery and rebuilding of oceanic whitetips and silky sharks. M-I S&R A.11 For each of the annual audits, Year One through Year Four, the Alliance will provide evidence showing records of any small sharks detected at the time of fish unloading and that could involuntarily have ended up in the vessel fish wells without being noticed by the crew during brailing and/or sorting, as well as documentation showing the donation of these species to a designated food bank. <u>Milestones for Safe-Handling/Live Return of Sharks and Rays</u> M-I S&R B.1 By the first annual audit, the Alliance will provide evidence of the written policy for the Safe-Handling/Live Return of sharks and rays to be implemented by all Alliance vessels that is consistent with both domestic regulations and IATTC resolutions. This will include a copy of the necessary formats required by the IATTC observer program for record keeping of interactions that will include a section for the apparent status of the species at the time of their release (live, unknown, injured, dead). The written policy will establish compliance mechanisms and sanctions to be applied for non-compliance. The Alliance will inform the auditors during this first surveillance visit of the status of the policy's implementation. M-I S&R B.9 By the fourth annual audit, the Alliance will provide evidence showing that there is a partial strategy of demonstrably effective measures in place such that dolphin and free school sets do not hinder recovery and rebuilding of oceanic whitetips and silky sharks. M-I S&R B.10 By the fourth annual audit, the Alliance will provide evidence that sufficient data continues to be collected for both dolphin and free school sets to detect any increase in risk level (e.g. due to changes in the outcome indicator score or the operation of the fishery or the effectiveness of the strategy) as it relates to the Safe-Handling/ Live Return policy for oceanic whitetips and silky sharks.
Client Action Plan	Refer to the following section(s) of Client Action Plan in the PCR: Section I. Comprehensive Strategy for Sharks and Rays. The Alliance will design and implement a comprehensive strategy that includes A. Proposed Action Plan on Implementation of Zero Retention of Sharks and Rays. Goal: To ensure that no sharks incidentally caught during regular tuna fishing operations (Dolphin sets and/or Free School sets), are voluntarily retained by any of the Alliance vessels B. Proposed Action Plan on Implementation of the Alliance Safe-Handling/Live Return for Sharks and Rays. Goal: To implement on all Alliance vessels a Safe-Handling/Live Return policy to maximize the number of sharks released alive at sea, to the extent practical and without compromising the safety of any persons on board; and to keep records of all these interactions.
Consultation on condition	Letters of Support below from CONAPESCA and IATTC were provided to SCS Global Services as the fishery's Conformity Assessment Body (CAB) when the fishery was certified (Morgan et al. 2017).

Progress on Condition (Year 3)	PI 2.1.2 is a management PI, and therefore Condition 2-2 <u>is</u> eligible for an extension under Derogation 6. Therefore, the Year 3 milestones are not effective this year. Nevertheless, progress is noted against the Year 3 milestones, and the status as indicated in the following section reflects the status after considering any progress. <u>Milestones for Zero Retention of Sharks and Rays (S&R)</u> M-I S&R A.6, M-I S&R A.11 Observer data presented in Table 7 show that there continue to be very few oceanic whitetip sharks taken in total in the PAST fleet (3 in 2020, compared with 8 in 2021 and 1 in 2018), all of which were released alive. A smaller number of silky sharks were taken in 2020 (1,815) compared to the previous two years (3,116 in 2018 and 3,540 in 2019), but the Audit Team also noted the data showing that the percentage of the silky sharks recorded as ‘released alive’ has increased from 50.9% in 2018, to 64.0% in 2019, and then to 76.7% for the latest year. When queried during the audit, it was commented that the improvement in live releases had not been studied in detail but was thought to be linked to the effort undertaken to ensure PAST skippers and crew are trained in best practice handling techniques for these species. The Audit Team have no reason to doubt this assertion, and clearly welcomes the efforts made in this regard. With respects to sharks that may be retained inadvertently, the data show that this year there was just a single case (Table 7). The Audit Team is satisfied that this was in no way deliberate and was presented with a letter from the IATTC to the client, confirming that the IATTC is also satisfied there was no intentional retention of sharks by PAST vessels (IATTC 2021a). These milestones are met.																																					
Progress on Condition (Year 4)	PI 2.1.2 is a management PI, and therefore Condition 2-2 <u>was</u> eligible for an extension under Derogation 6. Progress against the Year 3 milestones was nevertheless evaluated last year, and progress against the Year 4 milestones is evaluated this year. <u>Milestones for Zero Retention of Sharks and Rays (S&R)</u> M-I S&R A.8, M-I S&R A.9, M-I S&R A.11 As reported for Condition 2-1, 100% observer coverage has been maintained on PAST vessels, including throughout the Covid-19 pandemic. The number of oceanic whitetip sharks recorded captured in the fishery has remained very small, with an average annual catch of only five animals (summary data below). The number of silky sharks caught has also remained relatively low over time, at an average of 1,496 per year, which equates to just over one shark every five sets (table below). It was confirmed in a letter from Fidemar (dated 1st September 2022) that no sharks were detected during unloading of any PAST vessel during 2021. <table><tr><th colspan="2" rowspan="2">Common name</th><th colspan="4">Released (Alive)</th><th rowspan="2">Mean</th></tr><tr><th>2018</th><th>2019</th><th>2020</th><th>2021</th></tr><tr><td rowspan="2">Oceanic whitetip shark</td><td>Number caught</td><td>1</td><td>8</td><td>3</td><td>7</td><td>5</td></tr><tr><td>% Released alive</td><td>100%</td><td>100%</td><td>100%</td><td>100%</td><td>100%</td></tr><tr><td rowspan="2">Silky shark</td><td>Number caught</td><td>1,587</td><td>2,267</td><td>1,392</td><td>737</td><td>1,496</td></tr><tr><td>% Released alive</td><td>50.9%</td><td>64.0%</td><td>76.7%</td><td>66.6%</td><td>64.6%</td></tr></table> A key part of the partial strategy in place for the sharks (and rays) within the PAST fishery is the annual training that has been undertaken by PAST since 2019 to ensure vessel crew are reminded of the need to release sharks (and rays) safely and quickly where possible, and are able to implement the appropriate techniques and measures to ensure that occurs. In 2022, 1,148 skippers and crew working within the PAST fleet received the annual training, adding to	Common name		Released (Alive)				Mean	2018	2019	2020	2021	Oceanic whitetip shark	Number caught	1	8	3	7	5	% Released alive	100%	100%	100%	100%	100%	Silky shark	Number caught	1,587	2,267	1,392	737	1,496	% Released alive	50.9%	64.0%	76.7%	66.6%	64.6%
Common name				Released (Alive)					Mean																													
		2018	2019	2020	2021																																	
Oceanic whitetip shark	Number caught	1	8	3	7	5																																
	% Released alive	100%	100%	100%	100%	100%																																
Silky shark	Number caught	1,587	2,267	1,392	737	1,496																																
	% Released alive	50.9%	64.0%	76.7%	66.6%	64.6%																																

	the training that was provided in previous years. More details are provided in the reporting for Condition 2-3. Key evidence for meeting this condition is then contained within the data on the status upon release of the oceanic whitetip sharks and silky sharks captured in the PAST fishery. In this regard, all oceanic whitetip sharks were recorded by observers as 'released alive', while the percentage of the silky sharks that were recorded as 'released alive' has risen from 50.9% in 2018 to average 69.1% in the last three years. This improvement is consistent with the expectations of implementing the PAST fishery requirements. <u>Milestones for Safe-Handling/Live Return of Sharks and Rays</u> M-I S&R B.9, M-I S&R B.10 The evidence of the partial strategy being in place for sharks within the PAST fishery is the annual training that has been undertaken by PAST since 2019, as detailed above. More details are provided in the reporting for Condition 2-3. Key evidence for meeting this condition is then contained within the data on the status upon release of the oceanic whitetip sharks and silky sharks captured in the PAST fishery, also as detailed above. Also, it is noted that the requirement for 100% observer coverage is a IATTC mandate that the Audit Team has no doubt will be continued into the future, with the detail on catches including fate of bycatch sharks expected to be retained or even improved in future. As such, there is no doubt that sufficient data will continue to be collected to detect any increase in risk level going forward. ----- In summary, the very small catch of oceanic whitetip sharks and very low relative catch of silky sharks in the PAST fishery, together with the evidence provided by the 100% observer coverage on the proportions of these species that are released alive, provide "<i>...some evidence that the partial strategy is being implemented successfully.</i>" For oceanic whitetip sharks and silky sharks, SG80 is therefore met. This Condition is closed.
Status	This condition is closed , and rescore is provided in Section 4.6.
Additional information	None

Condition 2-3 (PI 2.1.2 Sle – Dolphin sets)

Performance Indicator	2.1.2, Sle
Score	70
Justification	<u>Silky sharks and oceanic whitetips:</u> As outlined in the background section on silky sharks, there is evidence from both the reports to the Review Committee (COR) and the results from the observer survey that shark finning is not taking place in any systematic way. The number of instances in the UoA are small. CONAPESCA provided evidence of a case of shark finning infractions by a vessel. The vessel, not from the UoA, was found guilty, however the case is subject to appeal and ongoing (CONAPESCA 2015b). On this basis, and following the revised guidance with regard to shark finning, we have concluded that it is likely that shark finning is not taking place. There are no recent data from the Compliance Committee, however, on the level of compliance with C-05-03 and no information through the IRP on sanctions for any non-

	compliance. We therefore do not consider it to be highly likely that shark finning is not taking place. We note the information from observers that shark finning was previously more common in catches from object sets but given that silky sharks are caught in all set types, and in the absence of any data specific to dolphin sets, have applied the same rationale and score to both set types. This meets the requirements of the SG 60 level but not of the SG 80 level.
Condition	<u>Silky sharks and oceanic whitetips:</u> By the fourth first year reassessment annual surveillance, provide evidence that it is highly likely that shark finning is not taking place in dolphin sets
Condition Start	PCR
Condition Deadline	fourth first year reassessment annual surveillance
Milestones	<u>Milestones for Zero Finning</u> M-I S&R C.1 By the first annual audit, the Alliance will provide the auditors with a copy of the written Zero Finning policy developed to be followed by the Alliance vessels, and will inform them as to the status of its implementation. M-I S&R C.2 By the first annual audit, the Alliance will provide the auditors with copy of the materials used and distributed to train crewmen and skippers regarding the Alliance Zero Finning policy (including the materials posted in the galley) and will provide an update of the numbers of individuals that have received this training. M-I S&R C.3 For the second, third and fourth annual audits, the Alliance will provide evidence to the auditors on the numbers of skippers and crewmen that have received training on the Alliance Zero Finning Policy. M-I S&R C.4 For the first, second, third and fourth first annual audits, the Alliance will provide written documentation showing the number of random port inspections requested by the Alliance (or otherwise initiated) and conducted by CONAPESCA personnel, with the aim of enforcing zero finning domestic and international regulations, including the findings issued by the corresponding authority with respect to finning. The Alliance will also provide evidence that such events have been posted on the Alliance web page each quarter. M-I S&R C.5 For the first, second, third and fourth annual audits, the Alliance will provide evidence describing and quantifying any violations to its Zero Finning Policy and the corresponding corrective actions it has taken with skippers and crewmen. M-I S&R C.6 By the fourth annual audit, the Alliance will provide evidence that it is highly likely that shark finning is not taking place for both dolphin and free school sets, involving any sharks, but in particular oceanic whitetips and silky sharks.
Client Action Plan	Refer to the following section(s) of Client Action Plan in the PCR: C. Proposed Action Plan on Implementation of the Alliance Zero Finning Policy. Goal: To ensure that no finning takes place on any of the Alliance vessels and to ensure full compliance with all domestic regulations and those emerging from the IATTC Resolutions regarding finning.
Consultation on condition	Letters of Support below from CONAPESCA and IATTC were provided to SCS Global Services as the fishery's Conformity Assessment Body (CAB) when the fishery was certified (Morgan et al. 2017).
Progress on Condition (Year 3)	PI 2.1.2 is a management PI, and therefore Condition 2-3 is eligible for an extension under Derogation 6. Therefore, the Year 3 milestones are not effective this year. Nevertheless, progress is noted against the Year 3 milestones, and the status as indicated in the following section reflects the status after considering any progress.

	<u>Milestones for Zero Finning</u> M-I S&R C.3, M-I S&R C.4, M-I S&R C.5 Last year, the Audit team was provided with a copy of the PAST guide to good practices to reduce the mortality of sharks and rays captured incidentally by purse seine vessels (PAST 2019a) and the PAST workshop training manual on the commitment to zero retention, zero finning and 100% release of sharks and rays (PAST 2019b). These training materials are delivered at workshops with skippers, fishing captains and other crew of the PAST fleet, and highlight the benefits to sharks, rays and other bycatch species of appropriate, safe handling techniques. The materials also point to the Mexican and IATTC laws and regulations around finning and shark management, specifying clearly that the PAST operates a zero retention and 100% release policy for sharks and ray species, and that there is a zero finning policy in place (including because of the impact this practice would have on MSC certification for the fishery). Training has been ongoing in the last year, and evidence was provided during this latest audit that a total of 979 skippers and crewmen from across the vessels of the client group have now received the training – this is an increase of 811 since last year. As last year, for 2021 the PAST officially requested that CONAPESCA undertake random inspections of its vessels at landing (PAST 2021a), and these were followed by requests from each member company (Procesa Chiapas 2021, Pesca Azteca 2021, Grupomar 2021). There have been no violations of the non-retention of sharks and zero finning policies in the last year (IATTC 2021a). These milestones are met.
Progress on Condition (Year 4)	PI 2.1.2 is a management PI, and therefore Condition 2-3 was eligible for an extension under Derogation 6. Progress against the Year 3 milestones was nevertheless evaluated last year, and progress against the Year 4 milestones is evaluated this year. <u>Milestones for Zero Finning</u> M-I S&R C.3, M-I S&R C.4, M-I S&R C.5, M-I S&R C.6 Two years ago, the Audit Team was provided with a copy of the PAST guide to good practices to reduce the mortality of sharks (and rays) captured incidentally by purse seine vessels (PAST 2019a) and the PAST workshop training manual on the commitment to zero retention, zero finning and 100% release of sharks (and rays) (PAST 2019b). In 2020, 168 skippers and crew received the training, with 979 receiving the training in 2021. In 2022, 1,148 PAST skippers and crew received the training, which is delivered at workshops, as evidenced to the Audit Team through images and sign-in sheets from the workshops. For 2022, the PAST again officially requested that CONAPESCA undertake random inspections of its vessels at landing (PAST 2022a, PAST 2022b), and these were followed by requests from member companies (Procesa Chiapas 2022, Pesca Azteca 2022). It was confirmed that 18 random inspections were conducted in the first part of 2022, and that there were no violations of the non-retention of sharks and zero finning policies detected from 2019-2022 (CONAPESCA 2022). Finally, we note that the Audit Team attended a site visit in Mazatlan in September 2022, where an opportunity to talk to skippers and crew was provided, together with the opportunity to go aboard a vessel as the tuna was being unloaded. Posters highlighting the no finning and non-retention of silky shark and oceanic whitetip sharks were prominently displayed on the vessel, and the Audit team was left in no doubt that the crew members were aware of their obligations in this regard. These milestones are met, and it is considered that it is at least <i>“highly likely that shark finning is not taking place”</i> aboard PAST vessels – at least SG80 is met.
Status	This condition is closed , and rescoring is provided in Section 4.6.

Additional information	None
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Condition 2-4 (PI 2.1.3 Slc – Dolphin sets)

Performance Indicator	2.1.3, Slc
Score	70
Justification	<u>Silky Shark</u> The information that has been collected has been sufficient to support at least some of the measures that collectively are considered to comprise a strategy to manage silky sharks. However, the absence of retention vs discard (and survivorship) information means that there is not sufficient information to support the partial strategy, which includes national and international regulations prohibiting retention of the species. The SG 60, but not SG 80 Scoring Issue, is therefore met. <u>Oceanic Whitetip</u> Data on oceanic whitetips provided includes annual catch by set type, but the team was not provided with retention versus discard data. While the data available are sufficient to support overall management of the species and basic estimates such as abundance, information is currently not adequate to support the main measures of the partial strategy, which hinge on national and international regulations that pertain to prohibited retention of the species. The SG 60, but not SG 80 Scoring Issue, is therefore met.
Condition	<u>Silky shark and oceanic whitetips:</u> By the fourth first year reassessment annual surveillance, provide evidence that information is adequate to support a partial strategy to manage main retained species.
Condition Start	PCR
Condition Deadline	fourth first year reassessment annual surveillance
Milestones	<u>Milestones for Zero Retention of Sharks and Rays (S&R)</u> M-I S&R A.3 By the first annual audit, the Alliance will provide evidence of the record keeping format that is being or will be used to keep records of all interactions with Sharks (specifically oceanic whitetips and silky sharks). M-I S&R A.4 By the first annual audit, the Alliance will provide any available data resulting from the records being kept of interactions with oceanic whitetips and silky sharks, specifically indicating the numbers and condition of their release (live, unknown, injured, dead). M-I S&R A.7 By the second annual audit, the Alliance will provide evidence that information being collected is adequate to support a partial strategy to manage the main retained (or no longer retained) sharks. M-I S&R A.10 By the fourth annual audit, the Alliance will provide evidence that sufficient data continues to be collected for both dolphin and free school sets to detect any increase in risk level (e.g. due to changes in the outcome indicator score or the operation of the fishery or the effectiveness of the strategy) as it relates to oceanic whitetips and silky sharks. M-I S&R A. 11 For each of the annual audits, Year One through Year Four, the Alliance will provide evidence showing records of any small sharks detected at the time of fish unloading and that could involuntarily have ended up in the vessel fish wells without being noticed by

	the crew during brailing and/or sorting, as well as documentation showing the donation of these species to a designated food bank. <u>Milestones for Safe-Handling/Live Return of Sharks and Rays</u> M-I S&R B.4 For the second, third and fourth annual audits, the Alliance will provide any available data resulting from the records being kept, showing the interactions with all sharks, but specifically with oceanic whitetips and silky sharks, indicating the numbers and condition at the time of their release (live, unknown, injured, dead). M-I S&R B.10 By the fourth annual audit, the Alliance will provide evidence that sufficient data continues to be collected for both dolphin and free school sets to detect any increase in risk level (e.g. due to changes in the outcome indicator score or the operation of the fishery or the effectiveness of the strategy) as it relates to the Safe-Handling/ Live Return policy for oceanic whitetips and silky sharks.
Client Action Plan	Refer to the following section(s) of Client Action Plan in the PCR: Section I. Comprehensive Strategy for Sharks and Rays. The Alliance will design and implement a comprehensive strategy that includes A. Proposed Action Plan on Implementation of Zero Retention of Sharks and Rays. Goal: To ensure that no sharks incidentally caught during regular tuna fishing operations (Dolphin sets and/or Free School sets), are voluntarily retained by any of the Alliance vessels. B. Proposed Action Plan on Implementation of the Alliance Safe-Handling/Live Return for Sharks and Rays. Goal: To implement on all Alliance vessels a Safe-Handling/Live Return policy to maximize the number of sharks released alive at sea, to the extent practical and without compromising the safety of any persons on board; and to keep records of all these interactions
Consultation on condition	Letters of Support below from CONAPESCA and IATTC were provided to SCS Global Services as the fishery's Conformity Assessment Body (CAB) when the fishery was certified (Morgan et al. 2017).
Progress on Condition (Year 3)	PI 2.1.3 is an information PI, and therefore Condition 2-4 <u>is</u> eligible for an extension under Derogation 6. Therefore, the Year 3 milestones are not effective this year. Nevertheless, progress is noted against the Year 3 milestones, and the status as indicated in the following section reflects the status after considering any progress. <u>Milestones for Zero Retention of Sharks and Rays (S&R)</u> M-I S&R A. 11, M-I S&R B.4 With respects to sharks that may be retained inadvertently, the data show that this year there was just a single case (Table 7). The Audit Team is satisfied that this was in no way deliberate, and was presented with a letter from the IATTC to the client, confirming that the IATTC is also satisfied there was no intentional retention of sharks by PAST vessels (IATTC 2021a). This milestone is met. <u>Milestones for Safe-Handling/Live Return of Sharks and Rays</u> M-I S&R B.4 Observer data presented in Table 7 show that there continue to be very few oceanic whitetip sharks taken in total in the PAST fleet (3 in 2020, compared with 8 in 2019 and 1 in 2018), all of which were released alive. A smaller number of silky sharks were taken in 2020 (1,815) compared to the previous two years (3,116 in 2018 and 3,540 in 2019), but the Audit Team also noted the data showing that the percentage of the silky sharks recorded as 'released alive' has increased from 50.9% in 2018, to 64.0% in 2019, and then to 76.7% for the latest year. This milestone is met.

Progress on Condition (Year 4)	PI 2.1.3 is an information PI, and therefore Condition 2-4 was eligible for an extension under Derogation 6. Progress against the Year 3 milestones was nevertheless evaluated last year, and progress against the Year 4 milestones is evaluated this year. <u>Milestones for Zero Retention of Sharks and Rays (S&R)</u> M-I S&R A.10, M-I S&R A. 11 As reported for Condition 2-1, 100% observer coverage has been maintained on PAST vessels, including throughout the Covid-19 pandemic. The requirement for 100% observer coverage is mandated by the IATTC, and the Audit Team has no doubt that this will be continued into the future. The requirement for observers to provide data on catch and fate of bycaught sharks is also expected to be retained or even improved upon in future. As such, there is no doubt that sufficient data will continue to be collected to detect any increase in risk level going forward. It was confirmed in a letter from Fidemar (dated 1st September 2022) that no sharks were detected during unloading of any PAST vessel during 2021. <u>Milestones for Safe-Handling/Live Return of Sharks and Rays</u> M-I S&R B.4, M-I S&R B.10 The number of oceanic whitetip sharks recorded captured in the fishery has remained very small, with an average annual catch of only five animals. The number of silky sharks caught has also remained relatively low over time, at an average of 1,496 per year, which equates to just over one shark every five sets. Data on the status upon release of the oceanic whitetip sharks and silky sharks captured in the PAST fishery is also now collected routinely. In this regard, all oceanic whitetip sharks were recorded by observers as 'released alive', while the percentage of the silky sharks that were recorded as 'released alive' has risen from 50.9% in 2018 to average 69.1% in the last three years. As noted against the first part of this condition, observer coverage has been maintained at 100% on PAST vessels, and reporting on the condition of sharks has been established; the audit team is in no doubt that these measures will be continued into the future. ----- In summary, there are comprehensive data now being collected on the catch and fate of sharks in the PAST fishery, including specifically oceanic whitetip sharks and silky sharks. These ensure that <i>"information is adequate to support a partial strategy to manage main retained species"</i>. For oceanic whitetip sharks and silky sharks, SG80 is therefore met. This Condition is closed.
Status	This condition is closed , and rescoring is provided in Section 4.6.
Additional information	None

Condition 2-5 (PI 2.1.3 Sid – Dolphin sets)

Performance Indicator	2.1.3, Sid
Score	70
Justification	<u>Silky shark and oceanic whitetips:</u> Data continue to be collected from logbooks and observer programs in sufficient detail to detect any substantial increase in risk from increased catches of retained species. What is not

	currently available, however, is information on the effectiveness of all the measures contained in the IATTC's Resolutions, which collectively form the strategy for addressing risks to retained species. This Scoring Issue is therefore not considered to be met at the SG 80 level.
Condition	<u>Silky shark and oceanic whitetips:</u> By the fourth first year reassessment annual surveillance, provide evidence that sufficient data continue to be collected for dolphin sets to detect any increase in risk level (e.g. due to changes in the outcome indicator score or the operation of the fishery or the effectiveness of the strategy).
Condition Start	PCR
Condition Deadline	fourth first year reassessment annual surveillance
Milestones	<u>Milestones for Zero Retention of Sharks and Rays (S&R)</u> M-I S&R A.3 By the first annual audit, the Alliance will provide evidence of the record keeping format that is being or will be used to keep records of all interactions with Sharks (specifically oceanic whitetips and silky sharks). M-I S&R A.4 By the first annual audit, the Alliance will provide any available data resulting from the records being kept of interactions with oceanic whitetips and silky sharks, specifically indicating the numbers and condition of their release (live, unknown, injured, dead). M-I S&R A.7 By the second annual audit, the Alliance will provide evidence that information being collected is adequate to support a partial strategy to manage the main retained (or no longer retained) sharks species. M-I S&R A.10 By the fourth annual audit, the Alliance will provide evidence that sufficient data continues to be collected for both dolphin and free school sets to detect any increase in risk level (e.g. due to changes in the outcome indicator score or the operation of the fishery or the effectiveness of the strategy) as it relates to oceanic whitetips and silky sharks. M-I S&R A. 11 For each of the annual audits, Year One through Year Four, the Alliance will provide evidence showing records of any small sharks and/or rays detected at the time of fish unloading and that could involuntarily have ended up in the vessel fish wells without being noticed by the crew during brailing and/or sorting, as well as documentation showing the donation of these species to a designated food bank. <u>Milestones for Safe-Handling/Live Return of Sharks and Rays</u> M-I S&R B.4 For the second, third and fourth annual audits, the Alliance will provide any available data resulting from the records being kept, showing the interactions with all sharks and rays, but specifically with oceanic whitetips, silky sharks, and Mobulid rays, indicating the numbers and condition at the time of their release (live, unknown, injured, dead). M-I S&R B.10 By the fourth annual audit, the Alliance will provide evidence that sufficient data continues to be collected for both dolphin and free school sets to detect any increase in risk level (e.g. due to changes in the outcome indicator score or the operation of the fishery or the effectiveness of the strategy) as it relates to the Safe-Handling/ Live Return policy for oceanic whitetips, silky sharks and Mobulid rays.
Client Action Plan	Refer to the following section(s) of Client Action Plan in the PCR: Section I. Comprehensive Strategy for Sharks and Rays. The Alliance will design and implement a comprehensive strategy that includes A. Proposed Action Plan on Implementation of Zero Retention of Sharks and Rays. Goal: To ensure that no sharks incidentally caught during regular tuna fishing operations (Dolphin sets and/or Free School sets), are voluntarily retained by any of the Alliance vessels.

	B. Proposed Action Plan on Implementation of the Alliance Safe-Handling/Live Return for Sharks and Rays. Goal: To implement on all Alliance vessels a Safe-Handling/Live Return policy to maximize the number of sharks released alive at sea, to the extent practical and without compromising the safety of any persons on board; and to keep records of all these interactions
Consultation on condition	Letters of Support below from CONAPESCA and IATTC were provided to SCS Global Services as the fishery's Conformity Assessment Body (CAB) when the fishery was certified (Morgan et al. 2017).
Progress on Condition (Year 3)	PI 2.1.3 is an information PI, and therefore Condition 2-5 <u>is</u> eligible for an extension under Derogation 6. Therefore, the Year 3 milestones are not effective this year. Nevertheless, progress is noted against the Year 3 milestones, and the status as indicated in the following section reflects the status after considering any progress. <u>Milestones for Zero Retention of Sharks and Rays (S&R)</u> M-I S&R A. 11 With respects to sharks that may be retained inadvertently, the data show that this year there was just a single case (Table 7). For rays, As well as providing details on the inspections carried out on vessels of the PAST fleet, and compliance with measures to prohibit retention of sharks, rays and shark fins, CONAPESCA confirmed the following for bycatches of bluefin tuna and bonito (Table 9). The data for 2021 are consistent with those for earlier years. Table 8 shows there was a slight increase in inadvertent retention, with 17 retained (as compared with 6 and 3 for 2018 and 2019, respectively). The Audit Team is satisfied that these retentions are in no way deliberate, and was presented with a letter from the IATTC to the client, confirming that the IATTC is also satisfied there was no intentional retention of sharks or rays by PAST vessels (IATTC 2021a). This milestone is met. <u>Milestones for Safe-Handling/Live Return of Sharks and Rays</u> M-I S&R B.4 Observer data presented in Table 7 show that a smaller number of silky sharks were taken in 2020 (1,815) compared to the previous two years (3,116 in 2018 and 3,540 in 2019), but the Audit Team also noted the data showing that the percentage of the silky sharks recorded as 'released alive' has increased from 50.9% in 2018, to 64.0% in 2019, and then to 76.7% for the latest year. A somewhat higher catch of rays was taken in 2020 (268) in comparison to the previous two years (214 in 2018 and 202 in 2019), with a slightly lower percentage 'released alive' (90.3% in 2018, 91.8% in 2019, to 84.3% in the last year). The Audit Team will continue to monitor the situation, but there is no pattern in the data and no reason to consider that anything has changed in the fishery. This milestone is met.
Progress on Condition (Year 4)	PI 2.1.3 is an information PI, and therefore Condition 2-5 was eligible for an extension under Derogation 6. Progress against the Year 3 milestones was nevertheless evaluated last year, and progress against the Year 4 milestones is evaluated this year. <u>Milestones for Zero Retention of Sharks and Rays (S&R)</u> M-I S&R A.10, M-I S&R A. 11 As reported for Condition 2-1, 100% observer coverage has been maintained on PAST vessels, including throughout the Covid-19 pandemic. The requirement for 100% observer coverage is mandated by the IATTC, and the Audit Team has no doubt that this will be continued into the future. The requirement for observers to provide data on catch and fate of bycaught sharks

	(and rays) is also expected to be retained or even improved upon in future. As such, there is no doubt that sufficient data will continue to be collected to detect any increase in risk level going forward. It was confirmed in a letter from Fidemar (dated 1st September 2022) that no sharks or rays were detected during unloading of any PAST vessel during 2021. <u>Milestones for Safe-Handling/Live Return of Sharks and Rays</u> M-I S&R B.4, M-I S&R B.10 The number of oceanic whitetip sharks recorded captured in the fishery has remained very small, with an average annual catch of only five animals. The number of silky sharks caught has also remained relatively low over time, at an average of 1,496 per year, which equates to just over one shark every five sets. Data show an overall low and somewhat variable level of Mobulid catch (214 in 2018, 202 in 2019, 268 in 2020 and 144 in 2021). Data on the status upon release of these species as captured in the PAST fishery is also now collected routinely. In this regard, all oceanic whitetip sharks were recorded by observers as 'released alive', while the percentage of the silky sharks that were recorded as 'released alive' has risen from 50.9% in 2018 to average 69.1% in the last three years. As noted against the first part of this condition, observer coverage has been maintained at 100% on PAST vessels, and reporting on the condition of sharks (and rays) has been established; the audit team is in no doubt that these measures will be continued into the future. ----- In summary, there are comprehensive data now being collected on the catch and fate of sharks (and rays) in the PAST fishery, including specifically oceanic whitetip sharks and silky sharks. These ensure that <i>"that sufficient data continue to be collected for dolphin sets to detect any increase in risk level (e.g. due to changes in the outcome indicator score or the operation of the fishery or the effectiveness of the strategy)"</i>. For oceanic whitetip sharks and silky sharks (and Mobulid rays), SG80 is therefore met. This Condition is closed.
Status	This condition is closed, and rescoring is provided in Section 4.6.
Additional information	None

Condition 2-6 (PI 2.3.1 Sia – Dolphin sets)

Performance Indicator	2.3.1, Sia
Score	65
Justification	<u>Dolphins:</u> Reported mortalities are well under DMLs (Figure 46) so even allowing for these estimates of the potential levels of unobserved mortality the team has concluded such mortality to be low enough that it is likely that the total mortality is still lower than the limits set by the IDCP for any of the dolphin stocks. Therefore the known effects of the fishery are assessed as being within requirements and the SG60 level is considered to be met. SG80 requirements concern whether the effects of the fishery are known and within requirements for protection. As noted above, unobserved mortality is considered a known effect but, by definition, is one that can only be estimated indirectly. The cumulative effect of all these known effects have been considered unlikely to cause a breach of the DMLs but the

	team were not able to assign any higher level of confidence to this conclusion. The requirements of the SG 80 level are therefore not considered to be met.
Condition	<u>Dolphins:</u> By the fourth first year reassessment annual surveillance*, provide evidence that the effects of dolphin sets in the fishery on dolphins are known and are highly likely to be within limits of national and international requirements for their protection. *based on accepted VR See additional information section below
Condition Start	PCR
Condition Deadline	fourth first year reassessment annual surveillance
Milestones	<u>Milestones Associated with New Stock Assessments on Dolphin Populations</u> M-I DOL 4. Survey completed: By the third annual audit, the Alliance will provide evidence demonstrating that one season of dolphin abundance surveys has been successfully executed, and that all associated records exist. M-I DOL 5. Analysis of surveys and new population estimates: By the fourth annual audit, the Alliance will provide the auditors with the results of the dolphin abundance surveys and new dolphin population estimates for the ETPO. M-I DOL 6. Current abundances support that mortality is within defined limits, and do not create unacceptable population impacts or impede recovery: By the fourth annual audit, the Alliance will provide evidence of trends in dolphin populations which will continue to provide evidence that: 1) The effects of dolphin sets in the fishery on dolphins are known and are or are not highly likely to be within limits of national and international requirements for their protection, 2) Direct effects of dolphin sets on dolphins have been considered and are or are not known to be highly unlikely to create unacceptable impacts, 3) The fishery does or does not hinder recovery of ETP species, 4) There is a strategy in place for managing the fishery's impact on ETP species, if any, including measures to minimize mortality, which is designed to be highly likely to achieve national and international requirements for the protection of ETP species, 5) There is an objective basis for confidence that the strategy will work, 6) The strategy is being implemented successfully, and 7) Information is sufficient to measure trends and support a full strategy to manage impacts on ETP species. M-I DOL 7. Surveys inform DMLs: By the fourth annual audit, the Alliance will provide evidence that the IATTC has survey results and that there is evidence demonstrating how these data have been used for the determination of DMLs for the fishery to continue to ensure that the fishery does not hinder the protection and recovery of dolphin species. <u>Milestones related to Unaccounted/unobserved mortalities</u> M-II DOL A.1 By the first audit, the auditors will select and interview a sample (series) of observers (statistically appropriate and with appropriate stratification of relevant factors e.g. national/IATTC program, experience etc.) to discuss issues related to unobserved dolphin mortalities. The CAB will provide all outputs from observer interviews (redacted as needed) into the annual surveillance report. The client will provide all data resulting from this action to the IATTC. All subsequent M-II clauses are to be considered, "If deemed necessary by SCS based on results from observer interviews."

	M-II DOL A.2 By the second audit, the Alliance will provide additional evidence demonstrating the presence/absence of unobserved dolphin mortality at the relevant point of operations. All data resulting from this action will be provided to the IATTC for its potential inclusion into the determination of DMLs and/or possible modifications to fishing procedures. M-II DOL A.3 By the third audit, the Alliance will present verifiable evidence to conclude the presence/absence of un-observed dolphin mortality in fishing sets. All related data and results will be provided to the IATTC for their potential inclusion into the determination of DMLs. M-II DOL A.4 By the fourth audit, the Alliance will provide evidence that the results of the independent study are being used to inform the management of the fishery's impact on dolphins and the determination of DMLs. M-II DOL A.5. By the fourth audit, the Alliance will provide evidence that the effects of the fishing operations on dolphins are known and highly likely to be within the limits of national and international requirements for their protection. <u>Milestones related to Mother-Calf Separation</u> M-II DOL B.1 By the first annual audit, the Alliance will provide evidence that shows that a research program has been designed in coordination with the IATTC scientific staff to be implemented during the first year of certification. M-II DOL B.2 By the second annual audit, the Alliance will provide evidence to the auditors that the research program is being implemented. M-II DOL B.3 By the third annual audit, the Alliance will provide evidence to the auditors of the preliminary findings and recommendations of the research program including determinations as to whether mother-calf separation is indeed occurring and in what order of magnitude, as well as if additional information is needed to expand the research program in order to ratify preliminary conclusions. M-II DOL B.4 By the fourth annual audit, the Alliance will provide evidence that the preliminary results of the research program are been taken into consideration in the overall management objectives of the IATTC/AIDCP including their possible inclusion in the determination of the DMLs and stock/per-year mortality limits. M-II DOL B.5 By the fourth annual audit, the Alliance will provide evidence to the auditor showing that the effects of the fishing operation on dolphins are known and are highly likely to be within limits of national and international requirements for their protection. M-II DOL B.6 By the fourth annual audit, the Alliance will provide evidence to show that all observed and potential fishery effects are highly unlikely to create unacceptable impacts on ETP species and significantly curtail their reproductive rate.
Client Action Plan	Refer to the following section(s) of Client Action Plan in the PCR: Research to Arrive at New Dolphin Population Estimates in the Eastern Tropical Pacific Ocean (ETPO) Section I. Commitments to Support/Catalyze Research for New Estimates of Dolphin Populations Goal: The main objective of this research is to arrive at dolphin populations estimates for the ETPO by the year 2020. The Alliance is committed to conduct research on Direct and Indirect Impacts (See Section II Dolphin Action Plan for details) A. Proposed Action Plan on Unaccounted/unobserved Mortalities Goal: Determine whether unobserved and/or unreported mortalities during fishing operations are occurring. B. Proposed Action Plan on Mother-Calf Separation Goal: To determine whether mother and calves get separated during the follow up, catch and release phase of the fishing operation.

Consultation on condition	Letters of Support below from CONAPESCA and IATTC were provided to SCS Global Services as the fishery's Conformity Assessment Body (CAB) when the fishery was certified (Morgan et al. 2017).
Progress on Condition (Year 3)	PI 2.3.1 is an outcome PI, and therefore Condition 2-6 is <u>not</u> eligible for an extension under Derogation 6. <u>Milestones Associated with New Stock Assessments on Dolphin Populations</u> M-I revised 2 is the next milestone that is active in this part of the Condition – it is not effective until Year 4, however. <u>Milestones related to Mother-Calf Separation</u> Last year the audit reported this part of the condition as being behind target. However, a Variation Request (VR)⁷ was submitted and granted that covered the entire condition. Not allowing additional time for the mother-calf separation work under this Condition in the year 2 report was therefore an error by the team that is required to be corrected at this audit. The client has continued to press for the mother-calf separation work to be undertaken through a request to the IATTC, but funding has not yet been agreed. However, on the basis that the Condition has been extended by two years under the VR, the Year 2 milestone is now effective for Year 4, and the Year 3 milestone for (Year 5 / Year 0 of new certificate if recertified), etc. Details of the revised milestones are provided in the 'Additional Information' section, below. Based on the adjustment to milestones, there are no active milestones this year for this condition.
Progress on Condition (Year 4)	<u>N.B.</u> See the 'Additional information' section for the revised milestones that now apply to this condition. <u>Milestones Associated with New Stock Assessments on Dolphin Populations</u> M-I revised 2 Revised survey methodology for a new stock assessment for Eastern Tropical Pacific dolphin populations was first presented at the AIDCP meeting in 2018 (Oedekoven et al. 2018). The methodology included the proposal that a trial survey be undertaken in Autumn 2019, with a full survey to be undertaken, subsequently, in Autumn 2020. The Year 2 audit of the PAST fishery reported that a 14 day trial cruise was undertaken in November 2019 aboard the Mexican research vessel Dr Jorge Carranza Fraser. The intent was to test several components of the methodology proposed to undertake a full field survey for the dolphin population survey, including the suitability of the vessel as a survey platform, the ability to use drones to detect dolphin schools directly ahead of the survey vessel to assess trackline detection probability (g(0)), the ability to collect data on the dolphin school size and species composition using the video footage, and the utility of a machine-learning algorithm to calibrate estimates of species and number made by the ship-based observers. As noted at that time, the trial survey cruise report was made available to the audit team (Oedekoven et al. 2020); it was reported that while the Dr. Jorge Carranza Fraser was proven to be appropriate for undertaking the work, contrary to the methodological requirements the drones employed for the survey were not able to provide sufficient endurance, camera image resolution was too low, transmitted video footage was of insufficient quality due to data compression and other issues, and there was no on-board back-up video storage capability. Further, one drone was lost and only one pilot was able to fly the drones successfully. Together, these issues meant that whilst some calibration of trackline detection and counts by species could occur, the test was not sufficiently successful to confirm the feasibility of the

⁷ <https://cert.msc.org/FileLoader/FileLinkDownload.aspx/GetFile?encryptedKey=1M5icxkx1eH5gXMQEmtkoZvvgKb/xnzqr4TWFZQaTlew1qZcTE3An4e1uL25dYnW>

	methodology for undertaking a full survey (120 days). Another trial was considered essential before being able to undertake a full survey. However, from early 2020, the Covid-19 pandemic caused very significant disruption worldwide, including with the ability to coordinate complex, multi-agency and multi-nation projects, and then to undertake work at sea. In this regard, a variation request was submitted to the MSC⁸, seeking an additional two years to meet the conditions; this was accepted, and this condition was extended and new milestones set, as indicated in the 'Additional Information' section, below. After the initial trial survey, efforts were made to secure further funding for the additional trial and subsequent stages of the work through the AIDCP research budget, but these ultimately proved unsuccessful. The second trial survey was nevertheless listed as Project H.8.b in the recently published IATTC staff activities and research plan (IATTC 2022b), and although it was noted in that document that funding had not been secured, PAST has now committed to funding that work. Payment for the initial steps of the project has been transferred to the IATTC to hold in trust (confirmed by e-mail, October 2022). The Audit team was also provided with a document entitled 'Terms and conditions updated' from the University of St. Andrews, dated 7th October 2022, that was confirmed Dr. Oedekoven's willingness to engage in the project. It is noted that there are various caveats and conditions that need to be met for Dr. Oedekoven's continued engagement (e.g., payment is delivered on time, modifications to the Dr Jorge Carranza Fraser needed for the dolphin observers to operate are completed on time), but we consider that these issues are for the PAST and the project management process to now manage going forward. Although there is clearly progress on the condition, the M-I revised 2 milestone is not met. As such, the condition is behind target. Given the relatively short time remaining for the condition, the milestones are not adjusted for the condition. <u>Milestones related to Mother-Calf Separation</u> M-II DOL revised B.2 The project to investigate the risks posed by mother-calf separation during fishing operations was not funded when originally proposed at the IATTC in 2017, but was listed as Project H.8.c in the recently published IATTC staff activities and research plan (IATTC 2022b). As with the population survey, it was noted in the IATTC 2022b document that funding had not been secured, but PAST has also now committed to funding that work, with payments having been made. A key early part of the project was to hold an expert workshop on development of a detailed field protocol, and this was undertaken in September 2022; a workshop report is anticipated in the near future (IATTC, pers. comm.). The IATTC has also advertised for a consultancy opportunity to undertake the cow-calf separation study (https://www.iattc.org/getattachment/425bab9f-ae3a-4692-b94c-f9758609b0c1/Consultancy-announcement-dolphin-cow-calves-experiment.pdf?lang=en-US), with the aim of undertaking fieldwork in the latter stages of 2023. This milestone is on target. ----- In summary, the component of this condition related to the new stock assessments on dolphin populations is behind target, but the component of the work related to mother-calf separation is on target. Overall, therefore, the condition is behind target.
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⁸ <https://cert.msc.org/FileLoader/FileLinkDownload.aspx/GetFile?encryptedKey=1M5icxkx1eH5gXMQEmtkoZvvgKb/xnzor4TWFZQaTlew1qZcTE3An4e1uL25dYnW>

Status	Behind target
Additional information	<u>Changes undertaken at Year 2</u> <u>Milestones Associated with New Stock Assessments on Dolphin Populations</u> Following the variation request that was accepted by the MSC, milestones MI-DOL 4, MI-DOL 5, MI-DOL 6 and MI-DOL 7 are rescinded, and revised milestones are set for this condition, as follows: • M-I revised 2 (Year 4 audit). Provide evidence demonstrating that one season of dolphin abundance surveys has been successfully executed, and that records as needed to generate the dolphin abundance estimates exist. • M-I revised 3 (Year 5 / Year 0 of new certificate if recertified). Provide the results of the dolphin abundance surveys and new dolphin population estimates for the Eastern Tropical Pacific Ocean. • M-I revised 4 (Year 6 / Year 1 of new certificate if recertified). Provide evidence of trends in dolphin populations which will provide evidence that: 1) The effects of dolphin sets in the PAST fishery on dolphins are known and are highly likely to be within limits of national and international requirements for their protection, 2) Direct effects of dolphin sets on dolphins have been considered and are known to be highly unlikely to create unacceptable impacts, 3) The fishery does not hinder recovery of ETP species, 4) There is a strategy in place for managing the fishery's impact on ETP species, if any, including measures to minimize mortality, which is designed to be highly likely to achieve national and international requirements for the protection of ETP species, 5) There is an objective basis for confidence that the strategy will work, 6) The strategy is being implemented successfully, and 7) Information is sufficient to measure trends and support a full strategy to manage impacts on ETP species. We note three issues: a) M-I revised 4 is similar to the old milestone M-I DOL 6, but the text 'or are not' (or 'or do not') is removed from sections 1, 2 and 3. This is because this text would allow the condition to be met without the SG80 requirement being met. b) Old milestone M-I DOL 6 included SG80 requirements from PI 2.3.1, PI 2.3.2 and PI 2.3.3, therefore addressing issues beyond this condition alone. However, in recognising the interconnected nature of Conditions 2-6, 2-7, 2-8, 2-9, 2-10 and 2-11, this wording is retained (except for the 'or are not' / 'or do not' text, as in part a), above). c) The components of old milestone M-I DOL 7 have not been incorporated into these revised milestones, because meeting M-I DOL 7 was contingent upon agreement on new DMLs being reached at the IATTC, which is not strictly necessary in this case because of the fishery-specific nature of the Principle 2 assessment (unlike the requirements for management in Principle 1, which are stock-wide). We consider that if milestone M-I revised 4 is met, then the SG80 requirement for PI2.3.3 Sib will also be met in full. <u>Changes undertaken at Year 3 (correcting an absence of changes at year 2)</u> <u>Milestones related to Mother-Calf Separation</u>

	Reflecting the VR that was accepted last year, the existing M-II DOL milestones are moved forward by two years and are now 'revised'. M-II DOL revised B.2 (Year 4 audit). Provide evidence to the auditors that the research program is being implemented. M-II DOL revised B.3 (Year 5 / Year 0 of new certificate if recertified). Provide evidence to the auditors of the preliminary findings and recommendations of the research program including determinations as to whether mother-calf separation is indeed occurring and in what order of magnitude, as well as if additional information is needed to expand the research program in order to ratify preliminary conclusions. M-II DOL revised B.4 (Year 6 / Year 1 of new certificate if recertified). Provide evidence that the preliminary results of the research program are been taken into consideration in the overall management objectives of the IATTC/AIDCP including their possible inclusion in the determination of the DMLs and stock/per-year mortality limits. M-II DOL revised B.5 (Year 6 / Year 1 of new certificate if recertified). Provide evidence to the auditor showing that the effects of the fishing operation on dolphins are known and are highly likely to be within limits of national and international requirements for their protection. M-II DOL revised B.6 (Year 6 / Year 1 of new certificate if recertified). Provide evidence to show that all observed and potential fishery effects are highly unlikely to create unacceptable impacts on ETP species and significantly curtail their reproductive rate.
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Condition 2-7 (PI 2.3.1 Sib – Dolphin sets)

Performance Indicator	2.3.1, Sib
Score	65
Justification	<u>Dolphins:</u> We conclude that there is at least some evidence that the impacts of the UoA are unlikely to be hindering the recovery of any dolphin stocks. In fact, the most recent analyses of the available survey results indicates that the status of the two main species affected is improving (with a high degree of certainty) but we note again that evidence of rebuilding is not required to conclude that a fishery is not hindering recovery. Nevertheless, and particularly given the long time since the last population estimates have been produced, the team considered that while it is likely that the fishery is not having unacceptable impacts on populations or hindering recovery, there was insufficient information to be able to assign any higher level of confidence to this conclusion. This meets the requirements of the SG 60 level but not of the SG 80 level.
Condition	<u>Dolphins:</u> By the fourth first year reassessment annual surveillance*, provide evidence that direct effects of dolphin sets on dolphins have been considered and are thought to be unlikely to create unacceptable impacts. *based on accepted VR See additional information section below
Condition Start	PCR
Condition Deadline	fourth first year reassessment annual surveillance
Milestones	<u>Milestones Associated with New Stock Assessments on Dolphin Populations</u>

	M-I DOL 4. Survey completed: By the third annual audit, the Alliance will provide evidence demonstrating that one season of dolphin abundance surveys has been successfully executed, and that all associated records exist. M-I DOL 5 Analysis of surveys and new population estimates: By the fourth annual audit, the Alliance will provide the auditors with the results of the dolphin abundance surveys and new dolphin population estimates for the ETPO. M-I DOL 6. Current abundances support that mortality is within defined limits, and do not create unacceptable population impacts or impede recovery: By the fourth annual audit, the Alliance will provide evidence of trends in dolphin populations which will continue to provide evidence that: 1) The effects of dolphin sets in the fishery on dolphins are known and are or are not highly likely to be within limits of national and international requirements for their protection, 2) Direct effects of dolphin sets on dolphins have been considered and are or are not known to be highly unlikely to create unacceptable impacts, 3) The fishery does or does not hinder recovery of ETP species, 4) There is a strategy in place for managing the fishery's impact on ETP species, if any, including measures to minimize mortality, which is designed to be highly likely to achieve national and international requirements for the protection of ETP species, 5) There is an objective basis for confidence that the strategy will work, 6) The strategy is being implemented successfully, and 7) Information is sufficient to measure trends and support a full strategy to manage impacts on ETP species. M-I DOL 7 Surveys inform DMLs: By the fourth annual audit, the Alliance will provide evidence that the IATTC has survey results and that there is evidence demonstrating how these data have been used for the determination of DMLs for the fishery to continue to ensure that the fishery does not hinder the protection and recovery of dolphin species. <u>Milestones related to Unaccounted/unobserved mortalities</u> M-II DOL A.1 By the first audit, the auditors will select and interview a sample (series) of observers (statistically appropriate and with appropriate stratification of factors e.g. national/IATTC program, experience etc.) to discuss issues related to unobserved dolphin mortalities. The CAB will provide all outputs from observer interviews (redacted as needed) into the annual surveillance report. The client will provide all data resulting from this action to the IATTC. All subsequent M-II clauses are to be considered, "If deemed necessary by SCS based on results from observer interviews." M-II DOL A.2 By the second audit, the Alliance will provide additional evidence demonstrating the presence/absence of unobserved dolphin mortality at the relevant point of operations. All data resulting from this action will be provided to the IATTC for its potential inclusion into the determination of DMLs and/or possible modifications to fishing procedures. M-II DOL A.3 By the third audit, the Alliance will present verifiable evidence to conclude the presence/absence of un-observed dolphin mortality in fishing sets. All related data and results will be provided to the IATTC for their potential inclusion into the determination of DMLs. M-II DOL A.4 By the fourth audit, the Alliance will provide evidence that the results of the independent study are being used to inform the management of the fishery's impact on dolphins and the determination of DMLs. M-II DOL A.5. By the fourth audit, the Alliance will provide evidence that the effects of the fishing operations on dolphins are known and highly likely to be within the limits of national and international requirements for their protection. <u>Milestones related to Mother-Calf Separation</u>
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	M-II DOL B.1 By the first annual audit, the Alliance will provide evidence that shows that a research program has been designed in coordination with the IATTC scientific staff to be implemented during the first year of certification. M-II DOL B.2 By the second annual audit, the Alliance will provide evidence to the auditors that the research program is being implemented. M-II DOL B.3 By the third annual audit, the Alliance will provide evidence to the auditors of the preliminary findings and recommendations of the research program including determinations as to whether mother-calf separation is indeed occurring and in what order of magnitude, as well as if additional information is needed to expand the research program in order to ratify preliminary conclusions. M-II DOL B.4 By the fourth annual audit, the Alliance will provide evidence that the preliminary results of the research program are been taken into consideration in the overall management objectives of the IATTC/AIDCP including their possible inclusion in the determination of the DMLs and stock/per-year mortality limits. M-II DOL B.5 By the fourth annual audit, the Alliance will provide evidence to the auditor showing that the effects of the fishing operation on dolphins are known and are highly likely to be within limits of national and international requirements for their protection. M-II DOL B.6 By the fourth annual audit, the Alliance will provide evidence to show that all observed and potential fishery effects are highly unlikely to create unacceptable impacts on ETP species and significantly curtail their reproductive rate.
Client Action Plan	Refer to the following section(s) of Client Action Plan in the PCR: Research to Arrive at New Dolphin Population Estimates in the Eastern Tropical Pacific Ocean (ETPO) Section I. Commitments to Support/Catalyze Research for New Estimates of Dolphin Populations Goal: The main objective of this research is to arrive at dolphin populations estimates for the ETPO by the year 2020. The Alliance is committed to conduct research on Direct and Indirect Impacts (See Section II Dolphin Action Plan for details) A. Proposed Action Plan on Unaccounted/unobserved Mortalities Goal: Determine whether unobserved and/or unreported mortalities during fishing operations are occurring. B. Proposed Action Plan on Mother-Calf Separation Goal: To determine whether mother and calves get separated during the follow up, catch and release phase of the fishing operation.
Consultation on condition	Letters of Support below from CONAPESCA and IATTC were provided to SCS Global Services as the fishery's Conformity Assessment Body (CAB) when the fishery was certified (Morgan et al. 2017).
Progress on Condition (Year 3)	PI 2.3.1 is an outcome PI, and therefore Condition 2-7 <u>is not</u> eligible for an extension under Derogation 6. <u>Milestones Associated with New Stock Assessments on Dolphin Populations</u> M-I revised 2 is the next milestone that is active in this part of the Condition – it is not effective until Year 4, however. <u>Milestones related to Mother-Calf Separation</u>

	Last year the audit reported this part of the condition as being behind target. However, a Variation Request (VR)⁹ was submitted and granted that covered the entire condition. Not allowing additional time for the mother-calf separation work under the Condition in the year 2 audit report was therefore an error by the assessment team that is required to be corrected at this audit. The client has continued to press for the mother-calf separation work to be undertaken through a request to the IATTC, but funding has not yet been agreed. However, on the basis that the Condition has been extended by two years under the VR, the Year 2 milestone is now effective for Year 4, and the Year 3 milestone for (Year 5 / Year 0 of new certificate if recertified), etc. Details of the revised milestones are provided in the 'Additional Information' section, below. Based on the adjustment to milestones, there are no active milestones this year for this condition.
Progress on Condition (Year 4)	N.B. See the 'Additional information' section for the revised milestones that now apply to this condition. These are the same milestones as apply for Condition 2-6. <u>Milestones Associated with New Stock Assessments on Dolphin Populations</u> M-I revised 2 Revised survey methodology for a new stock assessment for Eastern Tropical Pacific dolphin populations was first presented at the AIDCP meeting in 2018 (Oedekoven et al. 2018). The methodology included the proposal that a trial survey be undertaken in Autumn 2019, with a full survey to be undertaken, subsequently, in Autumn 2020. The Year 2 audit of the PAST fishery reported that a 14 day trial cruise was undertaken in November 2019 aboard the Mexican research vessel Dr Jorge Carranza Fraser. The intent was to test several components of the methodology proposed to undertake a full field survey for the dolphin population survey, including the suitability of the vessel as a survey platform, the ability to use drones to detect dolphin schools directly ahead of the survey vessel to assess trackline detection probability (g(0)), the ability to collect data on the dolphin school size and species composition using the video footage, and the utility of a machine-learning algorithm to calibrate estimates of species and number made by the ship-based observers. As noted at that time, the trial survey cruise report was made available to the audit team (Oedekoven et al. 2020); it was reported that while the Dr. Jorge Carranza Fraser was proven to be appropriate for undertaking the work, contrary to the methodological requirements the drones employed for the survey were not able to provide sufficient endurance, camera image resolution was too low, transmitted video footage was of insufficient quality due to data compression and other issues, and there was no on-board back-up video storage capability. Further, one drone was lost and only one pilot was able to fly the drones successfully. Together, these issues meant that whilst some calibration of trackline detection and counts by species could occur, the test was not sufficiently successful to confirm the feasibility of the methodology for undertaking a full survey (120 days). Another trial was considered essential before being able to undertake a full survey. However, from early 2020, the Covid-19 pandemic caused very significant disruption worldwide, including with the ability to coordinate complex, multi-agency and multi-nation projects, and then to undertake work at sea. In this regard, a variation request was submitted to the MSC¹⁰, seeking an additional two years to meet the conditions; this was accepted, and this condition was extended and new milestones set, as indicated in the 'Additional Information' section, below.

⁹ <https://cert.msc.org/FileLoader/FileLinkDownload.aspx/GetFile?encryptedKey=1Msjcxkx1eH5gXMQEmtkoZyvgKb/xnzqr4TWFZQaTlew1qZcTE3An4e1uL25dYnW>

¹⁰ <https://cert.msc.org/FileLoader/FileLinkDownload.aspx/GetFile?encryptedKey=1Msjcxkx1eH5gXMQEmtkoZyvgKb/xnzqr4TWFZQaTlew1qZcTE3An4e1uL25dYnW>

	After the initial trial survey, efforts were made to secure further funding for the additional trial and subsequent stages of the work through the AIDCP research budget, but these ultimately proved unsuccessful. The second trial survey was nevertheless listed as Project H.8.b in the recently published IATTC staff activities and research plan (IATTC 2022b), and although it was noted in that document that funding had not been secured, PAST has now committed to funding that work. Payment for the initial steps of the project has been transferred to the IATTC to hold in trust (confirmed by e-mail, October 2022). The Audit team was also provided with a document entitled 'Terms and conditions updated' from the University of St. Andrews, dated 7th October 2022, that was confirmed Dr. Oedekoven's willingness to engage in the project. It is noted that there are various caveats and conditions that need to be met for Dr. Oedekoven's continued engagement (e.g., payment is delivered on time, modifications to the Dr Jorge Carranza Fraser needed for the dolphin observers to operate are completed on time), but we consider that these issues are for the PAST and the project management process to now manage going forward. Although there is clearly progress on the condition, the M-I revised 2 milestone is not met. As such, the condition is behind target. Given the relatively short time remaining for the condition, the milestones are not adjusted for the condition. <u>Milestones related to Mother-Calf Separation</u> M-II DOL revised B.2 The project to investigate the risks posed by mother-calf separation during fishing operations was not funded when originally proposed at the IATTC in 2017, but was listed as Project H.8.c in the recently published IATTC staff activities and research plan (IATTC 2022b). As with the population survey, it was noted in the IATTC 2022b document that funding had not been secured, but PAST has also now committed to funding that work, with payments having been made. A key early part of the project was to hold an expert workshop on development of a detailed field protocol, and this was undertaken in September 2022; a workshop report is anticipated in the near future (IATTC, pers. comm.). The IATTC has also advertised for a consultancy opportunity to undertake the cow-calf separation study (https://www.iattc.org/getattachment/425bab9f-ae3a-4692-b94c-f9758609b0c1/Consultancy-announcement-dolphin-cow-calves-experiment.pdf?lang=en-US), with the aim of undertaking fieldwork in the latter stages of 2023. This milestone is on target. ----- In summary, the component of this condition related to the new stock assessments on dolphin populations is behind target, but the component of the work related to mother-calf separation is on target. Overall, therefore, the condition is behind target.
Status	Behind target
Additional information	<u>Changes undertaken at Year 2</u> <u>Milestones Associated with New Stock Assessments on Dolphin Populations</u> Following the variation request that was accepted by the MSC, milestones MI-DOL 4, MI-DOL 5, MI-DOL 6 and MI-DOL 7 are rescinded, and revised milestones are set for this condition, as follows: • M-I revised 2 (Year 4 audit). Provide evidence demonstrating that one season of dolphin abundance surveys has been successfully executed, and that records as needed to generate the dolphin abundance estimates exist.

- **M-I revised 3** (Year 5 / Year 0 of new certificate if recertified). Provide the results of the dolphin abundance surveys and new dolphin population estimates for the Eastern Tropical Pacific Ocean.
- **M-I revised 4** (Year 6 / Year 1 of new certificate if recertified). Provide evidence of trends in dolphin populations which will provide evidence that:
 - 1) The effects of dolphin sets in the PAST fishery on dolphins are known and are highly likely to be within limits of national and international requirements for their protection,
 - 2) Direct effects of dolphin sets on dolphins have been considered and are known to be highly unlikely to create unacceptable impacts,
 - 3) The fishery does not hinder recovery of ETP species,
 - 4) There is a strategy in place for managing the fishery's impact on ETP species, if any, including measures to minimize mortality, which is designed to be highly likely to achieve national and international requirements for the protection of ETP species,
 - 5) There is an objective basis for confidence that the strategy will work,
 - 6) The strategy is being implemented successfully, and
 - 7) Information is sufficient to measure trends and support a full strategy to manage impacts on ETP species.

We note three issues:

- d) M-I revised 4 is similar to the old milestone M-I DOL 6, but the text 'or are not' (or 'or do not') is removed from sections 1, 2 and 3. This is because this text would allow the condition to be met without the SG80 requirement being met.
- e) Old milestone M-I DOL 6 included SG80 requirements from PI 2.3.1, PI 2.3.2 and PI 2.3.3, therefore addressing issues beyond this condition alone. However, in recognising the interconnected nature of Conditions 2-6, 2-7, 2-8, 2-9, 2-10 and 2-11, this wording is retained (except for the 'or are not' / 'or do not' text, as in part a), above).
- f) The components of old milestone M-I DOL 7 have not been incorporated into these revised milestones, because meeting M-I DOL 7 was contingent upon agreement on new DMLs being reached at the IATTC, which is not strictly necessary in this case because of the fishery-specific nature of the Principle 2 assessment (unlike the requirements for management in Principle 1, which are stock-wide). We consider that if milestone M-I revised 4 is met, then the SG80 requirement for PI2.3.3 SIb will also be met in full.

Changes undertaken at Year 3 (correcting an absence of changes at year 2)

Milestones related to Mother-Calf Separation

Reflecting the VR that was accepted last year, the existing M-II DOL milestones are moved forward by two years and are now 'revised'.

M-II DOL revised B.2 (Year 4 audit). Provide evidence to the auditors that the research program is being implemented.

M-II DOL revised B.3 (Year 5 / Year 0 of new certificate if recertified). Provide evidence to the auditors of the preliminary findings and recommendations of the research program including determinations as to whether mother-calf separation is indeed occurring and in what order of magnitude, as well as if additional information is needed to expand the research program in order to ratify preliminary conclusions.

M-II DOL revised B.4 (Year 6 / Year 1 of new certificate if recertified). Provide evidence that the preliminary results of the research program are been taken into consideration in the

	overall management objectives of the IATTC/AIDCP including their possible inclusion in the determination of the DMLs and stock/per-year mortality limits. M-II DOL revised B.5 (Year 6 / Year 1 of new certificate if recertified). Provide evidence to the auditor showing that the effects of the fishing operation on dolphins are known and are highly likely to be within limits of national and international requirements for their protection. M-II DOL revised B.6 (Year 6 / Year 1 of new certificate if recertified). Provide evidence to show that all observed and potential fishery effects are highly unlikely to create unacceptable impacts on ETP species and significantly curtail their reproductive rate.
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Condition 2-8 (PI 2.3.2 Sib – Dolphin sets)

Performance Indicator	2.3.2, Sib
Score	65
Justification	<u>Dolphins:</u> The current system of DMLs does not address all sources of risk to dolphin populations, and stress effects on reproductive rates are not currently part of the DML system. The doubts that exist over the level of depletion that has occurred and the population trends that should be expected prevented the team concluding that there is an objective basis for confidence that the strategy will achieve the overarching objectives of the Performance Indicator, which include the stipulation that a management strategy shall "ensure the fishery does not hinder recovery of ETP species". DMLs are therefore considered to be one measure in a currently incomplete strategy that does not collect data on or measure trends in the status of affected dolphin populations even though there is a plausible argument that unobserved effects, such as stress-related impacts, may have diminished reproductive output and could be hindering recovery. Therefore, the team feels that within the present evaluation framework the existing measures (DMLs) have to be considered likely to work and effective (SG 60 met), but that there is not an objective basis for confidence that the strategy will work to ensure that recovery is not hindered (SG 80), based on information directly about the fishery and particularly the species involved. This meets the requirements of the SG 60 level but not of the SG 80 level.
Condition	<u>Dolphins:</u> By the fourth first year reassessment annual surveillance, provide evidence that there is an objective basis for confidence that the strategy will work (to ensure the fishery does not hinder recovery of ETP species), based on information directly about the fishery or species involved
Condition Start	PCR
Condition Deadline	fourth first year reassessment annual surveillance
Milestones	<u>Milestones Associated with New Stock Assessments on Dolphin Populations</u> M-I DOL 4 Survey completed: By the third annual audit, the Alliance will provide evidence demonstrating that one season of dolphin abundance surveys has been successfully executed, and that all associated records exist. M-I DOL 5 Analysis of surveys and new population estimates: By the fourth annual audit, the Alliance will provide the auditors with the results of the dolphin abundance surveys and new dolphin population estimates for the ETPO. M-I DOL 6. Current abundances support that mortality is within defined limits, and do not create unacceptable population impacts or impede recovery: By the fourth annual audit, the

	Alliance will provide evidence of trends in dolphin populations which will continue to provide evidence that: 1) The effects of dolphin sets in the fishery on dolphins are known and are or are not highly likely to be within limits of national and international requirements for their protection, 2) Direct effects of dolphin sets on dolphins have been considered and are or are not known to be highly unlikely to create unacceptable impacts, 3) The fishery does or does not hinder recovery of ETP species, 4) There is a strategy in place for managing the fishery's impact on ETP species, if any, including measures to minimize mortality, which is designed to be highly likely to achieve national and international requirements for the protection of ETP species, 5) There is an objective basis for confidence that the strategy will work, 6) The strategy is being implemented successfully, and 7) Information is sufficient to measure trends and support a full strategy to manage impacts on ETP species. <u>M-I DOL 7 Surveys inform DMLs:</u> By the fourth annual audit, the Alliance will provide evidence that the IATTC has survey results and that there is evidence demonstrating how these data have been used for the determination of DMLs for the fishery to continue to ensure that the fishery does not hinder the protection and recovery of dolphin species. <u>Milestones related to Mother-Calf Separation</u> M-II DOL B.1 By the first annual audit, the Alliance will provide evidence that shows that a research program has been designed in coordination with the IATTC scientific staff to be implemented during the first year of certification. M-II DOL B.2 By the second annual audit, the Alliance will provide evidence to the auditors that the research program is being implemented. M-II DOL B.3 By the third annual audit, the Alliance will provide evidence to the auditors of the preliminary findings and recommendations of the research program including determinations as to whether mother-calf separation is indeed occurring and in what order of magnitude, as well as if additional information is needed to expand the research program in order to ratify preliminary conclusions. M-II DOL B.4 By the fourth annual audit, the Alliance will provide evidence that the preliminary results of the research program are been taken into consideration in the overall management objectives of the IATTC/AIDCP including their possible inclusion in the determination of the DMLs and stock/per-year mortality limits. M-II DOL B.5 By the fourth annual audit, the Alliance will provide evidence to the auditor showing that the effects of the fishing operation on dolphins are known and are highly likely to be within limits of national and international requirements for their protection. M-II DOL B.6 By the fourth annual audit, the Alliance will provide evidence to show that all observed and potential fishery effects are highly unlikely to create unacceptable impacts on ETP species and significantly curtail their reproductive rate.
Client Action Plan	Refer to the following section(s) of Client Action Plan in the PCR: Research to Arrive at New Dolphin Population Estimates in the Eastern Tropical Pacific Ocean (ETPO) Section I. Commitments to Support/Catalyse Research for New Estimates of Dolphin Populations Goal: The main objective of this research is to arrive at dolphin populations estimates for the ETPO by the year 2020. The Alliance is committed to conduct research on Direct and Indirect Impacts (See Section II Dolphin Action Plan for details) B. Proposed Action Plan on Mother-Calf Separation

	Goal: To determine whether mother and calves get separated during the follow up, catch and release phase of the fishing operation.
Consultation on condition	Letters of Support below from CONAPESCA and IATTC were provided to SCS Global Services as the fishery's Conformity Assessment Body (CAB) when the fishery was certified (Morgan et al. 2017).
Progress on Condition (Year 3)	PI 2.3.2 is a management PI, and therefore Condition 2-8 <u>is</u> eligible for an extension under Derogation 6. However, the milestones for this PI are identical to those provided originally for Conditions 2-6 and 2-7, which are on the outcome PI 2.3.1, and which are therefore not eligible for the extension. Noting 7.28.16.4 (MSC 2020), there is no merit or value in extending the timeline for Condition 2-8 because the requisite work must be completed by the deadline for Conditions 2-6 and 2-7. <u>Milestones Associated with New Stock Assessments on Dolphin Populations</u> M-I revised 2 is the next milestone that is active in this part of the Condition – it is not effective until Year 4, however. <u>Milestones related to Mother-Calf Separation</u> Last year the audit reported this part of the condition as being behind target. However, a Variation Request (VR)¹¹ was submitted and granted that covered the entire condition. Not allowing additional time for the mother-calf separation work under the Condition in the year 2 audit report was therefore an error that is required to be corrected at this audit. The client has continued to press for the mother-calf separation work to be undertaken through a request to the IATTC, but funding has not yet been agreed. However, on the basis that the Condition has been extended by two years under the VR, the Year 2 milestone is now effective for Year 4, and the Year 3 milestone for (Year 5 / Year 0 of new certificate if recertified), etc. Details of the revised milestones are provided in the 'Additional Information' section, below. Based on the adjustment to milestones, there are no active milestones this year for this condition.
Progress on Condition (Year 4)	N.B. See the 'Additional information' section for the revised milestones that now apply to this condition. These are the same milestones as apply for Condition 2-6. <u>Milestones Associated with New Stock Assessments on Dolphin Populations</u> M-I revised 2 Revised survey methodology for a new stock assessment for Eastern Tropical Pacific dolphin populations was first presented at the AIDCP meeting in 2018 (Oedekoven et al. 2018). The methodology included the proposal that a trial survey be undertaken in Autumn 2019, with a full survey to be undertaken, subsequently, in Autumn 2020. The Year 2 audit of the PAST fishery reported that a 14 day trial cruise was undertaken in November 2019 aboard the Mexican research vessel Dr Jorge Carranza Fraser. The intent was to test several components of the methodology proposed to undertake a full field survey for the dolphin population survey, including the suitability of the vessel as a survey platform, the ability to use drones to detect dolphin schools directly ahead of the survey vessel to assess trackline detection probability ($g(0)$), the ability to collect data on the dolphin school size and species composition using the video footage, and the utility of a machine-learning algorithm to calibrate estimates of species and number made by the ship-based observers. As noted at that time, the trial survey cruise report was made available to the audit team (Oedekoven et al. 2020); it was reported that while the Dr. Jorge Carranza Fraser was proven

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	to be appropriate for undertaking the work, contrary to the methodological requirements the drones employed for the survey were not able to provide sufficient endurance, camera image resolution was too low, transmitted video footage was of insufficient quality due to data compression and other issues, and there was no on-board back-up video storage capability. Further, one drone was lost and only one pilot was able to fly the drones successfully. Together, these issues meant that whilst some calibration of trackline detection and counts by species could occur, the test was not sufficiently successful to confirm the feasibility of the methodology for undertaking a full survey (120 days). Another trial was considered essential before being able to undertake a full survey. However, from early 2020, the Covid-19 pandemic caused very significant disruption worldwide, including with the ability to coordinate complex, multi-agency and multi-nation projects, and then to undertake work at sea. In this regard, a variation request was submitted to the MSC¹², seeking an additional two years to meet the conditions; this was accepted, and this condition was extended and new milestones set, as indicated in the 'Additional Information' section, below. After the initial trial survey, efforts were made to secure further funding for the additional trial and subsequent stages of the work through the AIDCP research budget, but these ultimately proved unsuccessful. The second trial survey was nevertheless listed as Project H.8.b in the recently published IATTC staff activities and research plan (IATTC 2022b), and although it was noted in that document that funding had not been secured, PAST has now committed to funding that work. Payment for the initial steps of the project has been transferred to the IATTC to hold in trust (confirmed by e-mail, October 2022). The Audit team was also provided with a document entitled 'Terms and conditions updated' from the University of St. Andrews, dated 7th October 2022, that was confirmed Dr. Oedekoven's willingness to engage in the project. It is noted that there are various caveats and conditions that need to be met for Dr. Oedekoven's continued engagement (e.g., payment is delivered on time, modifications to the Dr Jorge Carranza Fraser needed for the dolphin observers to operate are completed on time), but we consider that these issues are for the PAST and the project management process to now manage going forward. Although there is clearly progress on the condition, the M-I revised 2 milestone is not met. As such, the condition is behind target. Given the relatively short time remaining for the condition, the milestones are not adjusted for the condition. <u>Milestones related to Mother-Calf Separation</u> M-II DOL revised B.2 The project to investigate the risks posed by mother-calf separation during fishing operations was not funded when originally proposed at the IATTC in 2017, but was listed as Project H.8.c in the recently published IATTC staff activities and research plan (IATTC 2022b). As with the population survey, it was noted in the IATTC 2022b document that funding had not been secured, but PAST has also now committed to funding that work, with payments having been made. A key early part of the project was to hold an expert workshop on development of a detailed field protocol, and this was undertaken in September 2022; a workshop report is anticipated in the near future (IATTC, pers. comm.). The IATTC has also advertised for a consultancy opportunity to undertake the cow-calf separation study (https://www.iattc.org/getattachment/425bab9f-ae3a-4692-b94c-f9758609b0c1/Consultancy-announcement-dolphin-cow-calves-experiment.pdf?lang=en-US), with the aim of undertaking fieldwork in the latter stages of 2023. This milestone is on target.
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¹² <https://cert.msc.org/FileLoader/FileLinkDownload.aspx/GetFile?encryptedKey=1Mscjckx1eH5gXMQEmtkoZyvgKb/xnzqr4TWfZQaTlew1gZcTE3An4e1ul25dYnW>

	----- In summary, the component of this condition related to the new stock assessments on dolphin populations is behind target, but the component of the work related to mother-calf separation is on target. Overall, therefore, the condition is behind target.
Status	Behind target
Additional information	<u>Changes undertaken at Year 2</u> <u>Milestones Associated with New Stock Assessments on Dolphin Populations</u> Following the variation request that was accepted by the MSC, milestones MI-DOL 4, MI-DOL 5, MI-DOL 6 and MI-DOL 7 are rescinded, and revised milestones are set for this condition, as follows: • M-I revised 2 (Year 4 audit). Provide evidence demonstrating that one season of dolphin abundance surveys has been successfully executed, and that records as needed to generate the dolphin abundance estimates exist. • M-I revised 3 (Year 5 / Year 0 of new certificate if recertified). Provide the results of the dolphin abundance surveys and new dolphin population estimates for the Eastern Tropical Pacific Ocean. • M-I revised 4 (Year 6 / Year 1 of new certificate if recertified). Provide evidence of trends in dolphin populations which will provide evidence that: 1) The effects of dolphin sets in the PAST fishery on dolphins are known and are highly likely to be within limits of national and international requirements for their protection, 2) Direct effects of dolphin sets on dolphins have been considered and are known to be highly unlikely to create unacceptable impacts, 3) The fishery does not hinder recovery of ETP species, 4) There is a strategy in place for managing the fishery's impact on ETP species, if any, including measures to minimize mortality, which is designed to be highly likely to achieve national and international requirements for the protection of ETP species, 5) There is an objective basis for confidence that the strategy will work, 6) The strategy is being implemented successfully, and 7) Information is sufficient to measure trends and support a full strategy to manage impacts on ETP species. We note three issues: a) M-I revised 4 is similar to the old milestone M-I DOL 6, but the text 'or are not' (or 'or do not') is removed from sections 1, 2 and 3. This is because this text would allow the condition to be met without the SG80 requirement being met. b) Old milestone M-I DOL 6 included SG80 requirements from PI 2.3.1, PI 2.3.2 and PI 2.3.3, therefore addressing issues beyond this condition alone. However, in recognising the interconnected nature of Conditions 2-6, 2-7, 2-8, 2-9, 2-10 and 2-11, this wording is retained (except for the 'or are not' / 'or do not' text, as in part a), above). c) The components of old milestone M-I DOL 7 have not been incorporated into these revised milestones, because meeting M-I DOL 7 was contingent upon agreement on new DMLs being reached at the IATTC, which is not strictly necessary in this case because of the fishery-specific nature of the Principle 2 assessment (unlike the requirements for management in Principle 1, which are stock-wide). We

	consider that if milestone M-I revised 4 is met, then the SG80 requirement for PI2.3.3 SIb will also be met in full. <u>Changes undertaken at Year 3 (correcting an absence of changes at year 2)</u> <u>Milestones related to Mother-Calf Separation</u> Reflecting the VR that was accepted last year, the existing M-II DOL milestones are moved forward by two years and are now 'revised'. M-II DOL revised B.2 (Year 4 audit). Provide evidence to the auditors that the research program is being implemented. M-II DOL revised B.3 (Year 5 / Year 0 of new certificate if recertified). Provide evidence to the auditors of the preliminary findings and recommendations of the research program including determinations as to whether mother-calf separation is indeed occurring and in what order of magnitude, as well as if additional information is needed to expand the research program in order to ratify preliminary conclusions. M-II DOL revised B.4 (Year 6 / Year 1 of new certificate if recertified). Provide evidence that the preliminary results of the research program are being taken into consideration in the overall management objectives of the IATTC/AIDCP including their possible inclusion in the determination of the DMLs and stock/per-year mortality limits. M-II DOL revised B.5 (Year 6 / Year 1 of new certificate if recertified). Provide evidence to the auditor showing that the effects of the fishing operation on dolphins are known and are highly likely to be within limits of national and international requirements for their protection. M-II DOL revised B.6 (Year 6 / Year 1 of new certificate if recertified). Provide evidence to show that all observed and potential fishery effects are highly unlikely to create unacceptable impacts on ETP species and significantly curtail their reproductive rate.
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Condition 2-9 (PI 2.3.2 SIc – Dolphin sets)

Performance Indicator	PI 2.3.2, SIc
Score	65
Justification	<u>Dolphins:</u> The reports provided by the IDCP (e.g. AIDCP 2014a) provide evidence that attention is paid to key aspects the strategy and that it is being successfully implemented. However, there is also evidence of a number of deficiencies in the strategy and its implementation which have been outlined in the background sections and in the rationale for Scoring Issue b above. In particular, these concern failures to address evidence of bias among observer programs and under-reporting of mortalities, and the likelihood of other unreported or unobserved mortality. These are likely sources of mortality that are not accounted for in the current reporting or allowed for in the setting of DMLs and constitute evidence that the strategy is not being implemented as successfully as indicated from the current reports. There is additional evidence that other dolphin protection measures- in this case net alignment- are not being implemented with complete success. Industry interviews indicated that there are shortcomings in procedures to ensure net alignment is checked regularly, and the team was not provided records of regular inspections of net alignment. The requirements of the SG 80 level are therefore not met.
Condition	<u>Dolphins:</u> By the fourth first year reassessment annual surveillance, provide evidence that the strategy is being implemented successfully.

Condition Start	PCR
Condition Deadline	fourth first year reassessment annual surveillance
Milestones	<u>Milestones associated with Net Alignment</u> M-III DOL A.1 By the first annual audit the Alliance will have designed the net alignment program that has been sanctioned by the IATTC and/or the National Observer program, containing a proposed scheduled for all Alliance vessels to performed net alignments. M-III DOL A.2 By the second annual audit, the net alignment program should have commenced its implementation. The Alliance will provide the auditors with evidence that the program is progressing according to schedule. M-III DOL A.3 On the third and fourth annual audits, the Alliance will continue to provide evidence to the auditors that the net alignment program is been successfully implemented, and inform them of any deviations. <u>Milestones associated with Consistency between IATTC Observer Program and National Observer Programs.</u> M-III DOL B.1 For the first annual audit, the Alliance will provide evidence of all initiatives taken by the Alliance with respect to CONAPESCA, other IATTC members, NGOs and within the IATTC itself to introduce the proposed resolution. M-III DOL B.2 By the second annual audit, the Alliance will provide evidence that a Proposed Resolution has been introduced to the IATTC Commission, and will report on the status of such proposal. M-III DOL B.3 By the third annual audit, the Alliance will provide evidence that the Commission has approved the resolution calling for regular evaluations to ensure consistency between the observer programs. M-III DOL B.4 By the fourth annual audit, the Alliance will provide evidence that the approved resolution has been implemented by the IATTC and that the IATTC has conducted evaluations of the IATTC program and national observer programs to ensure they are consistent, and that the strategy is being implemented successfully. <u>Milestones related to Unaccounted/unobserved mortalities</u> M-II DOL A.1 By the first audit, the auditors will select and interview a sample (series) of observers (statistically appropriate and with appropriate stratification of relevant factors e.g. national/IATTC program, experience etc.) to discuss issues related to unobserved dolphin mortalities. The CAB will provide all outputs from observer interviews (redacted as needed) into the annual surveillance report. The client will provide all data resulting from this action to the IATTC. All subsequent M-II clauses are to be considered, "If deemed necessary by SCS based on results from observer interviews." M-II DOL A.2 By the second audit, the Alliance will provide additional evidence demonstrating the presence/absence of unobserved dolphin mortality at the relevant point of operations. All data resulting from this action will be provided to the IATTC for its potential inclusion into the determination of DMLs and/or possible modifications to fishing procedures. M-II DOL A.3 By the third audit, the Alliance will present verifiable evidence to conclude the presence/absence of un-observed dolphin mortality in fishing sets. All related data and results will be provided to the IATTC for their potential inclusion into the determination of DMLs. M-II DOL A.4 By the fourth audit, the Alliance will provide evidence that the results of the independent study are being used to inform the management of the fishery's impact on dolphins and the determination of DMLs.

	M-II DOL A.5. By the fourth audit, the Alliance will provide evidence that the effects of the fishing operations on dolphins are known and highly likely to be within the limits of national and international requirements for their protection.
Client Action Plan	Refer to the following section(s) of Client Action Plan in the PCR: The Alliance is committed to Implement Additional Measures to Minimize Impacts on Dolphins (See Section III Dolphin Action Plan) A. Proposed Action Plan on Net Alignment. Goal: To have the nets of the Alliance vessels aligned at least once a year to reduce the risk of “disaster sets” that would result in higher dolphin mortality. B. Proposed Action Plan on Consistency between IATTC Program and National Observer Programs. Goal: To have credible information resulting from the IATTC and National Observer programs through consistency in their data. A. Proposed Action Plan on Unaccounted/unobserved Mortalities Goal: Determine whether unobserved and/or unreported mortalities during fishing operations are occurring.
Consultation on condition	Letters of Support below from CONAPESCA and IATTC were provided to SCS Global Services as the fishery’s Conformity Assessment Body (CAB) when the fishery was certified (Morgan et al. 2017).
Progress on Condition (Year 3)	PI 2.3.2 is a management PI, and therefore Condition 2-9 <u>is</u> eligible for an extension under Derogation 6. Therefore, the Year 3 milestones are not effective this year. Nevertheless, progress is noted against the Year 3 milestones, and the status as indicated in the following section reflects the status after considering any progress. <u>Milestones associated with Net Alignment</u> M-III DOL A.3 The audit team was provided with a summary sheet confirming that twelve PAST vessels undertook a verification check for the presence of appropriate protective equipment for dolphins and net alignment (configuration) during 2020, with a further 18 undergoing checks in 2021 (to date). As was determined at the last audit, it is clear that the alignment program is progressing to schedule and this milestone is met. <u>Milestones associated with Consistency between IATTC Observer Program and National Observer Programs.</u> M-III revised 3 At the year 3 audit, the Client presented a terms of reference for a project to evaluate the IATTAC and Mexican national observer programmes (PAST 2021ba). The particular objectives included to: • Determine the performance, effectiveness and operational efficiency of the Mexican national observer programme on board Mexican tuna vessels operating in the Eastern Pacific Ocean. • Determine the operational consistency of the Mexican national observer programme in relation to the international observer standards established within the AIDCP and operated at the IATTC. • Determine the practices associated with observing and reporting interactions with dolphins in the Mexican national observer programme in comparison to the IATTC observer programme. Following publication of the terms of reference, Empresa Sistemas y Servicios Ambientales, SA de CV (SISA) submitted a proposal in June 2021 that was accepted. The SISA consultants have

	experience of working with observer programmes and the Mexican tuna fishery, and appear to be well-qualified to undertake the work. It is considered that this milestone is met.
Progress on Condition (Year 3)	PI 2.3.2 is a management PI, and therefore Condition 2-9 was eligible for an extension under Derogation 6. Progress against the Year 3 milestones was nevertheless evaluated last year, and progress against the Year 4 milestones is evaluated this year. <u>Milestones associated with Net Alignment</u> M-III DOL A.3 The audit team was provided with a summary sheet confirming that 20 PAST vessels undertook a verification check for the presence of appropriate protective equipment for dolphins and net alignment (configuration) during 2021, with a further 25 undergoing checks in 2022 (to date). The individual net alignment reports were provided to the Audit Team, with no adverse comments received on any vessel. The Audit Team notes that the only work identified as needing to be done during the checks was the remarking of mooring points on the net of one vessel. It is determined that the program to ensure net alignment is checked regularly is in place, and this final year 4 milestone is considered met. <u>Milestones associated with Consistency between IATTC Observer Program and National Observer Programs.</u> M-III revised 4 At the Year 4 audit, PAST presented a report (Sansores et al. 2022) by the consultancy Sistemas y Servicios Ambientales, S.A. de C.V., entitled: “Evaluación de la consistencia del programa nacional de observadores de México, de conformidad con el acuerdo internacional para la conservación de delfines, APICD” (Google translated as ‘Assessment of the consistency of the national observer programme of Mexico, in accordance with the International Agreement for the Conservation of Dolphins, AIDCP’). The report noted that the two observer programs share the same objectives derived from the AIDCP, and focused on three key performance indicators: a) the training of observers, b) registration and collection of data on dolphin mortality, and c) the storage and transmission of data. Key findings included that there were some differences between the two programmes in the percentage of complete trips recorded with zero mortality, but in the last ten years the Mexican programme reporting a higher percentage of zero mortality trips in 2012, 2013, 2015, 2016, 2017, 2018 and 2021, but the IATTC programme reporting a higher percentage in 2014, 2019 and 2020. The difference in most cases were small, however, and only in 2018 did the difference exceed 10%. Since 2013, both observer groups reported that >94% of sets occurred without mortality, although the Mexican observer programme has consistently reported approximate 1% more sets (i.e., 1 set more per hundred) as having zero mortality. 2018 again represented a peak, in that approximately 1.5% more sets were recorded as zero mortality by the Mexican observer programme. The report concluded (Google translated): 1) The same levels of training of the field personnel are observed, with high performance indices in the recruitment of personnel; in the permanence and operational efficiency and attention to the demand for observers by the fishing fleet and is consistent with the AIDCP; 2) Observer requirements on board the Mexican fishing fleet are covered efficiently and with the standards required in Annex II; 3) The results of the records of the main measurable parameters, such as the mean annual mortality of dolphins and the percentage of sets on dolphins without mortality show the same patterns of behaviour in the two programs (PNO and international) and, in general, they are comparable. However, there is an opportunity for improvement to obtain a

	more accurate record of these two elements necessary to meet the objectives of the AIDCP. 4) The data storage and transmission processes are compatible with those developed in the international program for observers. Overall, while there was a consistent difference in the overall reporting rate of zero-mortality sets, it was at a very low rate of around one set in 100, which has no impact on the overall ability of the Mexican programme to deliver data that is consistent with the AIDCP requirements. The Audit Team considers that the report comprises a credible independent evaluation, and demonstrates that the Mexican observer programme is comparable to and consistent with that of the IATTC programme. ----- In summary, the net alignment programme is in place and provides confidence that the appropriate tools and procedures can be followed. The review of the Mexican observer programme has also been completed and is considered to provide confidence that the Mexican programme is consistent with the IATTC programme in its ability to provide useful and reliable data on dolphin mortality. Overall, therefore, this condition is closed.
Status	This condition is closed , and rescoring is provided in Section 4.6.
Additional information	<u>Changes undertaken at Year 2</u> <u>Milestones associated with Consistency between IATTC Observer Program and National Observer Programs</u> Milestones M-III DOL B.3 and M-III DOL B.4 are rescinded, and revised milestones are set for this condition, as follows: • M-III revised 3 (Year 3 audit). Present a plan and provide evidence that a suitably qualified independent party has been identified to undertake a review of the Mexican national observer program to ensure it is consistent in scope and implementation to the IATTC program, in general but also specifically with respect to the practices associated with the observation and reporting of dolphin interactions. • M-III revised 4 (Year 4 audit). Provide evidence demonstrating that a credible independent evaluation of the Mexican national observer program has been undertaken to ensure it is consistent with the IATTC program and that the strategy is being implemented successfully. <u>Changes undertaken at Year 3</u> Condition 2-9 was set as a four-year condition, but is eligible for an extension under Derogation 6¹³. Following interpretation¹⁴, a revised timeline is set for this Condition to close in year 1 of a new certificate, assuming the fishery is recertified. All Year 3 milestones will be repeated at the Year 4 audit, and progress against the Year 4 milestones will then be considered at the Year 1 audit of a new certificate.

¹³ <https://www.msc.org/docs/default-source/default-document-library/for-business/program-documents/chain-of-custody-supporting-documents/msc-derogation-6-covid-19-fishery-conditions-extension.pdf>

¹⁴ <https://mscportal.force.com/interpret/s/article/Derogation-6-Covid-19-Fishery-Conditions-Extension>

Condition 2-10 (PI 2.3.3 Sia – Dolphin sets)

Performance Indicator	2.3.3, Sia
Score	65
Justification	<u>Dolphins:</u> The information collected by the IATTC and national observer programs is routinely used to quantitatively estimate the level of direct fishery related mortality and to set DMLs. The level of unobserved mortalities of separated calves has also been estimated as being up to 15% for spotted dolphins (Reilly et al. 2005). More recently, however, there has been additional evidence provided about declines in reproductive output in response to fishing effort (Cramer et al. 2008) and a range of studies suggesting plausible reasons why such fishery effects may be preventing rebuilding of dolphin stocks (see references in Restrepo 2012). Population level effects of these proposed effects are not available. As noted under 2.3.1, however, there are also uncertainties concerning a range of matters, including the potential for unobserved mortalities and stress effects on reproductive output, which result in divergent scientific views about the reliability of current quantitative estimates of fishery impacts. The assessment team has considered these to be credible concerns, supported by some evidence and therefore formed the view that the full impact of fishing is currently not able to be estimated quantitatively. This meets the requirements of the SG 60 level but not of the SG 80 level.
Condition	<u>Dolphins:</u> By the fourth first year reassessment annual surveillance, provide evidence to show that sufficient information is available from dolphin sets to allow fishery related mortality and the impact of fishing to be quantitatively estimated for dolphins.
Condition Start	PCR
Condition Deadline	fourth first year reassessment annual surveillance
Milestones	<u>Milestones Associated with New Stock Assessments on Dolphin Populations</u> M-I DOL 1 Written support for surveys: By the first annual audit, the Alliance will 1) solicit support for new assessments of dolphin abundance, with the capacity to produce meaningful trends in abundance (calibrated in a fashion considered acceptable by leading international scientists, such that historical data can be connected to new data to create population trajectories⁹), from IATTC members and NGOS actively participating in the fishery, and 2) provide representative evidence of the communications and initiatives undertaken before the IATTC, its members, and NGOs regarding these efforts, including letters of support and/or agreements reached towards this goal. M-I DOL 2a Outputs from abundance workshop: By the first annual audit, the Alliance will provide a link at the IATTC where all pertinent documentation and deliverables resulting from the IATTC workshop held in October 2016 (and co-financed by the Alliance) are stored including agreed-upon next steps toward ensuring that the dolphin survey is completed within three years of the issuance of the MSC certificate.¹⁰ M-I DOL 2b Confirmation of basic methods: By the first annual audit, the Alliance will provide written evidence describing decisions that have been taken defining the general design and methodology for the dolphin surveys, including rationale for why the selected methods were prioritized over other methods and who (name, affiliation) was involved in the decision-making. The survey will be designed and implemented by the IATTC in coordination with knowledgeable scientists, including those outside of governments, based on best available

	science, comparable with the previous series of surveys ending in 2006, and as possible, noting the challenge that NOAA has yet to release raw data from the surveys. M-I DOL 2c Confirmation of basic budget: By the first annual audit, the Alliance will provide funds to the IATTC to contract a full-time scientist to lead the scientific working group and to support the funding working group, in order to begin conducting surveys after the second annual audit. M-I DOL 2d Agreement with IATTC: By the first annual audit, the Alliance will provide a copy of the notarized binding agreement that was made with IATTC upon certification that outlines an in-kind contribution in the form of two tuna vessels or one tuna vessel and one oceanographic vessel, including all supplies, crew time, and fuel needed to conduct line transect studies that are designed by lead scientists managed by the IATTC. The Alliance will also provide evidence of fundraising efforts (e.g. letters of inquiry, letters of commitment, etc.) to demonstrate that the activities are at least partially funded by interested parties and that funding is being secured. M-I DOL 3a Convening of working groups: By the first annual audit, the Alliance will provide evidence of the convening of the “funding working group” and the “scientific working group,” including evidence of the identification of roles and responsibilities within each group. M-I DOL 3b Confirmation of detailed methods: By the second annual audit, the Alliance will provide written evidence describing decisions that have been made defining the specific design and methodology for the dolphin surveys, including a description of how quantitative data will be generated, in what format and how data management will proceed. M-I DOL 3c Confirmation of logistic preparations: By the second annual audit, the Alliance will provide a detailed budget of items needed to begin conducting surveys immediately after the second annual audit, with evidence (e.g. receipts, records) that the resources required to implement the surveys are financed/purchased in order to mobilize surveys within 3-6 months after the audit. M-I DOL 4 By the second annual audit, the Alliance will provide any available evidence demonstrating the commitments of all the parties and the expected timing for commencing the scientific research program, including the identification of the responsible entity charged with implementing the program, as well as the status of funding achieved to support the program, including any deviation from the proposed program initiation, scheduled by the fall of 2018. M-I DOL 5 Analysis of surveys and new population estimates: By the fourth annual audit, the Alliance will provide the auditors with the results of the dolphin abundance surveys and new dolphin population estimates for the ETPO. M-I DOL 6. Current abundances support that mortality is within defined limits, and do not create unacceptable population impacts or impede recovery: By the fourth annual audit, the Alliance will provide evidence of trends in dolphin populations which will continue to provide evidence that: 1) The effects of dolphin sets in the fishery on dolphins are known and are or are not highly likely to be within limits of national and international requirements for their protection, 2) Direct effects of dolphin sets on dolphins have been considered and are or are not known to be highly unlikely to create unacceptable impacts, 3) The fishery does or does not hinder recovery of ETP species, 4) There is a strategy in place for managing the fishery’s impact on ETP species, if any, including measures to minimize mortality, which is designed to be highly likely to achieve national and international requirements for the protection of ETP species, 5) There is an objective basis for confidence that the strategy will work, 6) The strategy is being implemented successfully, and 7) Information is sufficient to measure trends and support a full strategy to manage impacts on ETP species. M-I DOL 7 Surveys inform DMLs: By the fourth annual audit, the Alliance will provide evidence that the IATTC has survey results and that there is evidence demonstrating how these data
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	have been used for the determination of DMLs for the fishery to continue to ensure that the fishery does not hinder the protection and recovery of dolphin species. <u>Milestones related to Mother-Calf Separation</u> M-II DOL B.1 By the first annual audit, the Alliance will provide evidence that shows that a research program has been designed in coordination with the IATTC scientific staff to be implemented during the first year of certification M-II DOL B.2 By the second annual audit, the Alliance will provide evidence to the auditors that the research program is being implemented. M-II DOL B.3 By the third annual audit, the Alliance will provide evidence to the auditors of the preliminary findings and recommendations of the research program including determinations as to whether mother-calf separation is indeed occurring and in what order of magnitude, as well as if additional information is needed to expand the research program in order to ratify preliminary conclusions. M-II DOL B.4 By the fourth annual audit, the Alliance will provide evidence that the preliminary results of the research program are been taken into consideration in the overall management objectives of the IATTC/AIDCP including their possible inclusion in the determination of the DMLs and stock/per-year mortality limits. M-II DOL B.5 By the fourth annual audit, the Alliance will provide evidence to the auditor showing that the effects of the fishing operation on dolphins are known and are highly likely to be within limits of national and international requirements for their protection. M-II DOL B.6 By the fourth annual audit, the Alliance will provide evidence to show that all observed and potential fishery effects are highly unlikely to create unacceptable impacts on ETP species and significantly curtail their reproductive rate. <u>Milestones related to Unaccounted/unobserved mortalities</u> M-II DOL A.1 By the first audit, the auditors will select and interview a sample (series) of observers (statistically appropriate and with appropriate stratification of relevant factors e.g. national/IATTC program, experience etc.) to discuss issues related to unobserved dolphin mortalities. The CAB will provide all outputs from observer interviews (redacted as needed) into the annual surveillance report. The client will provide all data resulting from this action to the IATTC. All subsequent M-II clauses are to be considered, “If deemed necessary by SCS based on results from observer interviews.” M-II DOL A.2 By the second audit, the Alliance will provide additional evidence demonstrating the presence/absence of unobserved dolphin mortality at the relevant point of operations. All data resulting from this action will be provided to the IATTC for its potential inclusion into the determination of DMLs and/or possible modifications to fishing procedures. M-II DOL A.3 By the third audit, the Alliance will present verifiable evidence to conclude the presence/absence of un-observed dolphin mortality in fishing sets. All related data and results will be provided to the IATTC for their potential inclusion into the determination of DMLs. M-II DOL A.4 By the fourth audit, the Alliance will provide evidence that the results of the independent study are being used to inform the management of the fishery’s impact on dolphins and the determination of DMLs. M-II DOL A.5. By the fourth audit, the Alliance will provide evidence that the effects of the fishing operations on dolphins are known and highly likely to be within the limits of national and international requirements for their protection.
Client Action Plan	Refer to the following section(s) of Client Action Plan in the PCR: Research to Arrive at New Dolphin Population Estimates in the Eastern Tropical Pacific Ocean (ETPO) Section I. Commitments to Support/Catalyze Research for New Estimates of Dolphin Populations

	Goal: The main objective of this research is to arrive at dolphin populations estimates for the ETPO by the year 2020. The Alliance is committed to conduct research on Direct and Indirect Impacts (See Section II Dolphin Action Plan for details) B. Proposed Action Plan on Mother-Calf Separation Goal: To determine whether mother and calves get separated during the follow up, catch and release phase of the fishing operation. A. Proposed Action Plan on Unaccounted/unobserved Mortalities Goal: Determine whether unobserved and/or unreported mortalities during fishing operations are occurring.
Consultation on condition	Letters of Support below from CONAPESCA and IATTC were provided to SCS Global Services as the fishery's Conformity Assessment Body (CAB) when the fishery was certified (Morgan et al. 2017).
Progress on Condition (Year 3)	PI 2.3.3 is an information PI, and therefore Condition 2-10 <u>is</u> eligible for an extension under Derogation 6. However, the milestones for this PI are identical to those provided originally for Conditions 2-6 and 2-7, which are on the outcome PI 2.3.1, and which are therefore not eligible for the extension. Noting 7.28.16.4 (MSC 2020), there is no merit or value in extending the timeline for Condition 2-10 because the requisite work (i.e., leading to the completion of milestones M-I revised 4 and M-II DOL revised B.6) must be completed by the deadline for Conditions 2-6 and 2-7. <u>Milestones Associated with New Stock Assessments on Dolphin Populations</u> M-I revised 1 The Condition 2-10 milestone for this part of the work to undertake a new stock assessment on dolphin populations is mirrored in Condition 2-11, but is not present in Conditions 2-6, 2-7 and 2-8. These milestones were extended under a VR submitted and accepted at the Year 2 audit¹⁵, but, as noted above, there is no merit or value in further extending the timeline for Conditions 2-10 (or 2-8 and 2-11) under Derogation 6 because the same milestones are not extended for Conditions 2-6 and 2-7. In a letter to PAST (IATTAC 2021b), the IATTC Temporary Director highlighted that there was a need to carry out a second trial study even before starting the main study, and that the work required external collaborators and the commitment of funds and other resources. The ongoing impact of Covid-19 was noted, however, and in particular the difficulties faced through the continuing absence of in-person meetings, travel restrictions for out-of-country collaborators, and because at-sea research work has been constrained greatly. Although the general approach to the second trial study and the main study are agreed and understood, and a costing estimate provided, the Audit Team is aware that there is no specific funding plan in place for the work. In the absence of <i>'an indication of how the project will be funded'</i>, it must be concluded that this milestone is not met. <u>Milestones related to Mother-Calf Separation</u> Last year the audit reported this part of the condition as being behind target. However, a Variation Request (VR) was submitted and granted that covered the entire condition. Not allowing additional time for the mother-calf separation work under the Condition was therefore an error that is required to be corrected at this audit. The client has continued to press for the mother-calf separation work to be undertaken through a request to the IATTC, but funding has not yet been agreed. However, on the basis that the Condition has been extended by two years under the VR, the Year 2 milestone is now effective for Year 4, and the Year 3 milestone for (Year 5 / Year 0 of new certificate if

¹⁵ <https://cert.msc.org/FileLoader/FileLinkDownload.aspx/GetFile?encryptedKey=1Msicxkx1eH5gXMQEmtkoZyvgKb/xnzqr4TWfZQaTlew1qZcTE3An4e1ul25dYnW>

	recertified), etc. Details of the revised milestones are provided in the 'Additional Information' section, below. Based on the adjustment to milestones, there are no active milestones this year for this part of the condition.
Progress on Condition (Year 4)	<u>Milestones Associated with New Stock Assessments on Dolphin Populations</u> M-I revised 1, M-I revised 2 Revised survey methodology for a new stock assessment for Eastern Tropical Pacific dolphin populations was first presented at the AIDCP meeting in 2018 (Oedekoven et al. 2018). The methodology included the proposal that a trial survey be undertaken in Autumn 2019, with a full survey to be undertaken, subsequently, in Autumn 2020. The Year 2 audit of the PAST fishery reported that a 14 day trial cruise was undertaken in November 2019 aboard the Mexican research vessel Dr Jorge Carranza Fraser. The intent was to test several components of the methodology proposed to undertake a full field survey for the dolphin population survey, including the suitability of the vessel as a survey platform, the ability to use drones to detect dolphin schools directly ahead of the survey vessel to assess trackline detection probability ($g(0)$), the ability to collect data on the dolphin school size and species composition using the video footage, and the utility of a machine-learning algorithm to calibrate estimates of species and number made by the ship-based observers. As noted at that time, the trial survey cruise report was made available to the audit team (Oedekoven et al. 2020); it was reported that while the Dr. Jorge Carranza Fraser was proven to be appropriate for undertaking the work, contrary to the methodological requirements the drones employed for the survey were not able to provide sufficient endurance, camera image resolution was too low, transmitted video footage was of insufficient quality due to data compression and other issues, and there was no on-board back-up video storage capability. Further, one drone was lost and only one pilot was able to fly the drones successfully. Together, these issues meant that whilst some calibration of trackline detection and counts by species could occur, the test was not sufficiently successful to confirm the feasibility of the methodology for undertaking a full survey (120 days). Another trial was considered essential before being able to undertake a full survey. However, from early 2020, the Covid-19 pandemic caused very significant disruption worldwide, including with the ability to coordinate complex, multi-agency and multi-nation projects, and then to undertake work at sea. In this regard, a variation request was submitted to the MSC¹⁶, seeking an additional two years to meet the conditions; this was accepted, and this condition was extended and new milestones set, as indicated in the 'Additional Information' section, below. After the initial trial survey, efforts were made to secure further funding for the additional trial and subsequent stages of the work through the AIDCP research budget, but these ultimately proved unsuccessful. The second trial survey was nevertheless listed as Project H.8.b in the recently published IATTC staff activities and research plan (IATTC 2022b), and although it was noted in that document that funding had not been secured, PAST has now committed to funding that work. Payment for the initial steps of the project has been transferred to the IATTC to hold in trust (confirmed by e-mail, October 2022). The Audit team was also provided with a document entitled 'Terms and conditions updated' from the University of St. Andrews, dated 7th October 2022, that was confirmed Dr. Oedekoven's willingness to engage in the project. It is noted that there are various caveats and conditions that need to be met for Dr. Oedekoven's continued engagement (e.g., payment is delivered on time, modifications to the Dr Jorge Carranza Fraser needed for the dolphin observers to operate are completed on time), but we consider that these issues are for the PAST and the project management process to now manage going forward.

¹⁶ <https://cert.msc.org/FileLoader/FileLinkDownload.aspx/GetFile?encryptedKey=1Msicxkx1eH5gXMQEmtkoZyvgKb/xnzqr4TWfZQaTlew1gZcTE3An4e1ul25dYnW>

	The M-I revised milestone from Year 3 is now clearly met and following G7.28.16.2 (MSC 2020), the original milestones are back on track within 12 months. This year's M-I revised 2 milestone is not met, however, and so the condition is again behind target. Given the relatively short time remaining for the condition, the milestones are not adjusted for the condition. <u>Milestones related to Mother-Calf Separation</u> M-II DOL revised B.2 The project to investigate the risks posed by mother-calf separation during fishing operations was not funded when originally proposed at the IATTC in 2017 but was listed as Project H.8.c in the recently published IATTC staff activities and research plan (IATTC 2022b). As with the population survey, it was noted in the IATTC 2022b document that funding had not been secured, but PAST has also now committed to funding that work, with payments having been made. A key early part of the project was to hold an expert workshop on development of a detailed field protocol, and this was undertaken in September 2022; a workshop report is anticipated in the near future (IATTC, pers. comm.). The IATTC has also advertised for a consultancy opportunity to undertake the cow-calf separation study with the aim of undertaking fieldwork in the latter stages of 2023. (https://www.iattc.org/getattachment/425bab9f-ae3a-4692-b94c-f9758609b0c1/Consultancy-announcement-dolphin-cow-calves-experiment.pdf?lang=en-US). This milestone is on target. ----- In summary, the component of this condition related to the new stock assessments on dolphin populations is behind target, but the component of the work related to mother-calf separation is on target. Overall, therefore, the condition is behind target.
Status	Behind target
Additional information	<u>Changes undertaken at Year 2</u> Milestones M-I DOL 3b, M-I DOL 3c, MI-DOL 4, MI-DOL 5, MI-DOL 6 and MI-DOL 7 are rescinded, and revised milestones are set for this condition, as follows: • M-I revised 1 (Year 3 audit). Present a revised plan as necessary to generate new abundance estimates for Eastern Tropical Pacific dolphin populations, together with an indication of how the project will be funded. • M-I revised 2 (Year 4 audit). Provide evidence demonstrating that one season of dolphin abundance surveys has been successfully executed, and that records as needed to generate the dolphin abundance estimates exist. • M-I revised 3 (Year 5 / Year 0 of new certificate if recertified). Provide the results of the dolphin abundance surveys and new dolphin population estimates for the Eastern Tropical Pacific Ocean. • M-I revised 4 (Year 6 / Year 1 of new certificate if recertified). Provide evidence of trends in dolphin populations which will provide evidence that: 1) The effects of dolphin sets in the PAST fishery on dolphins are known and are highly likely to be within limits of national and international requirements for their protection, 2) Direct effects of dolphin sets on dolphins have been considered and are known to be highly unlikely to create unacceptable impacts, 3) The fishery does not hinder recovery of ETP species,

	4) There is a strategy in place for managing the fishery's impact on ETP species, if any, including measures to minimize mortality, which is designed to be highly likely to achieve national and international requirements for the protection of ETP species, 5) There is an objective basis for confidence that the strategy will work, 6) The strategy is being implemented successfully, and 7) Information is sufficient to measure trends and support a full strategy to manage impacts on ETP species. We note three issues: a) M-I revised 4 is similar to the old milestone M-I DOL 6, but the text 'or are not' (or 'or do not') is removed from sections 1, 2 and 3. This is because this text would allow the condition to be met without the SG80 requirement being met. b) Old milestone M-I DOL 6 included SG80 requirements from PI 2.3.1, PI 2.3.2 and PI 2.3.3, therefore addressing issues beyond this condition alone. However, in recognising the interconnected nature of Conditions 2-6, 2-7, 2-8, 2-9, 2-10 and 2-11, this wording is retained (except for the 'or are not' / 'or do not' text, as in part a), above). c) The components of old milestone M-I DOL 7 have not been incorporated into these revised milestones, because meeting M-I DOL 7 was contingent upon agreement on new DMLs being reached at the IATTC, which is not strictly necessary in this case because of the fishery-specific nature of the Principle 2 assessment (unlike the requirements for management in Principle 1, which are stock-wide). We consider that if milestone M-I revised 4 is met, then the SG80 requirement for PI2.3.3 Sib will also be met in full. <u>Changes undertaken at Year 3</u> <u>Milestones related to Mother-Calf Separation</u> Reflecting the VR that was accepted last year, the existing M-II DOL milestones are moved forward by two years and are now 'revised'. M-II DOL revised B.2 (Year 4 audit). Provide evidence to the auditors that the research program is being implemented. M-II DOL revised B.3 (Year 5 / Year 0 of new certificate if recertified). Provide evidence to the auditors of the preliminary findings and recommendations of the research program including determinations as to whether mother-calf separation is indeed occurring and in what order of magnitude, as well as if additional information is needed to expand the research program in order to ratify preliminary conclusions. M-II DOL revised B.4 (Year 6 / Year 1 of new certificate if recertified). Provide evidence that the preliminary results of the research program are been taken into consideration in the overall management objectives of the IATTC/AIDCP including their possible inclusion in the determination of the DMLs and stock/per-year mortality limits. M-II DOL revised B.5 (Year 6 / Year 1 of new certificate if recertified). Provide evidence to the auditor showing that the effects of the fishing operation on dolphins are known and are highly likely to be within limits of national and international requirements for their protection. M-II DOL revised B.6 (Year 6 / Year 1 of new certificate if recertified). Provide evidence to show that all observed and potential fishery effects are highly unlikely to create unacceptable impacts on ETP species and significantly curtail their reproductive rate.
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Condition 2-11 (PI 2.3.3 Sib – Dolphin sets)

Performance Indicator	2.3.3, Sib
Score	65
Justification	<u>Dolphins:</u> The information collected by observers on dolphin mortalities is sufficient to meet the requirements for a broad understanding of impacts as needed to meet the SG 60 level. The data collected, however, have not been sufficient to allow a resolution of the long-standing concerns about an apparent failure of dolphin populations to recover as some have expected they should, once fishery-related mortalities were reduced. There are a range of reasons why this remains an issue, which are described in the background section 'Status of Dolphin Populations' but the ongoing nature of the scientific debate is itself evidence that the information collected has not been sufficient to determine whether the fishery remains a threat to protection and recovery of dolphin populations. The requirements of the SG 80 level are therefore not met.
Condition	<u>Dolphins:</u> By the fourth first year reassessment annual surveillance, provide evidence to show that information from dolphin sets is sufficient to determine whether the fishery may be a threat to protection and recovery of dolphins.
Condition Start	PCR
Condition Deadline	fourth first year reassessment annual surveillance
Milestones	<u>Milestones Associated with New Stock Assessments on Dolphin Populations</u> M-I DOL 1 Written support for surveys: By the first annual audit, the Alliance will 1) solicit support for new assessments of dolphin abundance, with the capacity to produce meaningful trends in abundance (calibrated in a fashion considered acceptable by leading international scientists, such that historical data can be connected to new data to create population trajectories¹¹), from IATTC members and NGOS actively participating in the fishery, and 2) provide representative evidence of the communications and initiatives undertaken before the IATTC, its members, and NGOs regarding these efforts, including letters of support and/or agreements reached towards this goal. M-I DOL 2 M-I DOL 2a Outputs from abundance workshop: By the first annual audit, the Alliance will provide a link at the IATTC where all pertinent documentation and deliverables resulting from the IATTC workshop held in October 2016 (and co-financed by the Alliance) are stored including agreed-upon next steps toward ensuring that the dolphin survey is completed within three years of the issuance of the MSC certificate.¹² M-I DOL 2b Confirmation of basic methods: By the first annual audit, the Alliance will provide written evidence describing decisions that have been taken defining the general design and methodology for the dolphin surveys, including rationale for why the selected methods were prioritized over other methods and who (name, affiliation) was involved in the decision-making. The survey will be designed and implemented by the IATTC in coordination with knowledgeable scientists, including those outside of governments, based on best available science, comparable with the previous series of surveys ending in 2006, and as possible, noting the challenge that NOAA has yet to release raw data from the surveys. M-I DOL 2c Confirmation of basic budget: By the first annual audit, the Alliance will provide funds to the IATTC to contract a full-time scientist to lead the scientific working group and to

	support the funding working group, in order to begin conducting surveys after the second annual audit. M-I DOL 2d Agreement with IATTC: By the first annual audit, the Alliance will provide a copy of the notarized binding agreement that was made with IATTC upon certification that outlines an in-kind contribution in the form of two tuna vessels or one tuna vessel and one oceanographic vessel, including all supplies, crew time, and fuel needed to conduct line transect studies that are designed by lead scientists managed by the IATTC. The Alliance will also provide evidence of fundraising efforts (e.g. letters of inquiry, letters of commitment, etc.) to demonstrate that the activities are at least partially funded by interested parties and that funding is being secured. M-I DOL 3a Convening of working groups: By the first annual audit, the Alliance will provide evidence of the convening of the “funding working group” and the “scientific working group,” including evidence of the identification of roles and responsibilities within each group. M-I DOL 3b Confirmation of detailed methods: By the second annual audit, the Alliance will provide written evidence describing decisions that have been made defining the specific design and methodology for the dolphin surveys, including a description of how quantitative data will be generated, in what format and how data management will proceed. M-I DOL 3c Confirmation of logistic preparations: By the second annual audit, the Alliance will provide a detailed budget of items needed to begin conducting surveys immediately after the second annual audit, with evidence (e.g. receipts, records) that the resources required to implement the surveys are financed/purchased in order to mobilize surveys within 3-6 months after the audit M-I DOL 4 Survey completed: By the third annual audit, the Alliance will provide evidence demonstrating that one season of dolphin abundance surveys has been successfully executed, and that all associated records exist. M-I DOL 5 Analysis of surveys and new population estimates: By the fourth annual audit, the Alliance will provide the auditors with the results of the dolphin abundance surveys and new dolphin population estimates for the ETPO. M-I DOL 6. Current abundances support that mortality is within defined limits, and do not create unacceptable population impacts or impede recovery: By the fourth annual audit, the Alliance will provide evidence of trends in dolphin populations which will continue to provide evidence that: 1) The effects of dolphin sets in the fishery on dolphins are known and are or are not highly likely to be within limits of national and international requirements for their protection, 2) Direct effects of dolphin sets on dolphins have been considered and are or are not known to be highly unlikely to create unacceptable impacts, 3) The fishery does or does not hinder recovery of ETP species, 4) There is a strategy in place for managing the fishery’s impact on ETP species, if any, including measures to minimize mortality, which is designed to be highly likely to achieve national and international requirements for the protection of ETP species, 5) There is an objective basis for confidence that the strategy will work, 6) The strategy is being implemented successfully, and 7) Information is sufficient to measure trends and support a full strategy to manage impacts on ETP species. M-I DOL 7 Surveys inform DMLs: By the fourth annual audit, the Alliance will provide evidence that the IATTC has survey results and that there is evidence demonstrating how these data have been used for the determination of DMLs for the fishery to continue to ensure that the fishery does not hinder the protection and recovery of dolphin species.
Client Action Plan	Refer to the following section(s) of Client Action Plan in the PCR: Research to Arrive at New Dolphin Population Estimates in the Eastern Tropical Pacific Ocean (ETPO)

	Section I. Commitments to Support/Catalyze Research for New Estimates of Dolphin Populations Goal: The main objective of this research is to arrive at dolphin populations estimates for the ETPO by the year 2020.
Consultation on condition	Letters of Support below from CONAPESCA and IATTC were provided to SCS Global Services as the fishery's Conformity Assessment Body (CAB) when the fishery was certified (Morgan et al. 2017).
Progress on Condition (Year 3)	PI 2.3.3 is an information PI, and therefore Condition 2-11 <u>is</u> eligible for an extension under Derogation 6. However, the milestones for this PI are identical to those provided originally for Conditions 2-6 and 2-7, which are on the outcome PI 2.3.1, and which are therefore not eligible for the extension. Noting 7.28.16.4 (MSC 2020), there is no merit or value in extending the timeline for Condition 2-11 because the requisite work (i.e., leading to the completion of milestones M-I revised 4) must be completed by the deadline for Conditions 2-6 and 2-7. <u>Milestones Associated with New Stock Assessments on Dolphin Populations</u> M-I revised 1 The Condition 2-10 milestone for this part of the work to undertake a new stock assessment on dolphin populations is mirrored in Condition 2-11, but is not present in Conditions 2-6, 2-7 and 2-8. These milestones were extended under a VR submitted and accepted at the Year 2 audit¹⁷, but, as noted above, there is no merit or value in further extending the timeline for Conditions 2-10 (or 2-8 and 2-11) under Derogation 6 because the same milestones are not extended for Conditions 2-6 and 2-7. In a letter to PAST (IATTAC 2021b), the IATTC Temporary Director highlighted that there was a need to carry out a second trial study even before starting the main study, and that the work required external collaborators and the commitment of funds and other resources. The ongoing impact of Covid-19 was noted, however, and in particular the difficulties faced through the continuing absence of in-person meetings, travel restrictions for out-of-country collaborators, and because at-sea research work has been constrained greatly. Although the general approach to the second trial study and the main study are agreed and understood, and a costing estimate provided, the Audit Team is aware that there is no specific funding plan in place for the work. In the absence of <i>'an indication of how the project will be funded'</i>, it must be concluded that this milestone is not met.
Progress on Condition (Year 3)	M-I revised 1, M-I revised 2 Revised survey methodology for a new stock assessment for Eastern Tropical Pacific dolphin populations was first presented at the AIDCP meeting in 2018 (Oedekoven et al. 2018). The methodology included the proposal that a trial survey be undertaken in Autumn 2019, with a full survey to be undertaken, subsequently, in Autumn 2020. The Year 2 audit of the PAST fishery reported that a 14 day trial cruise was undertaken in November 2019 aboard the Mexican research vessel Dr Jorge Carranza Fraser. The intent was to test several components of the methodology proposed to undertake a full field survey for the dolphin population survey, including the suitability of the vessel as a survey platform, the ability to use drones to detect dolphin schools directly ahead of the survey vessel to assess trackline detection probability ($g(0)$), the ability to collect data on the dolphin school size and species composition using the video footage, and the utility of a machine-learning algorithm to calibrate estimates of species and number made by the ship-based observers. As noted at that time, the trial survey cruise report was made available to the audit team (Oedekoven et al. 2020); it was reported that while the Dr. Jorge Carranza Fraser was proven to be appropriate for undertaking the work, contrary to the methodological requirements the drones employed for the survey were not able to provide sufficient endurance, camera image

¹⁷ <https://cert.msc.org/FileLoader/FileLinkDownload.aspx/GetFile?encryptedKey=1Msicxkx1eH5gXMQEmtkoZyvgKb/xnzqr4TWfZQaTlew1qZcTE3An4e1uL25dYnW>

	resolution was too low, transmitted video footage was of insufficient quality due to data compression and other issues, and there was no on-board back-up video storage capability. Further, one drone was lost and only one pilot was able to fly the drones successfully. Together, these issues meant that whilst some calibration of trackline detection and counts by species could occur, the test was not sufficiently successful to confirm the feasibility of the methodology for undertaking a full survey (120 days). Another trial was considered essential before being able to undertake a full survey. However, from early 2020, the Covid-19 pandemic caused very significant disruption worldwide, including with the ability to coordinate complex, multi-agency and multi-nation projects, and then to undertake work at sea. In this regard, a variation request was submitted to the MSC¹⁸, seeking an additional two years to meet the conditions; this was accepted, and this condition was extended and new milestones set, as indicated in the 'Additional Information' section, below. After the initial trial survey, efforts were made to secure further funding for the additional trial and subsequent stages of the work through the AIDCP research budget, but these ultimately proved unsuccessful. The second trial survey was nevertheless listed as Project H.8.b in the recently published IATTC staff activities and research plan (IATTC 2022b), and although it was noted in that document that funding had not been secured, PAST has now committed to funding that work. Payment for the initial steps of the project has been transferred to the IATTC to hold in trust (confirmed by e-mail, October 2022). The Audit team was also provided with a document entitled 'Terms and conditions updated' from the University of St. Andrews, dated 7th October 2022, that was confirmed Dr. Oedekoven's willingness to engage in the project. It is noted that there are various caveats and conditions that need to be met for Dr. Oedekoven's continued engagement (e.g., payment is delivered on time, modifications to the Dr Jorge Carranza Fraser needed for the dolphin observers to operate are completed on time), but we consider that these issues are for the PAST and the project management process to now manage going forward. The M-I revised milestone from Year 3 is now clearly met, and following G7.28.16.2 (MSC 2020), the original milestones are back on track within 12 months. This year's M-I revised 2 milestone is not met, however, and so the condition is again behind target. Given the relatively short time remaining for the condition, the milestones are not adjusted for the condition. This condition is behind target.
Status	Behind target
Additional information	<u>Changes undertaken at Year 2</u> Milestones M-I DOL 3b, M-I DOL 3c, MI-DOL 4, MI-DOL 5, MI-DOL 6 and MI-DOL 7 are rescinded, and revised milestones are set for this condition, as follows: • M-I revised 1 (Year 3 audit). Present a revised plan as necessary to generate new abundance estimates for Eastern Tropical Pacific dolphin populations, together with an indication of how the project will be funded. • M-I revised 2 (Year 4 audit). Provide evidence demonstrating that one season of dolphin abundance surveys has been successfully executed, and that records as needed to generate the dolphin abundance estimates exist. • M-I revised 3 (Year 5 / Year 0 of new certificate if recertified). Provide the results of the dolphin abundance surveys and new dolphin population estimates for the Eastern Tropical Pacific Ocean.

¹⁸ <https://cert.msc.org/FileLoader/FileLinkDownload.aspx/GetFile?encryptedKey=1Mscjckx1eH5gXMQEmtkoZyvgKb/xnzqr4TWfZQaTlew1gZcTE3An4e1ul25dYnW>

	• M-I revised 4 (Year 6 / Year 1 of new certificate if recertified). Provide evidence of trends in dolphin populations which will provide evidence that: 1) The effects of dolphin sets in the PAST fishery on dolphins are known and are highly likely to be within limits of national and international requirements for their protection, 2) Direct effects of dolphin sets on dolphins have been considered and are known to be highly unlikely to create unacceptable impacts, 3) The fishery does not hinder recovery of ETP species, 4) There is a strategy in place for managing the fishery's impact on ETP species, if any, including measures to minimize mortality, which is designed to be highly likely to achieve national and international requirements for the protection of ETP species, 5) There is an objective basis for confidence that the strategy will work, 6) The strategy is being implemented successfully, and 7) Information is sufficient to measure trends and support a full strategy to manage impacts on ETP species.
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Condition 2-12 (PI 2.1.1 Slc – Free school sets)

Performance Indicator	2.1.1, Slc
Score	60
Justification	<u>Silky shark:</u> There are a range of measures in place that are directed at the conservation of sharks and constitute at least a partial strategy. As detailed in Section 3.4 these include IATTC Resolution C-05-03 which concerns the conservation of sharks (including silky sharks) and IATTC Resolution C-04-05 which mandates the live release of sharks when possible. These measures are expected to ensure that purse sets on free schools do not hinder recovery and rebuilding of silky sharks. The low level of catch of silky sharks by sets on free schools also indicates that this fishing method is not hindering this recovery. This meets the requirements of the SG 60 level. NOM-001 for tuna fisheries in Mexico is aligned with the IATTC mandatory release requirements and clause 4.1.4.3 states "It is prohibited for purse seine tuna vessels to retain on board, hold, transship, unload, or transport specimens live or dead, whole or pieces, of oceanic whitetip sharks". However, NOM 029 (Responsible Fishing of Sharks and Rays), which is mandatory for holders of permits, licenses and authorizations for directed fishing of sharks and rays, as well as for those who catch these species as bycatch, states under Clause 4.2.1. that "all shark individuals must be retained on board commercial fishing vessels for full use except for the species listed in paragraph 4.2.2. (this does not include silky sharks). Therefore, there remain disconnects in the existing national measures articulated in NOMs, which represents a potential impediment to effective enforcement of the existing conflicting regulations. Overall, conflicting national measures aside, the effectiveness of the conservation measures has not been demonstrated, so the requirements of the SG 80 level are not met. <u>Mobulid Rays:</u> These require special protection as detailed in NOM-029. The recent IATTC resolution (C-15-04) also contains a range of measures, including a prohibition on the retention of Mobulid rays (whole or parts) and requires that Mobulid rays be released alive whenever possible. These measures are expected to ensure that the fishery does not hinder rebuilding or recovery. This meets the requirements of the SG 60 level.

	As a new measure, however, the effectiveness of CMM C-15-04 has not yet been demonstrated so the requirements of the SG 80 level are not met.
Condition	<u>Silky sharks and Mobulid rays:</u> By the fourth annual surveillance, provide evidence that there is a partial strategy of demonstrably effective management measures in place such that the free school sets do not hinder recovery and rebuilding.
Condition Start	PCR
Condition Deadline	fourth-annual surveillance
Milestones	<u>Milestones for Zero Retention of Sharks and Rays (S&R)</u> M-I S&R A.1 By the first annual audit, the Alliance will provide the auditors written evidence that the Zero Retention Policy has been fully developed and has been or is in the process of being implemented by all of the Alliance vessels. M-I S&R A.4 By the first annual audit, the Alliance will provide any available data resulting from the records being kept of interactions with silky sharks, specifically indicating the numbers and condition of their release (live, unknown, injured, dead,), as well as any interactions with rays, in particular with Mobulid rays. M-I S&R A.5 By the second annual audit, the Alliance will provide evidence showing records of any random port inspections conducted by CONAPESCA on Alliance vessels, highlighting any findings in relation to retention of silky sharks and/or Mobulid rays) found on any of the Alliance vessels. The same information will be provided for years. Data from these random port inspections will be uploaded onto the Alliance web page on a quarterly basis. M-I S&R A.6 By the second and third annual audits, the Alliance will provide evidence (i.e. records on the numbers and nature of interactions, silky sharks and Mobulid rays and the conditions at the time of their release), showing that the Zero Retention Policy for sharks and rays is being implemented successfully and that the strategy is consistent with measures adopted by both the IATTC and the Mexican Government for these species. M-I S&R A.7 By the second annual audit, the Alliance will provide evidence that information being collected is adequate to support a partial strategy to manage the main retained (or no longer retained) sharks and ray species. M-I S&R A.9 By the fourth annual audit, the Alliance will provide evidence showing that there is a partial strategy of demonstrably effective measures in place such that dolphin and free school sets do not hinder recovery and rebuilding of silky sharks and rays, particularly Mobulid. M-I S&R A. 11 For each of the annual audits, Year One through Year Four, the Alliance will provide evidence showing records of any small sharks and/or rays detected at the time of fish unloading and that could involuntarily have ended up in the vessel fish wells without being noticed by the crew during brailing and/or sorting, as well as documentation showing the donation of these species to a designated food bank. <u>Milestones for Safe-Handling/Live Return of Sharks</u> M-I S&R B.1 By the first annual audit, the Alliance will provide evidence of the written policy for the Safe-Handling/Live Return of sharks and rays to be implemented by all Alliance vessels that is consistent with both domestic regulations and IATTC resolutions. This will include a copy of the necessary formats required by the IATTC observer program for record keeping of interactions that will include a section for the apparent status of the species at the time of their release (live, unknown, injured, dead). The written policy will establish compliance mechanisms and sanctions to be applied for non-compliance. The Alliance will inform the auditors during this first surveillance visit of the status of the policy's implementation. M-I S&R B.4 For the second, third and fourth annual audits, the Alliance will provide any available data resulting from the records being kept, showing the interactions with all sharks

	and rays, but specifically with silky sharks, and Mobulid rays, indicating the numbers and condition at the time of their release (live, unknown, injured, dead). M-I S&R B.8 By the fourth annual audit, the Alliance will provide evidence that the partial strategy is being implemented successfully. M-I S&R B.9 By the fourth annual audit, the Alliance will provide evidence showing that there is a partial strategy of demonstrably effective measures in place such that dolphin and free school sets do not hinder recovery and rebuilding of silky sharks and rays, particularly Mobulid. M-I S&R B.10 By the fourth annual audit, the Alliance will provide evidence that sufficient data continues to be collected for both dolphin and free school sets to detect any increase in risk level (e.g. due to changes in the outcome indicator score or the operation of the fishery or the effectiveness of the strategy) as it relates to the Safe-Handling/ Live Return policy for silky sharks and Mobulid rays. <u>Milestones to Promote Regulatory Consistency for Zero Retention of Sharks through Advocacy</u> M-II S&R 1 By the first annual audit, the Alliance will provide the auditor with evidence of any formal communication between the Alliance and CONAPESCA requesting modifications to seek consistency between NOM 029 and NOM 001. M-II S&R 2 By the first annual audit, the Alliance will provide the auditor evidence showing the adoption of IATTC Resolutions C-16-04, C-16-05 and C-16-06, which, once CONAPESCA incorporates them into the domestic regulatory framework, will prohibit Mexican tuna purse seine vessels from retaining any sharks incidentally caught during regular tuna fishing operations. <u>Milestones for the Scientific and Technical Group on Sharks and Rays</u> M-III S&R. 1 By the first annual audit, the Alliance will provide evidence to the auditors showing that written Terms of Reference have been developed and implemented for the operation and responsibilities of STG on Sharks and Rays. [See narrative action plan milestones for more detail regarding the technical plan components]. M-III S&R. 2 By the first annual audit, the Alliance will provide evidence that the terms of reference for the STG has been posted in the Alliance website and that invitations have been extended to potential interested scientists and NGOs for their participation. M-III. S&R 3 By the second annual audit, the Alliance will provide evidence showing the integration of the STG, including a list of the individuals and/or organizations participating in the STG. M-III. S&R 4 By the second annual audit, the Alliance will provide evidence to the auditor demonstrating any suggestions made by the STG regarding the production of material to be utilized for training of skippers and crewmen as well as any tentative schedules for possible workshops. M-III. S&R 6 By the second annual audit, the Alliance will provide evidence showing any suggestions made by the STG for technical improvements that could lead to a reduction of interactions with shark and rays during dolphin and free school sets by the vessels of the Alliance, accompanied by considerations regarding costs and ease of implementation. M-III. S&R 7 By the third annual audit, the Alliance will provide the auditors with any external evaluation generated by the STG regarding the effectiveness of the policies implemented by the Alliance (assuming one has been requested) regarding Zero Retention, Zero Finning and Safe-Handling/Live Return of sharks and rays, including any recommendations for improvements. M-III. S&R 8 By the fourth annual audit, the Alliance will provide evidence, if any, of any improvements implemented by the Alliance vessels to improve the effectiveness of the policies adopted by the Alliance with regards to sharks and rays.
Client Action Plan	Refer to the following section(s) of Client Action Plan in the PCR:

	Section I. Comprehensive Strategy for Sharks and Rays. The Alliance will design and implement a comprehensive strategy that includes A. Proposed Action Plan on Implementation of Zero Retention of Sharks and Rays. Goal: To ensure that no sharks incidentally caught during regular tuna fishing operations (Dolphin sets and/or Free School sets), are voluntarily retained by any of the Alliance vessels. B. Proposed Action Plan on Implementation of the Alliance Safe-Handling/Live Return for Sharks and Rays. Goal: To implement on all Alliance vessels a Safe-Handling/Live Return policy to maximize the number of sharks released alive at sea, to the extent practical and without compromising the safety of any persons on board; and to keep records of all these interactions Section II. Alignment of the National and International Regulatory Structure to support the Alliance Zero Retention of shark and rays policy. Goal: To advocate before CONAPESCA modifications to the current domestic regulatory framework to ensure consistency regarding retention of sharks incidentally caught during tuna purse seine fishing operations. Section III. Establishment of a Scientific and Technical Working Group (STG) on Sharks and Rays. Goal: To promote the creation of a STG that will provide support and advice to the Alliance in the formulation and implementation of its Zero Retention and Safe-Handling/Live Return policies.
Consultation on condition	Letters of Support below from CONAPESCA and IATTC were provided to SCS Global Services as the fishery's Conformity Assessment Body (CAB) when the fishery was certified (Morgan et al. 2017).
Progress on Condition (Year 3)	PI 2.1.1 is an outcome PI, and therefore Condition 2-12 <u>is not</u> eligible for an extension under Derogation 6. Therefore, the Year 3 milestones are effective this year. <u>Milestones for Zero Retention of Sharks and rays (S&R)</u> M-I S&R A.6, M-I S&R A. 11 Observer data presented in Table 7 show that a smaller number of silky sharks were taken in 2020 (1,815) compared to the previous two years (3,116 in 2018 and 3,540 in 2019), but the Audit Team also noted the data showing that the percentage of the silky sharks recorded as 'released alive' has increased from 50.9% in 2018, to 64.0% in 2019, and then to 76.7% for the latest year. A somewhat higher catch of rays was taken in 2020 (268) in comparison to the previous two years (214 in 2018 and 202 in 2019), with a slightly lower percentage 'released alive' (90.3% in 2018, 91.8% in 2019, to 84.3% in the last year). The Audit Team will continue to monitor the situation, but there is no pattern in the data and no reason to consider that anything has changed in the fishery. With respects to sharks that may be retained inadvertently, the data show that this year there was just a single case (Table 7). For rays, As well as providing details on the inspections carried out on vessels of the PAST fleet, and compliance with measures to prohibit retention of sharks, rays and shark fins, CONAPESCA confirmed the following for bycatches of bluefin tuna and bonito (Table 9). The data for 2021 are consistent with those for earlier years. Table 8 shows there was a slight increase in inadvertent retention, with 17 retained (as compared with 6 and 3 for 2018 and 2019, respectively). The Audit Team is satisfied that these retentions are in no way deliberate, and was presented with a letter from the IATTC to the client, confirming that the IATTC is also satisfied there was no intentional retention of sharks or rays by PAST vessels (IATTC 2021a). These milestones are met.

	<u>Milestones for Safe-Handling/Live Return of Sharks</u> M-I S&R B.4 Observer data presented in Table 7 show that there continue to be very few oceanic whitetip sharks taken in total in the PAST fleet (3 in 2020, compared with 8 in 2019 and 1 in 2018), all of which were released alive. A smaller number of silky sharks were taken in 2020 (1,815) compared to the previous two years (3,116 in 2018 and 3,540 in 2019), but the Audit Team also noted the data showing that the percentage of the silky sharks recorded as ‘released alive’ has increased from 50.9% in 2018, to 64.0% in 2019, and then to 76.7% for the latest year. When queried during the audit, it was commented that the improvement in live releases had not been studied in detail but was though to be linked to the effort undertaken to ensure PAST skippers and crew are trained in best practice handling techniques for these species. The Audit Team have no reason to doubt this assertion, and clearly welcomes the efforts made in this regard – this milestone is met. <u>Milestones for the Scientific and Technical Group on Sharks and Rays</u> M-III. S&R 7 The Science and Technical Group on Sharks and Rays (STG) was initiated by the PAST as a stakeholder forum to provide support and advice in the formulation and implementation of its policies of zero retention and safe handling / live return of sharks and rays that interact with the fishery; several meetings have been held since March 2020. This year, the STG was offered the opportunity to comment on the policies implemented by the PAST (PAST 2021), and a response was received from Comunidad y Biodiversidad, AC (COBI 2021). The audit team confirmed that PAST confirmed acceptance of the COBI comments and that they would be discussed in due course. This milestone is met.																
Progress on Condition (Year 4)	PI 2.1.1 is an outcome PI, and therefore Condition 2-1 was <u>not</u> eligible for an extension under Derogation 6 at the year 3 audit. The year 4 milestones are therefore effective this year. <u>Milestones for Zero Retention of Sharks and Rays (S&R)</u> M-I S&R A.9, M-I S&R A. 11 As reported for Condition 2-1, 100% observer coverage has been maintained on PAST vessels, including throughout the Covid-19 pandemic. It was confirmed in a letter from Fidemar (dated 1st September 2022) that no sharks and rays were detected in catches during unloading of any PAST vessel during 2021. <u>Milestones for Safe-Handling/Live Return of Sharks</u> M-I S&R B.4, M-I S&R B.8, M-I S&R B.9, M-I S&R B.10 Noting that 100% observer coverage has been maintained on PAST vessels, including throughout the Covid-19 pandemic, the number of silky sharks caught has remained relatively low over time. Comparing annual catch data for 2018-2021 with the number of sets undertaken, there was a peak of 2,267 silky sharks caught in 2019, which represents less than one animal per three sets, with a low of 737 silky sharks caught in 2021, which represents just over one animal every ten sets in that year. The mean number of silky sharks caught annually over the last four years has been 1,496, which represents just over one shark every five sets (table below). The mean number of Mobulids recorded annually is 230, with a high of 318 in 2020 and a low of 230 in 2021. This represents an average of one Mobulid ray every 30 sets across the fishery. <table><tr><th rowspan="2">Common name</th><th colspan="4">Released (Alive)</th><th rowspan="2">Mean</th></tr><tr><th>2018</th><th>2019</th><th>2020</th><th>2021</th></tr><tr><td></td><td></td><td></td><td></td><td></td><td></td></tr></table>	Common name	Released (Alive)				Mean	2018	2019	2020	2021						
Common name	Released (Alive)				Mean												
	2018	2019	2020	2021													

	Silky shark	Number caught	1,587	2,267	1,392	737	1,496
		% Released alive	50.9%	64.0%	76.7%	66.6%	64.6%
	Mobulids	Number caught	237	220	318	144	230
		% Released alive	90.3%	91.8%	84.3%	94.4%	90.2%
A key part of the partial strategy in place for the sharks and rays within the PAST fishery is the annual training that has been undertaken by PAST since 2019 to ensure vessel crew are reminded of the need to release sharks and rays safely and quickly where possible and are able to implement the appropriate techniques and measures to ensure that occurs. In 2022, 1,148 skippers and crew working within the PAST fleet received the annual training, adding to the training that was provided in previous years. More details are provided in the reporting for Condition 2-15. Key evidence for meeting this condition is then contained within the data on the status upon release of the silky sharks and Mobulids captured in the PAST fishery. In this regard, the percentage of the silky sharks that were recorded as ‘released alive’ has risen from 50.9% in 2018 to average 69.1% in the last three years, while the percentage of Mobulids released alive has been around 90% over the course of the certificate, but reached 94% in 2021 (Table 8). These improvements are consistent with the expectations of implementing the PAST fishery requirements. As noted against the first part of this condition, observer coverage has been maintained at 100% on PAST vessels, and reporting on the condition of sharks and Mobulids has been established; the audit team is in no doubt that these measures will be continued into the future. ----- In summary, the very low relative catch of silky sharks and Mobulids in the PAST fishery, together with the evidence provided by the 100% observer coverage on the proportions of these species that are released alive are evidence that “...a partial strategy of demonstrably effective management measures in place such that the free school sets do not hinder recovery and rebuilding.” For silky sharks and Mobulids, SG80 is therefore met. This Condition is closed.							
Status	This condition is closed, and rescoring is provided in Section 4.6.						
Additional information	None						

Condition 2-13 (PI 2.1.1 Slc – Free School sets)

Performance Indicator	2.1.1, Slc
Score	60
Justification	<u>Pacific bluefin tuna:</u> There are measures implemented by the IATTC through the resolution C-14-06. Purse seines are responsible for the majority of the catch of this species in the ETPO (IATTC 2014a) but the majority of the impact on the stock comes from fisheries in the WPO (Pacific Tuna Working Group 2014). Of more importance for this Scoring Issue, however, is the undertaking by the companies in the UoA to cease taking any Pacific bluefin tuna during future fishing operations. This is a measure that is in place and would ensure that the UoA does not hinder the recovery

	and rebuilding of this depleted species. As it is a new measure there is not yet any evidence of its effectiveness. This meets the requirements of the SG 60 level but not of the SG 80 level.
Condition	<u>Pacific bluefin tuna:</u> By the fourth annual surveillance, provide evidence that there is a partial strategy of demonstrably effective management measures in place such that the free school sets do not hinder recovery and rebuilding.
Condition Start	PCR
Condition Deadline	fourth-annual surveillance
Milestones	<u>Milestones for Pacific Bluefin Tuna</u> M-I PFB 1 By the first annual audit, the Alliance will provide evidence to the auditors demonstrating that no Alliance vessels has engaged in Pacific bluefin tuna catching operations for the 2015 and 2016 inclusive, by providing official logbook documentation showing no recorded catches of this species exists. M-I PFB 2 By the first annual audit (and subsequent annual audits until the fourth year), the Alliance will provide evidence that the strategy for no targeting Pacific bluefin tuna by the Alliance vessels applied for the 2015 and 2016, is a demonstrably effective management measure in place such that their fishing operations is not hinder recovery or rebuilding of this species. M-I PFB 3 By the first annual audit, (and subsequent annual audits until the fourth year) the Alliance will provide evidence that the strategy is being implemented successfully.
Client Action Plan	Refer to the following section(s) of Client Action Plan in the PCR: Section I. Commitments to Pacific Bluefin Tuna. Goal: To refrain from targeting Pacific bluefin tuna for the duration of the certificate.
Consultation on condition	Letters of Support below from CONAPESCA and IATTC were provided to SCS Global Services as the fishery's Conformity Assessment Body (CAB) when the fishery was certified (Morgan et al. 2017).
Progress on Condition (Year 2)	<u>Milestones for Pacific Bluefin Tuna</u> M-I PFB 2, M-I PFB 3 For this Year 2 audit, the Assessment Team was provided with a letter from the CONAPESCA General Directorate of Planning, Programming and Evaluation (CONAPESCA 2020), which provided information on various aspects of the PAST Fishery's compliance with regulations. This letter confirmed that no vessel in the PAST Fishery registered a catch of bluefin tuna in the 2017-2019 and provides evidence of the continuing successful implementation of the strategy for no targeting of bluefin tuna (Table 8). The 2020 Pacific bluefin tuna stock assessment (IATTC 2020a) presented information indicating that SSB declined steadily from 1996 to a historical low in 2010, but has been increasing slowly since then, with the 2018 Pacific bluefin tuna biomass exceeding the historical median. This includes an increase in young fish (age 0-2 years) in 2016-2018, which is expected to accelerate the recovery of SSB in the future.
Progress on Condition (Year 3)	PI 2.1.1 is an outcome PI, and therefore Condition 2-13 is <u>not</u> eligible for an extension under Derogation 6. Therefore, the Year 3 milestones are effective this year. <u>Milestones for Pacific Bluefin Tuna</u> M-I PFB 2, M-I PFB 3

	For this year's audit, the individual companies within the client group (Grupomar, Pesca Azteca and Procesa Chiapas) provided a letter to the CAB again confirming their desire and willingness to withdraw from catching Pacific bluefin tuna in the Eastern Pacific Ocean for five years, to achieve the recovery of this species (PAST 2021c). In the same letter, the PAST members reiterated their commitment towards sustainable measures to preserve tuna species and the whole marine ecosystem in general. Further to this, updated catch data for Pacific bluefin tuna by PAST vessels were provided to the Audit Team, which showed that PAST vessels have caught 0 t of this species since 2017. In light of the ongoing evidence that the PAST fishery is not catching Pacific bluefin tuna, and therefore the effectiveness of the strategy employed by PAST vessels to avoid catches, it was determined appropriate this year to close this condition . There is considered to be <i>"evidence that there is a partial strategy of demonstrably effective management measures in place such that the free school sets do not hinder recovery and rebuilding"</i>. This condition is closed.
Status	Closed
Additional information	Rescoring for this PI was provided in the Year 3 audit report.

Condition 2-13b (PI 2.1.1 Slc – Free School Sets)

Performance Indicator	2.1.1, Slc.
Score	60
Justification	<u>Eastern Pacific and striped bonito tuna:</u> Bonito have been assessed above as likely, but not highly likely, to be within biologically based limits. To achieve a pass at the SG 80 level therefore requires there to be "a partial strategy of demonstrably effective management measures in place such that the fishery does not hinder recovery and rebuilding". There are no management measures that are specifically directed at bonito. Measures for the main target species, such as Resolution C-13-01, may provide some level of protection for the other retained species but it is also possible that restrictions on fishing effort for yellowfin and skipjack could redirect fishing effort towards bonito. In the absence of direct estimates of stock status, of the risks posed to the stocks by the fishery, or of specific management measures for these species, the requirements of the SG 80 level are not considered to be met.
Condition	<u>Eastern Pacific and striped bonito tuna:</u> By the fourth annual surveillance, provide evidence that these species are highly likely to be within biologically based limits or, if found to be outside such limits, that there is a partial strategy of demonstrably effective management measures in place such that the free school sets do not hinder recovery and rebuilding.
Condition Start	PCR
Condition Deadline	fourth-annual surveillance
Milestones	<u>Milestones for Bonito:</u> M-II BON 1 For annual audits first through fourth, the Alliance will provide evidence showing all catch records of bonito registered by the Alliance vessels and that the data being collected

	is sufficient to detect any increase in risk level (e.g. due to changes in the outcome indicator score or the operation of the fishery or the effectiveness of the strategy). M-II BON 2 By the first annual audit, the Alliance will provide evidence that, in coordination with the IATTC Secretariat, it has commissioned an evaluation to determine if the Bonito stock is within biologically based limits and if any management measures are deemed necessary. M-II BON 3 By the second annual audit, the Alliance will provide a copy of the report commissioned containing findings regarding whether Bonito is within biologically based limits and recommendations regarding potential management measures.																												
Client Action Plan	Refer to the following section(s) of Client Action Plan in the PCR: Section II. Commitments to Bonito Goal: To continue to collect sufficient data and to commission an evaluation to determine if the harvest of this stock is within or outside of biological limits, and to identify potential measures to reduce possible risks to this stock.																												
Consultation on condition	Letters of Support below from CONAPESCA and IATTC were provided to SCS Global Services as the fishery’s Conformity Assessment Body (CAB) when the fishery was certified (Morgan et al. 2017).																												
Progress on Condition (Year 3)	PI 2.1.1 is an outcome PI, and therefore Condition 2-13b <u>is not</u> eligible for an extension under Derogation 6. Therefore, the Year 3 milestones are effective this year. <u>Milestones for Bonito:</u> M-II BON 1 Catches of bonitos in the PAST fishery (free school sets) have varied over recent years, from 0 t in 2018 to a maximum of 2,125 t in 2019; the average annual catch in the last five years has been 787 t (Table 9). This variability is consistent with the variability highlighted in the report by Ortega-García & Jakes-Cota 2019, who demonstrated catches in total have varied historically due to factors including market demand and price, as well as to the migratory movements of the fish and oceanic conditions. These authors showed that total catches from the stock were low and averaged less than 1,000 t from the mid-1990s to the mid-2000s, before increasing to a recent maximum in 2007 of 14,000 t and then declined thereafter; in 2018, the total catch was essentially zero, mirroring the situation with the PAST fishery. The fact that bonitos are considered as main species in the free school UoCs is because they represented 15% of the total catch for the 2009-2013 period that was considered at assessment. However, over the most recent five years, the bonitos have averaged 3.9% of the free school catch (see table below). At this level, bonito would not be considered a main species, and instead they would be assessed as minor species. <table><tr><th>Year</th><th>Total Catch (t)</th><th>Bonito Catch (t)</th><th>Bonito as % of Total</th></tr><tr><td>2016</td><td>26,058</td><td>108</td><td>0.4</td></tr><tr><td>2017</td><td>33,461</td><td>1,354</td><td>4.0</td></tr><tr><td>2018</td><td>10,809</td><td>-</td><td>0.0</td></tr><tr><td>2019</td><td>18,353</td><td>2,171</td><td>11.8</td></tr><tr><td>2020</td><td>9,833</td><td>303</td><td>3.1</td></tr><tr><td>Mean</td><td>19,702</td><td>787.2</td><td>3.9</td></tr></table> There is limited specific targeting of bonitos by the PAST fleet, and catch data for these species are collected and collated routinely, together with VMS data. All vessels are 100% covered by onboard observers. It is noted that the status of bonitos has not been assessed by the IATTC but they are short-lived and productive species and are classified by the IUCN as being of least concern.	Year	Total Catch (t)	Bonito Catch (t)	Bonito as % of Total	2016	26,058	108	0.4	2017	33,461	1,354	4.0	2018	10,809	-	0.0	2019	18,353	2,171	11.8	2020	9,833	303	3.1	Mean	19,702	787.2	3.9
Year	Total Catch (t)	Bonito Catch (t)	Bonito as % of Total																										
2016	26,058	108	0.4																										
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2019	18,353	2,171	11.8																										
2020	9,833	303	3.1																										
Mean	19,702	787.2	3.9																										

	In the context of the variable but low catches of bonito by the PAST fleet in recent years, the nature of the fishery overall, their productivity and the very limited targeting, it is determined appropriate this year to close this condition. There is considered to be <i>“evidence that there is a partial strategy of demonstrably effective management measures in place such that the free school sets do not hinder recovery and rebuilding”</i> . This condition is closed.
Status	Closed @ Year 3
Additional information	Rescoring for this PI was provided in the Year 3 audit report.

Condition 2-14 (PI 2.1.2 Slc – Free School Sets)

Performance Indicator	2.1.2, Slc.
Score	65
Justification	<u>Silky shark and Mobulid rays:</u> The assessment team was not provided with data or analyses or evidence to demonstrate that the measures adopted by the IATTC or Mexican Government are being implemented successfully in regards to requirements for zero retention. The requirements of the SG 80 level are therefore not met.
Condition	<u>Silky shark and Mobulid rays:</u> By the fourth first year reassessment annual surveillance, provide evidence that the partial strategy is being implemented successfully.
Condition Start	PCR
Condition Deadline	fourth first year reassessment annual surveillance
Milestones	<u>Milestones for Zero Retention of Sharks and Rays (S&R)</u> M-I S&R A.1 By the first annual audit, the Alliance will provide the auditors written evidence that the Zero Retention Policy has been fully developed and has been or is in the process of being implemented by all of the Alliance vessels. M-I S&R A.4 By the first annual audit, the Alliance will provide any available data resulting from the records being kept of interactions with silky sharks, specifically indicating the numbers and condition of their release (live, unknown, injured, dead), as well as any interactions with rays, in particular with Mobulid rays. M-I S&R A.6 By the second and third annual audits, the Alliance will provide evidence (i.e. records on the numbers and nature of interactions with silky sharks and Mobulid rays and the conditions at the time of their release), showing that the Zero Retention Policy for sharks and rays is being implemented successfully and that the strategy is consistent with measures adopted by both the IATTC and the Mexican Government for these species. M-I S&R A.8 By the fourth annual audit, the Alliance will provide evidence that the partial strategy is being implemented successfully. M-I S&R A.9 By the fourth annual audit, the Alliance will provide evidence showing that there is a partial strategy of demonstrably effective measures in place such that dolphin and free school sets do not hinder recovery and rebuilding of silky sharks and rays, particularly Mobulid.

	M-I S&R A.11 For each of the annual audits, Year One through Year Four, the Alliance will provide evidence showing records of any small sharks and/or rays detected at the time of fish unloading and that could involuntarily have ended up in the vessel fish wells without being noticed by the crew during brailing and/or sorting, as well as documentation showing the donation of these species to a designated food bank. <u>Milestones for Safe-Handling/Live Return of Sharks and Rays</u> M-I S&R B.1 By the first annual audit, the Alliance will provide evidence of the written policy for the Safe-Handling/Live Return of sharks and rays to be implemented by all Alliance vessels that is consistent with both domestic regulations and IATTC resolutions. This will include a copy of the necessary formats required by the IATTC observer program for record keeping of interactions that will include a section for the apparent status of the species at the time of their release (live, unknown, injured, dead). The written policy will establish compliance mechanisms and sanctions to be applied for non-compliance. The Alliance will inform the auditors during this first surveillance visit of the status of the policy's implementation. M-I S&R B.9 By the fourth annual audit, the Alliance will provide evidence showing that there is a partial strategy of demonstrably effective measures in place such that dolphin and free school sets do not hinder recovery and rebuilding of silky sharks and Mobulid rays. M-I S&R B.10 By the fourth annual audit, the Alliance will provide evidence that sufficient data continues to be collected for both dolphin and free school sets to detect any increase in risk level (e.g. due to changes in the outcome indicator score or the operation of the fishery or the effectiveness of the strategy) as it relates to the Safe-Handling/ Live Return policy for silky sharks and Mobulid rays.
Client Action Plan	Refer to the following section(s) of Client Action Plan in the PCR: Section I. Comprehensive Strategy for Sharks and Rays. The Alliance will design and implement a comprehensive strategy that includes A. Proposed Action Plan on Implementation of Zero Retention of Sharks and Rays. Goal: To ensure that no sharks incidentally caught during regular tuna fishing operations (Dolphin sets and/or Free School sets), are voluntarily retained by any of the Alliance vessels B. Proposed Action Plan on Implementation of the Alliance Safe-Handling/Live Return for Sharks and Rays. Goal: To implement on all Alliance vessels a Safe-Handling/Live Return policy to maximize the number of sharks released alive at sea, to the extent practical and without compromising the safety of any persons on board; and to keep records of all these interactions
Consultation on condition	Letters of Support below from CONAPESCA and IATTC were provided to SCS Global Services as the fishery's Conformity Assessment Body (CAB) when the fishery was certified (Morgan et al. 2017).
Progress on Condition (Year 3)	<u>Milestones for Zero Retention of Sharks and Rays (S&R)</u> M-I S&R A.6, M-I S&R A. 11 Observer data presented in Table 7 show that a smaller number of silky sharks were taken in 2020 (1,815) compared to the previous two years (3,116 in 2018 and 3,540 in 2019), but the Audit Team also noted the data showing that the percentage of the silky sharks recorded as 'released alive' has increased from 50.9% in 2018, to 64.0% in 2019, and then to 76.7% for the latest year. A somewhat higher catch of rays was taken in 2020 (268) in comparison to the previous two years (214 in 2018 and 202 in 2019), with a slightly lower percentage 'released alive' (90.3% in 2018, 91.8% in 2019, to 84.3% in the last year). The Audit Team will continue to monitor the situation, but there is no pattern in the data and no reason to consider that anything has changed in the fishery. With respects to sharks that may be retained inadvertently, the data show that this year there was just a single case (Table 7). For rays,

	As well as providing details on the inspections carried out on vessels of the PAST fleet, and compliance with measures to prohibit retention of sharks, rays and shark fins, CONAPESCA confirmed the following for bycatches of bluefin tuna and bonito (Table 9). The data for 2021 are consistent with those for earlier years. Table 8 shows there was a slight increase in inadvertent retention, with 17 retained (as compared with 6 and 3 for 2018 and 2019, respectively). The Audit Team is satisfied that these retentions are in no way deliberate, and was presented with a letter from the IATTC to the client, confirming that the IATTC is also satisfied there was no intentional retention of sharks or rays by PAST vessels (IATTC 2021a). This milestone is met.
Progress on Condition (Year 4)	PI 2.1.2 is a management PI, and therefore Condition 2-14 was eligible for an extension under Derogation 6. Progress against the Year 3 milestones was nevertheless evaluated last year, and progress against the Year 4 milestones is evaluated this year. <u>Milestones for Zero Retention of Sharks and Rays (S&R)</u> M-I S&R A.8, M-I S&R A.9, M-I S&R A.11 The Audit Team was provided previously with a copy of the PAST guide to good practices to reduce the mortality of sharks and rays captured incidentally by purse seine vessels (PAST 2019a) and the PAST workshop training manual on the commitment to zero retention, zero finning and 100% release of sharks and rays (PAST 2019b). In 2020, 168 skippers and crew received the training, with 979 receiving the training in 2021. In 2022, 1,148 PAST skippers and crew received the training, which is delivered at workshops, as evidenced to the Audit Team through images and sign-in sheets from the workshops. For 2022, the PAST again officially requested that CONAPESCA undertake random inspections of its vessels at landing (PAST 2022a, PAST 2022b), and these were followed by requests from member companies (Procesa Chiapas 2022, Pesca Azteca 2022). It was confirmed that 18 random inspections were conducted in the first part of 2022, and that there were no violations of the non-retention of sharks and zero finning policies detected from 2019-2022 (CONAPESCA 2022). It was confirmed in a letter from Fidemar (dated 1st September 2022) that no sharks or rays were detected during unloading of any PAST vessel during 2021. Finally, we note that the Audit Team attended a site visit in Mazatlan in September 2022, where an opportunity to talk to skippers and crew was provided, together with the opportunity to go aboard a vessel as the tuna was being unloaded. Posters highlighting the no finning and non-retention of silky shark and oceanic whitetip sharks were prominently displayed on the vessel, and the Audit team was left in no doubt that the crew members were aware of their obligations in this regard. <u>Milestones for Safe-Handling/Live Return of Sharks and Rays</u> M-I S&R B.9, M-I S&R B.10 100% observer coverage has been maintained on PAST vessels, including throughout the Covid-19 pandemic. It is noted that the requirement for 100% observer coverage is mandated by the IATTC, and the Audit Team has no doubt that this will be continued into the future. The data and detail on catches including fate of bycaught sharks and rays that are provided by observers is also expected to be retained or even improved in future. The number of silky sharks caught has remained relatively low over time, at an average of 1,496 per year, which equates to just over one shark every five sets. The mean number of Mobulids recorded annually is 230, which represents an average of one Mobulid ray every 30 sets across the fishery. Key evidence for meeting this condition is then contained within the data on the status upon release of the silky sharks and Mobulids captured in the PAST fishery. In this regard, the percentage of the silky sharks that were recorded as 'released alive' has risen from 50.9% in

	2018 to average 69.1% in the last three years, while the percentage of Mobulids released alive has been around 90% over the course of the certificate, but reached 94% in 2021. These improvements are consistent with the expectations of implementing the PAST fishery requirements. ----- In summary, the very low relative catch of silky sharks in the PAST fishery and low catch of Mobulids, together with the evidence provided by the 100% observer coverage on the proportions of these species that are released alive, provide “...some evidence that the partial strategy is being implemented successfully.” For silky sharks and Mobulids, SG80 is therefore met. This Condition is closed.
Status	This condition is closed , and rescoring is provided in Section 4.6.
Additional information	None

Condition 2-15 (PI 2.1.2 Slc – Free School Sets)

Performance Indicator	2.1.2, Slc
Score	65
Justification	<u>Pacific bluefin tuna</u>: As the strategy has only recently been implemented there is as yet no evidence that it has been implemented successfully. The requirements of the SG 80 level are therefore not met.
Condition	<u>Pacific bluefin tuna</u>: By the fourth first year reassessment annual surveillance, provide evidence that the partial strategy is being implemented successfully.
Condition Start	PCR
Condition Deadline	fourth first year reassessment annual surveillance
Milestones	<u>Milestones for Pacific Bluefin Tuna</u>: M-I PFB 1 By the first annual audit, the Alliance will provide evidence to the auditors demonstrating that no Alliance vessels has engaged in Pacific bluefin tuna catching operations for the 2015 and 2016 inclusive, by providing official logbook documentation showing no recorded catches of this species exists. M-I PFB 2 By the first annual audit (and subsequent annual audits until the fourth year), the Alliance will provide evidence that the strategy for no targeting Pacific bluefin tuna by the Alliance vessels applied for the 2015 and 2016, is a demonstrably effective management measure in place such that their fishing operations is not hinder recovery or rebuilding of this species. M-I PFB 3 By the first annual audit, (and subsequent annual audits until the fourth year) the Alliance will provide evidence that the strategy is being implemented successfully.
Client Action Plan	Refer to the following section(s) of Client Action Plan in the PCR: Section I. Commitments to Pacific Bluefin Tuna.

	Goal: To refrain from targeting Pacific bluefin tuna for the duration of the certificate
Consultation on condition	Letters of Support below from CONAPESCA and IATTC were provided to SCS Global Services as the fishery's Conformity Assessment Body (CAB) when the fishery was certified (Morgan et al. 2017).
Progress on Condition (Year 3)	<u>Milestones for Pacific Bluefin Tuna</u> M-I PFB 2, M-I PFB 3 For this year's audit, the individual companies within the client group (Grupomar, Pesca Azteca and Procesa Chiapas) provided a letter to the CAB again confirming their desire and willingness to withdraw from catching Pacific bluefin tuna in the Eastern Pacific Ocean for five years, to achieve the recovery of this species (PAST 2021c). In the same letter, the PAST members reiterated their commitment towards sustainable measures to preserve tuna species and the whole marine ecosystem in general. Further to this, updated catch data for Pacific bluefin tuna by PAST vessels were provided to the Audit Team, which showed that PAST vessels have caught 0 t of this species since 2017. In light of the ongoing evidence that the PAST fishery is not catching Pacific bluefin tuna, and therefore the effectiveness of the strategy employed by PAST vessels to avoid catches, it was determined appropriate this year to close this condition. There is considered to be "<i>evidence that there is a partial strategy of demonstrably effective management measures in place such that the free school sets do not hinder recovery and rebuilding</i>". This condition is closed.
Status	Closed @ Year 3
Additional information	Rescoring for this PI is provided in the Year 3 audit report.

Condition 2-16 (PI 2.1.2 Sle – Free School Sets)

Performance Indicator	2.1.2, Sle
Score	65
Justification	<u>Silky shark:</u> As outlined in the background section on silky sharks, there is evidence from both the reports to the COR and the results from the observer survey that shark finning is not taking place in any systematic way. The number of instances in the UoA are small. CONAPESCA provided evidence of a case of shark finning infractions by a vessel. The vessel, not from the UoA, was found guilty, however the case is subject to appeal and ongoing (CONAPESCA 2015b). On this basis, and following the revised guidance with regard to shark finning, we have concluded that it is likely that shark finning is not taking place. There are no recent data from the Compliance Committee, however, on the level of compliance with C-05-03 and no information through the IRP on sanctions for any non-compliance. We therefore do not consider it to be highly likely that shark finning is not taking place. We note the information from observers that shark finning was previously more common in catches from object sets but given that silky sharks are caught in all set types, and in the absence of any data specific to other set types, have applied the same rationale and score to both these set types. This meets the requirements of the SG 60 level but not of the SG 80 level.
Condition	<u>Silky shark:</u>

	By the fourth first year reassessment annual surveillance, provide evidence that it is highly likely that shark finning is not taking place in free school sets.
Condition Start	PCR
Condition Deadline	fourth first year reassessment annual surveillance
Milestones	<u>Milestones for Zero Finning</u> M-I S&R C.1 By the first annual audit, the Alliance will provide the auditors with a copy of the written Zero Finning policy developed to be followed by the Alliance vessels, and will inform them as to the status of its implementation. M-I S&R C.2 By the first annual audit, the Alliance will provide the auditors with copy of the materials used and distributed to train crewmen and skippers regarding the Alliance Zero Finning policy (including the materials posted in the galley) and will provide an update of the numbers of individuals that have received this training. M-I S&R C.3 For the second, third and fourth annual audits, the Alliance will provide evidence to the auditors on the numbers of skippers and crewmen that have received training on the Alliance Zero Finning Policy. M-I S&R C.4 For the first, second, third and fourth first annual audits, the Alliance will provide written documentation showing the number of random port inspections requested by the Alliance (or otherwise initiated) and conducted by CONAPESCA personnel, with the aim of enforcing zero finning domestic and international regulations, including the findings issued by the corresponding authority with respect to finning. The Alliance will also provide evidence that such events have been posted on the Alliance web page each quarter. M-I S&R C.5 For the first, second, third and fourth annual audits, the Alliance will provide evidence describing and quantifying any violations to its Zero Finning Policy and the corresponding corrective actions it has taken with skippers and crewmen. M-I S&R C.6 By the fourth annual audit, the Alliance will provide evidence that it is highly likely that shark finning is not taking place for both dolphin and free school sets, involving any sharks, but in particular silky sharks.
Client Action Plan	Refer to the following section(s) of Client Action Plan in the PCR: C. Proposed Action Plan on Implementation of the Alliance Zero Finning Policy. Goal: To ensure that no finning takes place on any of the Alliance vessels and to ensure full compliance with all domestic regulations and those emerging from the IATTC Resolutions regarding finning.
Consultation on condition	Letters of Support below from CONAPESCA and IATTC were provided to SCS Global Services as the fishery's Conformity Assessment Body (CAB) when the fishery was certified (Morgan et al. 2017).
Progress on Condition (Year 3)	PI 2.1.2 is a management PI, and therefore Condition 2-16 <u>is</u> eligible for an extension under Derogation 6. Therefore, the Year 3 milestones are not effective this year. Nevertheless, progress is noted against the Year 3 milestones, and the status as indicated in the following section reflects the status after considering any progress. <u>Milestones for Zero Finning</u> M-I S&R C.3, M-I S&R C.4, M-I S&R C.5 Last year, the Audit team was provided with a copy of the PAST guide to good practices to reduce the mortality of sharks and rays captured incidentally by purse seine vessels (PAST 2019a) and the PAST workshop training manual on the commitment to zero retention, zero finning and 100% release of sharks and rays (PAST 2019b). These training materials are delivered at workshops with skippers, fishing captains and other crew of the PAST fleet, and

	highlight the benefits to sharks, rays and other bycatch species of appropriate, safe handling techniques. The materials also point to the Mexican and IATTC laws and regulations around finning and shark management, specifying clearly that the PAST operates a zero retention and 100% release policy for sharks and ray species, and that there is a zero finning policy in place (including because of the impact this practice would have on MSC certification for the fishery). Training has been ongoing in the last year, and evidence was provided during this latest audit that a total of 979 skippers and crewmen from across the vessels of the client group have now received the training – this is an increase of 811 since last year. As last year, for 2021 the PAST officially requested that CONAPESCA undertake random inspections of its vessels at landing (PAST 2021a), and these were followed by requests from each member company (Procesa Chiapas 2021, Pesca Azteca 2021, Grupomar 2021). There have been no violations of the non-retention of sharks and zero finning policies in the last year (IATTC 2021a). These milestones are met.
Progress on Condition (Year 4)	PI 2.1.2 is a management PI, and therefore Condition 2-16 was eligible for an extension under Derogation 6. Progress against the Year 3 milestones was nevertheless evaluated last year, and progress against the Year 4 milestones is evaluated this year. <u>Milestones for Zero Finning</u> M-I S&R C.3, M-I S&R C.4, M-I S&R C.5, M-I S&R C.6 The Audit Team was provided previously with a copy of the PAST guide to good practices to reduce the mortality of sharks and rays captured incidentally by purse seine vessels (PAST 2019a) and the PAST workshop training manual on the commitment to zero retention, zero finning and 100% release of sharks and rays (PAST 2019b). In 2020, 168 skippers and crew received the training, with 979 receiving the training in 2021. In 2022, 1,148 PAST skippers and crew received the training, which is delivered at workshops, as evidenced to the Audit Team through images and sign-in sheets from the workshops. For 2022, the PAST again officially requested that CONAPESCA undertake random inspections of its vessels at landing (PAST 2022a, PAST 2022b), and these were followed by requests from member companies (Procesa Chiapas 2022, Pesca Azteca 2022). It was confirmed that 18 random inspections were conducted in the first part of 2022, and that there were no violations of the non-retention of sharks and zero finning policies detected from 2019-2022 (CONAPESCA 2022). It was confirmed in a letter from Fidemar (dated 1st September 2022) that no sharks or rays were detected during unloading of any PAST vessel during 2021. Finally, we note that the Audit Team attended a site visit in Mazatlan in September 2022, where an opportunity to talk to skippers and crew was provided, together with the opportunity to go aboard a vessel as the tuna was being unloaded. Posters highlighting the no finning and non-retention of silky shark and oceanic whitetip sharks were prominently displayed on the vessel, and the Audit team was left in no doubt that the crew members were aware of their obligations in this regard. It is considered that there is evidence that it is at least <i>“highly likely that shark finning is not taking place”</i> in the PAST fishery – at least SG80 is met. This Condition is closed.
Status	This condition is closed , and rescoring is provided in Section 4.6.
Additional information	None

Condition 2-17 (PI 2.1.3 Slc – Free School Sets)

Performance Indicator	2.1.3, Slc
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Score	65
Justification	<u>Silky Shark:</u> The information that has been collected has been sufficient to support at least some of the measures that collectively are considered to comprise a strategy to manage silky sharks. However, the absence of retention vs discard (and survivorship) information means that there is not sufficient information to support the partial strategy, which includes national and international regulations prohibiting retention of the species. The SG 60, but not SG 80 Scoring Issue, is therefore met. <u>Mobulid Rays:</u> Data on Mobulid rays provided includes annual catch by set type, but the team was not provided with data on retention versus discard. While the data are sufficient to support overall management of the species and basic estimates such as abundance, information is currently not adequate to support the main measures of the partial strategy, which hinge on national and international regulations that pertain to prohibited retention of the species. The SG 60, but not SG 80 Scoring Issue, is therefore met.
Condition	<u>Silky shark and Mobulid rays:</u> By the fourth first year reassessment annual surveillance, provide evidence that information is adequate to support a partial strategy to manage main retained species.
Condition Start	PCR
Condition Deadline	fourth first year reassessment annual surveillance
Milestones	<u>Milestones for Zero Retention of Sharks and Rays (S&R)</u> M-I S&R A.3 By the first annual audit, the Alliance will provide evidence of the record keeping format that is being or will be used to keep records of all interactions with silky sharks and Rays (in particular Mobulid). M-I S&R A.4 By the first annual audit, the Alliance will provide any available data resulting from the records being kept of interactions with silky sharks, specifically indicating the numbers and condition of their release (live, unknown, injured, dead), as well as any interactions with rays, in particular with Mobulid rays. M-I S&R A.7 By the fourth annual audit, the Alliance will provide evidence that information being collected is adequate to support a partial strategy to manage the main retained (or no longer retained) sharks and ray species. M-I S&R A. 11 For each of the annual audits, Year One through Year Four, the Alliance will provide evidence showing records of any small sharks and/or rays detected at the time of fish unloading and that could involuntarily have ended up in the vessel fish wells without being noticed by the crew during brailing and/or sorting, as well as documentation showing the donation of these species to a designated food bank. <u>Milestones for Safe-Handling/Live Return of Sharks and Rays</u> M-I S&R B.4 For the second, third and fourth annual audits, the Alliance will provide any available data resulting from the records being kept, showing the interactions with all sharks and rays, but specifically silky sharks and Mobulid rays, indicating the numbers and condition at the time of their release (live, unknown, injured, dead). M-I S&R B.10 By the fourth annual audit, the Alliance will provide evidence that sufficient data continues to be collected for both dolphin and free school sets to detect any increase in risk level (e.g. due to changes in the outcome indicator score or the operation of the fishery or the effectiveness of the strategy) as it relates to the Safe-Handling/ Live Return policy for silky sharks and Mobulid rays.

Client Action Plan	Refer to the following section(s) of Client Action Plan in the PCR: Section I. Comprehensive Strategy for Sharks and Rays. The Alliance will design and implement a comprehensive strategy that includes A. Proposed Action Plan on Implementation of Zero Retention of Sharks and Rays. Goal: To ensure that no sharks incidentally caught during regular tuna fishing operations (Dolphin sets and/or Free School sets), are voluntarily retained by any of the Alliance vessels. B. Proposed Action Plan on Implementation of the Alliance Safe-Handling/Live Return for Sharks and Rays. Goal: To implement on all Alliance vessels a Safe-Handling/Live Return policy to maximize the number of sharks released alive at sea, to the extent practical and without compromising the safety of any persons on board; and to keep records of all these interactions
Consultation on condition	Letters of Support below from CONAPESCA and IATTC were provided to SCS Global Services as the fishery's Conformity Assessment Body (CAB) when the fishery was certified (Morgan et al. 2017).
Progress on Condition (Year 3)	PI 2.1.3 is an information PI, and therefore Condition 2-17 <u>is</u> eligible for an extension under Derogation 6. Therefore, the Year 3 milestones are not effective this year. Nevertheless, progress is noted against the Year 3 milestones, and the status as indicated in the following section reflects the status after considering any progress. <u>Milestones for Zero Retention of Sharks and Rays (S&R)</u> M-I S&R A. 11 With respects to sharks that may be retained inadvertently, the data show that this year there was just a single case (Table 7). For rays, As well as providing details on the inspections carried out on vessels of the PAST fleet, and compliance with measures to prohibit retention of sharks, rays and shark fins, CONAPESCA confirmed the following for bycatches of bluefin tuna and bonito (Table 9). The data for 2021 are consistent with those for earlier years. Table 8 shows there was a slight increase in inadvertent retention, with 17 retained (as compared with 6 and 3 for 2018 and 2019, respectively). The Audit Team is satisfied that these retentions are in no way deliberate and was presented with a letter from the IATTC to the client, confirming that the IATTC is also satisfied there was no intentional retention of sharks or rays by PAST vessels (IATTC 2021a). This milestone is met. <u>Milestones for Safe-Handling/Live Return of Sharks and Rays</u> M-I S&R B.4 Observer data presented in Table 7 show that a smaller number of silky sharks were taken in 2020 (1,815) compared to the previous two years (3,116 in 2018 and 3,540 in 2019), but the Audit Team also noted the data showing that the percentage of the silky sharks recorded as 'released alive' has increased from 50.9% in 2018, to 64.0% in 2019, and then to 76.7% for the latest year. A somewhat higher catch of rays was taken in 2020 (268) in comparison to the previous two years (214 in 2018 and 202 in 2019), with a slightly lower percentage 'released alive' (90.3% in 2018, 91.8% in 2019, to 84.3% in the last year). The Audit Team will continue to monitor the situation, but there is no pattern in the data and no reason to consider that anything has changed in the fishery. This milestone is met.
Progress on Condition (Year 4)	PI 2.1.3 is an information PI, and therefore Condition 2-17 was eligible for an extension under Derogation 6. Progress against the Year 3 milestones was nevertheless evaluated last year, and progress against the Year 4 milestones is evaluated this year. <u>Milestones for Zero Retention of Sharks and Rays (S&R)</u>

	M-I S&R A.7, M-I S&R A. 11 As reported for Condition 2-1, 100% observer coverage has been maintained on PAST vessels, including throughout the Covid-19 pandemic. The requirement for 100% observer coverage is mandated by the IATTC, and the Audit Team has no doubt that this will be continued into the future. The requirement for observers to provide data on catch and fate of bycaught sharks and rays is also expected to be retained or even improved upon in future. As such, there is no doubt that sufficient data will continue to be collected to detect any increase in risk level going forward. It was confirmed in a letter from Fidemar (dated 1st September 2022) that no sharks or rays were detected during unloading of any PAST vessel during 2021. <u>Milestones for Safe-Handling/Live Return of Sharks and Rays</u> M-I S&R B.4, M-I S&R B.10 The number of silky sharks caught has remained relatively low over time, at an average of 1,496 per year, which equates to just over one shark every five sets. Data also show an overall low and somewhat variable level of Mobulid catch (214 in 2018, 202 in 2019, 268 in 2020 and 144 in 2021). Data on the status upon release of these species as captured in the PAST fishery is also now collected routinely. In this regard, the percentage of the silky sharks that were recorded as 'released alive' has risen from 50.9% in 2018 to average 69.1% in the last three years, while the percentage of Mobulids released alive has been around 90% over the course of the certificate, but reached 94% in 2021. These improvements are consistent with the expectations of implementing the PAST fishery requirements. As noted against the first part of this condition, observer coverage has been maintained at 100% on PAST vessels, and reporting on the condition of sharks and rays has been established; the audit team is in no doubt that these measures will be continued into the future. ----- In summary, there are comprehensive data now being collected on the catch and fate of silky sharks and Mobulids in the PAST fishery. These ensure that <i>"information is adequate to support a partial strategy to manage main retained species"</i>. For silky sharks and Mobulid rays, SG80 is therefore met. This Condition is closed.
Status	This condition is closed , and rescoring is provided in Section 4.6.
Additional information	None

Condition 2-18 (PI 2.1.3 SId – Free School Sets)

Performance Indicator	2.1.3, SId
Score	65
Justification	<u>Silky shark and Mobulid rays:</u> Data continue to be collected from logbooks and observer programs in sufficient detail to detect any substantial increase in risk from increased catches of these species. What is not currently available, however, is information on the effectiveness of all the measures contained in the IATTC's Resolutions, which collectively form the strategy for addressing risks to these species. This Scoring Issue is therefore not considered to be met at the SG 80 level.

Condition	<u>Silky shark and Mobulid rays:</u> By the fourth first year reassessment annual surveillance, provide evidence that sufficient data continue to be collected for free school sets to detect any increase in risk level (e.g. due to changes in the outcome indicator score or the operation of the fishery or the effectiveness of the strategy).
Condition Start	PCR
Condition Deadline	fourth first year reassessment annual surveillance
Milestones	<u>Milestones for Zero Retention of Sharks and Rays (S&R)</u> M-I S&R A.3 By the first annual audit, the Alliance will provide evidence of the record keeping format that is being or will be used to keep records of all interactions with silky sharks) and rays (in particular Mobulid). M-I S&R A.4 By the first annual audit, the Alliance will provide any available data resulting from the records being kept of interactions with silky sharks, specifically indicating the numbers and condition of their release (live, unknown, injured, dead), as well as any interactions with rays, in particular with Mobulid rays. M-I S&R A.7 By the second annual audit, the Alliance will provide evidence that information being collected is adequate to support a partial strategy to manage the main retained (or no longer retained) sharks and ray species. M-I S&R A.10 By the fourth annual audit, the Alliance will provide evidence that sufficient data continues to be collected for both dolphin and free school sets to detect any increase in risk level (e.g. due to changes in the outcome indicator score or the operation of the fishery or the effectiveness of the strategy) as it relates to silky sharks and Mobulid rays. M-I S&R A. 11 For each of the annual audits, Year One through Year Four, the Alliance will provide evidence showing records of any small sharks and/or rays detected at the time of fish unloading and that could involuntarily have ended up in the vessel fish wells without being noticed by the crew during brailing and/or sorting, as well as documentation showing the donation of these species to a designated food bank. <u>Milestones for Safe-Handling/Live Return of Sharks and Rays</u> M-I S&R B.4 For the second, third and fourth annual audits, the Alliance will provide any available data resulting from the records being kept, showing the interactions with all sharks and rays, but specifically with silky sharks and Mobulid rays, indicating the numbers and condition at the time of their release (live, unknown, injured, dead). M-I S&R B.10 By the fourth annual audit, the Alliance will provide evidence that sufficient data continues to be collected for both dolphin and free school sets to detect any increase in risk level (e.g. due to changes in the outcome indicator score or the operation of the fishery or the effectiveness of the strategy) as it relates to the Safe-Handling/ Live Return policy for silky sharks and Mobulid rays.
Client Action Plan	Refer to the following section(s) of Client Action Plan in the PCR: Section I. Comprehensive Strategy for Sharks and Rays. The Alliance will design and implement a comprehensive strategy that includes A. Proposed Action Plan on Implementation of Zero Retention of Sharks and Rays. Goal: To ensure that no sharks incidentally caught during regular tuna fishing operations (Dolphin sets and/or Free School sets), are voluntarily retained by any of the Alliance vessels. B. Proposed Action Plan on Implementation of the Alliance Safe-Handling/Live Return for Sharks and Rays.

	Goal: To implement on all Alliance vessels a Safe-Handling/Live Return policy to maximize the number of sharks released alive at sea, to the extent practical and without compromising the safety of any persons on board; and to keep records of all these interactions
Consultation on condition	Letters of Support below from CONAPESCA and IATTC were provided to SCS Global Services as the fishery's Conformity Assessment Body (CAB) when the fishery was certified (Morgan et al. 2017).
Progress on Condition (Year 3)	PI 2.1.3 is an information PI, and therefore Condition 2-17 <u>is</u> eligible for an extension under Derogation 6. Therefore, the Year 3 milestones are not effective this year. Nevertheless, progress is noted against the Year 3 milestones, and the status as indicated in the following section reflects the status after considering any progress. <u>Milestones for Zero Retention of Sharks and Rays (S&R)</u> M-I S&R A. 11 With respects to sharks that may be retained inadvertently, the data show that this year there was just a single case (Table 7). For rays, As well as providing details on the inspections carried out on vessels of the PAST fleet, and compliance with measures to prohibit retention of sharks, rays and shark fins, CONAPESCA confirmed the following for bycatches of bluefin tuna and bonito (Table 9). The data for 2021 are consistent with those for earlier years. Table 8 shows there was a slight increase in inadvertent retention, with 17 retained (as compared with 6 and 3 for 2018 and 2019, respectively). The Audit Team is satisfied that these retentions are in no way deliberate, and was presented with a letter from the IATTC to the client, confirming that the IATTC is also satisfied there was no intentional retention of sharks or rays by PAST vessels (IATTC 2021a). This milestone is met. <u>Milestones for Safe-Handling/Live Return of Sharks and Rays</u> M-I S&R B.4 Observer data presented in Table 7 show that a smaller number of silky sharks were taken in 2020 (1,815) compared to the previous two years (3,116 in 2018 and 3,540 in 2019), but the Audit Team also noted the data showing that the percentage of the silky sharks recorded as 'released alive' has increased from 50.9% in 2018, to 64.0% in 2019, and then to 76.7% for the latest year. A somewhat higher catch of rays was taken in 2020 (268) in comparison to the previous two years (214 in 2018 and 202 in 2019), with a slightly lower percentage 'released alive' (90.3% in 2018, 91.8% in 2019, to 84.3% in the last year). The Audit Team will continue to monitor the situation, but there is no pattern in the data and no reason to consider that anything has changed in the fishery. This milestone is met.
Progress on Condition (Year 4)	PI 2.1.3 is an information PI, and therefore Condition 2-17 was eligible for an extension under Derogation 6. Progress against the Year 3 milestones was nevertheless evaluated last year, and progress against the Year 4 milestones is evaluated this year. <u>Milestones for Zero Retention of Sharks and Rays (S&R)</u> M-I S&R A.10, M-I S&R A. 11 As reported throughout this report, 100% observer coverage has been maintained on PAST vessels, including throughout the Covid-19 pandemic. The requirement for 100% observer coverage is mandated by the IATTC, and the Audit Team has no doubt that this will be continued into the future. The requirement for observers to provide data on catch and fate of bycaught sharks and rays is also expected to be retained or even improved upon in future. As such, there is no doubt that sufficient data will continue to be collected to detect any increase in risk level going forward.

	It was confirmed in a letter from Fidemar (dated 1st September 2022) that no sharks or rays were detected during unloading of any PAST vessel during 2021. <u>Milestones for Safe-Handling/Live Return of Sharks and Rays</u> M-I S&R B.4, M-I S&R B.10 The number of silky sharks caught has remained relatively low over time, at an average of 1,496 per year, which equates to just over one shark every five sets. Data also show an overall low and somewhat variable level of Mobulid catch (214 in 2018, 202 in 2019, 268 in 2020 and 144 in 2021). Data on the status upon release of these species as captured in the PAST fishery is also now collected routinely. In this regard, the percentage of the silky sharks that were recorded as 'released alive' has risen from 50.9% in 2018 to average 69.1% in the last three years, while the percentage of Mobulids released alive has been around 90% over the course of the certificate, but reached 94% in 2021. These improvements are consistent with the expectations of implementing the PAST fishery requirements. As noted against the first part of this condition, observer coverage has been maintained at 100% on PAST vessels, and reporting on the condition of sharks and rays has been established; the audit team is in no doubt that these measures will be continued into the future. ----- In summary, there are comprehensive data now being collected on the catch and fate of sharks and rays in the PAST fishery. These ensure that <i>"sufficient data continue to be collected for free school sets to detect any increase in risk level (e.g. due to changes in the outcome indicator score or the operation of the fishery or the effectiveness of the strategy)."</i> For silky sharks and Mobulid rays, SG80 is therefore met. This Condition is closed.
Status	This condition is closed , and rescoring is provided in Section 4.6.
Additional information	None

Condition 2-19 (PI 2.1.3 SId – Free School Sets)

Performance Indicator	2.1.3, SId
Score	65
Justification	<u>Bonito:</u> Data continue to be collected from logbooks and observer programs in sufficient detail to detect any substantial increase in risk from increased catches of these species. What is not currently available, however, is information on the effectiveness of all the measures contained in the IATTC's Resolutions, which collectively form the strategy for addressing risks to these species. This Scoring Issue is therefore not considered to be met at the SG 80 level.
Condition	<u>Bonito:</u> By the fourth first year reassessment annual surveillance, provide evidence that sufficient data continue to be collected for free school sets to detect any increase in risk level (e.g. due to changes in the outcome indicator score or the operation of the fishery or the effectiveness of the strategy).

Condition Start	PCR																												
Condition Deadline	fourth first year reassessment annual surveillance																												
Milestones	<u>Milestones for Bonito</u> M-II BON 1 For annual audits first through fourth, the Alliance will provide evidence showing all catch records of bonito registered by the Alliance vessels and that the data being collected is sufficient to detect any increase in risk level (e.g. due to changes in the outcome indicator score or the operation of the fishery or the effectiveness of the strategy).																												
Client Action Plan	Refer to the following section(s) of Client Action Plan in the PCR: Section II. Commitments to Bonito Goal: To continue to collect sufficient data and to commission an evaluation to determine if the harvest of this stock is within or outside of biological limits, and to identify potential measures to reduce possible risks to this stock.																												
Consultation on condition	Letters of Support below from CONAPESCA and IATTC were provided to SCS Global Services as the fishery’s Conformity Assessment Body (CAB) when the fishery was certified (Morgan et al. 2017).																												
Progress on Condition (Year 3)	PI 2.1.3 is an information PI, and therefore Condition 2-19 <u>is</u> eligible for an extension under Derogation 6. Therefore, the Year 3 milestones are not effective this year. Nevertheless, progress is noted against the Year 3 milestones, and the status as indicated in the following section reflects the status after considering any progress. <u>Milestones for Bonito:</u> M-II BON 1 Catches of bonitos in the PAST fishery (free school sets) have varied over recent years, from 0t in 2018 to a maximum of 2,125 t in 2019; the average annual catch in the last five years has been 787 t (Table 9). This variability is consistent with the variability highlighted in the report by Ortega-García & Jakes-Cota 2019, who demonstrated catches in total have varied historically due to factors including market demand and price, as well as to the migratory movements of the fish and oceanic conditions. These authors showed that total catches from the stock were low and averaged less than 1,000 t from the mid-1990s to the mid-2000s, before increasing to a recent maximum in 2007 of 14,000 t and then declined thereafter; in 2018, the total catch was essentially zero, mirroring the situation with the PAST fishery. The fact that bonitos are considered as main species in the free school UoCs is because they represented 15% of the total catch for the 2009-2013 period that was considered at assessment. However, over the most recent five years, the bonitos have averaged 3.9% of the free school catch (see table below). At this level, bonito would not be considered a main species, and instead they would be assessed as minor species. <table><tr><th>Year</th><th>Total Catch (t)</th><th>Bonito Catch (t)</th><th>Bonito as % of Total</th></tr><tr><td>2016</td><td>26,058</td><td>108</td><td>0.4</td></tr><tr><td>2017</td><td>33,461</td><td>1,354</td><td>4.0</td></tr><tr><td>2018</td><td>10,809</td><td>-</td><td>0.0</td></tr><tr><td>2019</td><td>18,353</td><td>2,171</td><td>11.8</td></tr><tr><td>2020</td><td>9,833</td><td>303</td><td>3.1</td></tr><tr><td>Mean</td><td>19,702</td><td>787.2</td><td>3.9</td></tr></table>	Year	Total Catch (t)	Bonito Catch (t)	Bonito as % of Total	2016	26,058	108	0.4	2017	33,461	1,354	4.0	2018	10,809	-	0.0	2019	18,353	2,171	11.8	2020	9,833	303	3.1	Mean	19,702	787.2	3.9
Year	Total Catch (t)	Bonito Catch (t)	Bonito as % of Total																										
2016	26,058	108	0.4																										
2017	33,461	1,354	4.0																										
2018	10,809	-	0.0																										
2019	18,353	2,171	11.8																										
2020	9,833	303	3.1																										
Mean	19,702	787.2	3.9																										

	There is limited specific targeting of bonitos by the PAST fleet, and catch data for these species are collected and collated routinely, together with VMS data. All vessels are 100% covered by onboard observers. It is noted that the status of bonitos has not been assessed by the IATTC but they are short-lived and productive species and are classified by the IUCN as being of least concern. In the context of the variable but low catches of bonito by the PAST fleet in recent years, the nature of the fishery overall, their productivity and the limited targeting, it is determined appropriate this year to close this condition. It is considered that <i>“sufficient data continue to be collected for free school sets to detect any increase in risk level (e.g. due to changes in the outcome indicator score or the operation of the fishery or the effectiveness of the strategy)”</i>. This condition is closed.
Status	Closed
Additional information	Rescoring for this PI is provided in the Year 3 audit report.

4.4 Principle 3 Conditions

MSC derogation 6 was applied to all open Principle 3 conditions. Details are provided in the 'Additional information' section of each Condition to show how the derogation will impact the milestones and deadlines going forward.

As for Principle 2, for each condition, the tables also provide the justification, the condition itself, and then the annual milestones that were set; the milestones that are relevant to the Year 4 audit are highlighted in green. The Client Action Plan (CAP) is also presented, together with an update from the last audit report in the section 'Progress on Condition Year 3'.

New information from the client for this Year 4 surveillance audit was made available to the audit team and for each milestone, and relevant points are summarised and presented in the section 'Progress on Condition Year 4'. The Audit Team has indicated the current situation with respect to each condition being 'ahead of target', 'on target', 'behind target' or 'closed' in the 'Status' section.

Where MSC Derogation 6 was applied (i.e., conditions on all management and information PIs), details are provided in the 'Additional information' section of each Condition to show how the derogation impacted the milestones and deadlines going forward

Condition 3-1 (PI 3.2.1 Sla – All UoCs)

Performance Indicator	3.2.1, Sla
Score	75
Justification	NOM-001-SAG/PESC-2013 facilitates the adoption of resolutions concerning closures, catch quotas and other instruments that are of more specific than the broad goals of sustainability. The recently introduced Mexican management plan for yellowfin tuna (SAGARPA 2014) outlines a number of actions aligned with the overall objectives for the fishery. The effectiveness of the plan in adding to existing management tools is not yet evident. The existence of regulatory documents such as the NOM-001-SAG/PESC2013 and implicit nature of statements of long and short term management objectives are sufficient to meet SG60. The adoption of the yellowfin management plan indicates progress towards meeting SG 80, however given that the effectiveness of the plan is not yet evident and that there is a lack of explicit short-term objectives for skipjack tuna suggest SG 80 requirements are only partially met. Overall, a score of 75 is given for this PI due to SG 80 being partially met at the national level.
Condition	By the third annual surveillance, demonstrate that short term objectives are in place at the national level, consistent with achieving the outcomes expressed by MSC's Principles 1 and 2 and explicit within the fishery's management system.
Milestones	<u>Milestones for Skipjack Short-Term Objectives</u> M-I P3 1 By the first annual audit, the Alliance will provide evidence that it has formally requested (in writing) that CONAPESCA and INAPESCA include short-term objectives for the sustainable management of Skipjack in the Pacific Ocean - either in the Carta Nacional de Pesca or through an amendment to the Plan de Manejo para la Pesquería Mexicana del Atún Aleta Amarilla del Pacífico. M-I P3 2 By the second annual audit, the Alliance will provide evidence of CONAPESCA and/or INAPESCA response to the Alliance request regarding the inclusion of short-term management objectives for the Skipjack fishery and any additional information that indicates the status of the original request and its implementation. In case short-term management objectives for

	skipjack tuna have been established, the Alliance will provide the necessary documentation to demonstrate this to the auditors. M-I P3 3 By the third annual audit, the Alliance will provide documentation demonstrating that short-term management objectives are in place at the national level, consistent with achieving the outcomes expressed by MSC's Principles 1 and 2 and explicit within the fishery's management system.
Client Action Plan	Refer to the following section(s) of Client Action Plan in the PCR: <i>Section 1. Commitment to Ensure that Short-term Objectives for Skipjack Tuna Fishery are Included for the Pacific Mexican Exclusive Economic Zone.</i> Goal: To ensure that the skipjack fishery in the Mexican Pacific Exclusive Economic Zone is regulated by clear, specific short-term objectives at the national level which ensure the sustainable management of the species.
Consultation on condition	Letters of Support below from CONAPESCA and IATTC were provided to SCS Global Services as the fishery's Conformity Assessment Body (CAB) when the fishery was certified (Morgan et al. 2017).
Progress on Condition (Year 1)	After closely reviewing the justification for this PI and the management, the assessment team revised the emphasis of the evaluation of this PI to focus on the regional level arrangements. The key focus for the short-term objectives is on the regional level arrangements, as this is where fisheries management arrangements of the fishery are established. The IATTC is responsible for the sustainability and management of target stocks and for considering and minimizing the impact of the fishery on ecosystem components. On June 4, 1999, the Mexican State adhered to the Convention for the establishment of the Inter-American Tropical Tuna Commission (IATTC). According to the decree published in the Official Gazette of the Federation of July 19, 1999, the Mexican State has the rights and obligations granted and imposed by the Convention as if it were one of its original signatories, for which the recommendations issued by the IATTC are binding in the decisions of the fishing authority. Thus, the objectives of the IATTC Convention are applicable to the national level management. This PI has been rescored, the new score awarded is 80, closing the condition. A Re-Scoring Table (See 10.1.1 Evaluation Table for PI 3.2.1) is available under Appendix 1.
Status	Closed @ Year 1
Additional information	

Condition 3-2 (PI 3.2.2 Sib – All UoCs)

Performance Indicator	3.2.2, Sib
Score	75
Justification	At the national level the decision process is also well established. Mexico responds to IATTC decisions, with the flow of resolutions to fisheries authorities, to its scientific staff and then to Congress for approval and publication as a document that acts as a law. Procedures or documents that do not derive from IATTC agreements such as management plans or NOMs are first proposed to INAPESCA which reviews the technical details, content and structure of the proposal before forwarding the proposal to CONAPESCA. If approved by CONAPESCA the Federal Commission for Regulatory Improvement (COFEMER) verifies the legal consistency and validity of the proposal prior to the proposal being sent to Congress for approval and publication in the Official Gazette. However, although there are consultation processes

	established through Mexico's fisheries legislation, it is not clear that issues identified through research and monitoring outside IATTC processes are responded to in a transparent and timely manner. SG 60 requirements are met but further evidence is required to meet SG 80.
Condition	By the third annual surveillance, demonstrate that at the national level decision processes respond to serious and other important issues identified in relevant research, monitoring, evaluation and consultation, in a transparent, timely and adaptive manner.
Milestones	Milestones for an Effective, Transparent, Inclusive and Responsive Decision-Making Process for the Fishery M-II P3 1 By the first annual audit, the Alliance will provide evidence showing communications submitted to CONAPESCA requesting the implementation of decision-making processes at the national level that is effective, transparent, inclusive and responsive, taking into consideration all relevant information (including relevant research, monitoring, evaluation and consultations), the concerns of other stakeholders and the wider implications of such decisions. M-II P3 2 By the second annual audit, the Alliance will provide evidence of CONAPESCA's response to the Alliance request, and of any other relevant documentation demonstrating that CONAPESCA has agreed to improve their system at the national level and that it has initiated actions to achieve this goal. M-II P3 3 By the third annual audit, the Alliance will provide evidence that CONAPESCA has implemented an effective, transparent and inclusive decision-making process that is responsive in time and adapts to the needs of the fishery. (Will provide actual examples of minutes and/or cases in which this process has been followed by the fishery).
Client Action Plan	Refer to the following section(s) of Client Action Plan in the PCR: <i>Section II. Commitment to Ensure that CONAPESCA's Decision-making Process at the National Level is Effective, Transparent, Inclusive and Responsive to Serious and Important Research, Monitoring, Evaluation and Consultation Issues, and that it Takes into Account the Wider Implications of the Decisions.</i> Goal: To ensure that CONAPESCA implements more effective, transparent, inclusive, and responsive decision-making processes for the fishery that include and account for stakeholder views.
Consultation on condition	Letters of Support below from CONAPESCA and IATTC were provided to SCS Global Services as the fishery's Conformity Assessment Body (CAB) when the fishery was certified (Morgan et al. 2017).
Progress on Condition (Year 1)	The client provided evidence that the year 1 milestone was met. In a letter directed to the National Commissioner Of Aquaculture And Fisheries, Mario Aguilar Sánchez, on May 2018 (See Appendix 4.2), PAST requests " CONAPESCA provide evidence that the "[...] national decision-making processes are effective, transparent, inclusive and responsive, taking into consideration all relevant information (including relevant research, monitoring, evaluation and consultation), and the issues of interest of other actors of interest and the broader implications of such decisions. In these decision-making processes, it is requested that civil society actors be included." During the onsite visit CONAPESCA staff provided an overview and accompanying evidence on how the process of elaboration of Official Mexican Standard (NOM in Spanish), to illustrate decision making processes in the fishery information on the development of the current NOM for the tuna fishery (NOM-001-SAG/PESC-2013) was reviewed. A detailed account can be found in the Background section (6.2 Updates on the management system and regulations). The information provided indicates that the decision-making process pertaining to the creation of Nom, technically should respond to any proposals brought up by government, industry, NGOs and other stakeholders, and it takes into account INAPESCA's technical opinion. There are also opportunities for public consultation, and there is evidence that these comments are responded and incorporated into the NOM (Condition 3-3). However, public

	access to information on the details of the decision making process remains limited. The assessment team did not receive INAPESCA's technical opinion, or details of the analysis and developing stages, such as meeting minutes, of the NOM within the Subcommittee of Responsible Fisheries (SCPR). It remains unclear how issues identified through research and monitoring (outside of IATTC's processes) are incorporated into the NOM Draft process. A review of the current NOM is expected to start in 2019. Providing an opportunity for CONAPESCA to present evidence for the Year 2 milestone, on how the current decision-making process will be improved, or evidence provided, to clearly demonstrate how issues identified in research, monitoring and evaluation are taken into account (Condition 3-2) and explanations are provided for any actions or lack of action associated with these issues (Condition 3-3) During 2016 PAST participated in several meetings and a workshop led by the initiative 'Barco Abierto', a multi-stakeholder group including civil society, industry and government representatives, working to reform legislation in order to strengthen citizen participation in the fisheries and aquaculture sector. As a result of this initiative a proposal to reform the General Law of Sustainable Fisheries and Aquaculture to strengthen citizen participation in the sector fishing and aquaculture was presented to the Senate on November 2017. The proposed reform includes the following considerations; strengthening of the National Council of Sustainable Fisheries and Aquaculture is strengthened, by adding new members for greater representation and inclusion of the sector, the State Fisheries and Aquaculture Councils as spaces for citizen participation to promote local level of dialogue and consensus to propose the creation of public policies in fisheries (Condition 3-2). Regarding transparency the project proposes that the Technical Secretariat of the Council must publish on the Internet portal of the SAGARPA the list of members, work agenda, minutes of sessions, report of activities and results, among other documents generated by the National Council as far as the General Law of Transparency and Access to Public Information and other applicable regulations permit (Condition 3-2 and Condition 3-3). The current status of this proposed reform is pending. Status of Condition: On target.
Progress on Condition (Year 2)	M-II P3 2 The Alliance provided evidence that the second year milestone was met with the provision of a letter to the National Commissioner of Aquaculture and Fisheries, Raul Elenes Angulo, on 10th February 2020. The Alliance requested that CONAPESCA provide data and other relevant information that are required to meet the second year milestones for each the Principle 3 Conditions including Condition 3.2. The letter stipulated the following for Condition 3.2: "a response from CONAPESCA to the request of the Alliance with regard to demonstrating that actions taken at the national level ensure effective, transparent, inclusive and responsive decision-making processes, which take into account issues identified through scientific research, monitoring, evaluation and consultation". CONAPESCA responded to the Alliance request with the following: 1) Meeting minutes of the First Session of the Subcommittee for Sustainable Fisheries in June 2019 which included discussions concerning the ratification of the Official Mexican Standard, NOM-001-SAG/PESC-2013, which establishes management measures for the fishing of tuna with specifications for purse seine fishing operations. Also, attendance records and letters of acceptance to invitations to attend the subcommittee meeting from stakeholders including CONAPESCA, CONACOP, La Union de Aronadores de Litoral de Oceano Pacific Mexicano etc. 2) Meeting minutes of the Second Session of the National Advisory Committee for Food Standardization on 25th July 2020 which included discussions concerning: a draft amendment to the Official Mexican Standard NOM-049-SAG/PESC-2014 which determines procedures for establishing, evaluating and monitoring protected areas for fishery resources in waters of federal jurisdiction in the Mexican states, the ratification of the Mexican Official Standard for Responsible Fisheries and the completion of the five year review of NOM-001-SAG/PESC-2013 and other NOMs.

	3) The Agreement by which the Fisheries Management Plan for Yellowfin Tuna is implemented in the Pacific Ocean of Mexico (2014). The purpose of the Agreement was to publicize the actions that were established to manage the yellowfin tuna fishery in a balanced, comprehensive and sustainable manner, based on updated knowledge of biological aspects, ecological, environmental, economic, cultural and social aspects of the fishery. This Agreement provides evidence that the management system decision-making processes responded to issues identified through research and monitoring in a transparent manner. The preparation of this Management Plan was the responsibility of INAPESCA using the best available scientific information in developing measures to manage the yellowfin tuna fisheries. In developing this Agreement INAPESCA utilized existing biological and catch and effort data for yellowfin from the Mexico purse seine and longline fisheries. Multiple stakeholders including cooperative societies, fishers, fishing vessel owners, CANAINPESCA, CANACINTRA and CANACO were involved in the evaluation process. Discussions during the Second Year Surveillance Audit and evidence provided by the Alliance and CONAPESCA indicated that the national management system decision-making processes responded to issues identified through research and monitoring, outside IATTC processes, in a transparent and timely manner. The following documents were provided to the audit team by the Alliance and CONAPESCA: • Communication to CONAPESCA following up on the request on evidence that demonstrates compliance with a more inclusive review process (Oficio a CONAPESCA Plan de Accion MSC20200204.pdf). - The Alliance has followed up on the documentary evidence requested from CONAPESCA via emails and videoconferences. • Response from CONAPESCA (OFICIO_DAI_00291_MSC_ATUN.pdf). • Information related with NORMA Oficial Mexicana NOM-001-SAG/PESCA-2013, Pesca responsable de túnidos. Especificaciones para las operaciones de pesca con red de cerco. To meet SG80 for PI3.2.2b the fishery management system decision-making processes are required to respond to serious and other important issues identified in relevant research, monitoring, evaluation and consultation in a transparent, timely and adaptive manner and take account of the wider implications of decisions. The Alliance and CONAPESCA have provided the Official Mexican Standard, NOM-001-SAG/PESC-2013, Agreement by which the Fisheries Management Plan for Yellowfin Tuna is implemented in the Pacific Ocean of Mexico (2014) and meeting minutes of the First Session of the Subcommittee for Sustainable Fisheries in June 2019 and Second Session of the National Advisory Committee for Food Standardization on 25th July 2020, which included discussions concerning the ratification of the Official Mexican Standard, NOM-001-SAG/PESC-2013, as evidence that the fishery management system has responded to issues in a transparent and timely manner. Also, attendance records and letters of acceptance to invitations to attend the meetings from stakeholders were provided. The information provided indicates that decision-making processes pertaining to the creation and review of the Official Mexican Standard, NOM-001-SAG/PESC-2013, respond to issues raised by government and other stakeholders. There are also opportunities for public consultation, and there is evidence that these comments were responded and incorporated into the NOM.
Status	CLOSED @ Year 2

Additional information	Please note that while SIb now meets SG80, the score for PI 3.2.2 overall cannot be revised to SG80 or above until Condition 3-3 is also met. As such, because Condition 3-3 remains open from the Year 2 audit, the score for PI 3.2.2 remains at 75.
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Condition 3-3 (PI 3.2.2 Sid – All UoCs)

Performance Indicator	3.2.2, Sid
Score	75
Justification	At the national level, there are formal stakeholder meetings. However, the representation at these meetings and the level of reporting to all interested stakeholders is not clear from the information available. The recently introduced Mexican management plan for yellowfin tuna (SAGARPA 2014) outlines a number of actions, the implementation of which can be evaluated. However, the effectiveness of the plan in adding to existing management tools is not yet evident. The level of influence of the fishing industry in decision making is not clear and overall there is also a lack of transparency in decision making. SG 60 is met. Overall, SG60 is met but SG 80 is not.
Condition	By the third fourth annual surveillance, demonstrate at the national level that explanations are provided for any actions or lack of action associated with findings and relevant recommendations emerging from research, monitoring, evaluation and review activity.
Condition Start	PCR
Condition Deadline	fourth annual surveillance
Milestones	<u>Milestones to Ensure CONAPESCA's Compliance for Inclusive Review Process</u> M-III P3 1 By the first annual audit, the Alliance will provide evidence showing its request for CONAPESCA to comply with an inclusive national review process that provides clear explanations for actions or lack of actions taken based on findings, research recommendations or evaluations concerning the fishery, including documentation (minutes) showing stakeholder participation and the consideration of their input in the decision-making process. M-III P3 2 By the second annual audit, the Alliance will provide evidence that CONAPESCA has responded to the Alliance's request and any initiative(s) undertaken towards this goal, including examples of CONAPESCA's compliance with an inclusive review process (i.e. Review Process of the <i>Plan de Manejo para el Atún Aleta Amarilla del Pacífico</i> which is due in 2017). M-III P3 3 By the second annual audit, the Alliance will provide the written review process associated with the Plan de Manejo para el Atún Aleta Amarilla del Pacífico, including any documentation that provides indications of deviations from the proposed goals and objectives contained in the Plan; any proposed corrective actions proposed or undertaken by CONAPESCA with the corresponding explanations; and information demonstrating the consideration and inclusion of stakeholder in the process. M-III P3 4 By the third annual audit, the Alliance will provide documentation that demonstrates that CONAPESCA has a process and is providing explanations for any action or lack of action associated with findings and relevant recommendations emerging from research, monitoring evaluation, and review activity.
Client Action Plan	Refer to the following section(s) of Client Action Plan in the PCR: <i>Section III. Commitment to Ensure that CONAPESCA Complies, at the National Level, with Inclusive Review Processes Associated with Findings, Relevant Recommendations Emerging from Research, Monitoring, Evaluation and Review Activities Relative to the Fishery.</i>

	Goal: To ensure that CONAPESCA complies with its review and dispute process including accounting for the perspective of relevant stakeholders and all information for the fishery. Clear explanations for action or lack of action for each case will be published.
Consultation on condition	Letters of Support below from CONAPESCA and IATTC were provided to SCS Global Services as the fishery's Conformity Assessment Body (CAB) when the fishery was certified (Morgan et al. 2017).
Progress on Condition (Year 3)	<u>Under MSC Derogation¹⁹, Condition 3-3 is eligible for an extension due to Covid-19. The derogation means that this condition is extended, and there is no milestone this year for this condition. Because this condition was set originally for three years, the condition timeline is now extended to Year 4.</u> M-III P3 2 The Alliance sent a letter to Dr. Pablo Arenas Fuentes, Director General, INAPESCA on 28 July 2020 requesting information on the status of the review of the <i>Plan de Manejo para el Atun Aleta Amarilla del Pacifico</i>. The Director General of INEPESCA replied to the letter on the 25 September 2020 stating that due to COVID-19 restrictions INAPESCA was not able to meet with its scientific and management partners to conduct the review. However, it was expected that the review would be completed by May 2021. The Alliance sent another letter to the Director General of INEPESCA on 27 April 2021, requesting an update on the status of the review. However, the Alliance had not received a reply to this request as of the remote site visit conducted for the Third Surveillance Audit in September 2021. It was reported that the staff of INAPESCA had only recently returned to work at its headquarters and this was likely the reason for the delay in the review of the Plan. The following documents concerning the review of the Management Plan for Yellowfin Tuna were provided by the Alliance to the audit team: • Communication from the Alliance to Dr. Pablo Fuentes, Director General, INEPESCA, on 28 July 2020 requesting information on the status of the review of the Management Plan for Yellowfin Tuna. • Communication from the Director General, INEPESCA to the Alliance on 25 September 2020 explaining that the review has not been conducted due to COVID-19 restrictions. • Communication from Alliance to the Director General, INEPESCA on 27 April 2021 requesting an update on the status of the review of the Management Plan for Yellowfin Tuna. In summary, so this milestone, INAPESCA has not been able to conduct a review of the <i>Plan de Manejo para el Atun Aleta Amarilla del Pacifico</i> due to COVID-19 restrictions that have been implemented since the Second Year Surveillance Audit. It was expected that the review of the Plan would be completed by May 2021 but INAPESCA has not responded to a request for an update on the status of the review. This milestone is not met. M-III P3 3 As above – INAPESCA has not been able to conduct a review of the <i>Plan de Manejo para el Atun Aleta Amarilla del Pacifico</i> due to COVID-19 restrictions the Alliance was not able to provide a report concerning the review process for the Plan, that included documentation of deviations (if any) from the proposed goals and objectives contained in the Plan; and corrective actions proposed or undertaken by CONAPESCA with corresponding explanations; and information demonstrating the consideration and inclusion of stakeholder in the process. This milestone is not met.

¹⁹ <https://www.msc.org/docs/default-source/default-document-library/for-business/program-documents/chain-of-custody-supporting-documents/msc-derogation-6-covid-19-fishery-conditions-extension.pdf>

	M-III P3 4 During the Third Year Surveillance Audit it was reported that due to COVID-19 restrictions CONAPESCA and other relevant government agencies were restricted in their abilities to conduct research, monitoring and review activities. Therefore, CONAPESCA was unable to provide current documentation concerning decision-making processes. However, in the Second Year Surveillance Audit CONAPESCA provided the Official Mexican Standard, NOM-001-SAC/PESC-2013, Agreement by which the Fisheries Management Plan for Yellowfin Tuna was implemented in the Pacific Ocean of Mexico (2014) and meeting minutes from the First Session of the Subcommittee for Sustainable Fisheries in June 2019 and Second Session of the National Advisory Committee for Food Standardization on 25th July 2020, which included discussions concerning the ratification of the Official Mexican Standard, NOM-001-SAC/PESC-2013. The information provided demonstrated that CONAPESCA has a decision-making process and provides explanations for actions taken or not taken. As mentioned previously, however, the review of the <i>Plan de Manejo para el Atun Aleta Amarilla del Pacifico</i> was not conducted INEPESCA and its partners since the last surveillance audit due to COVID-19 restrictions. This milestone is not met.
Progress on Condition (Year 4)	Although Derogation 6 means that the timeline for this Condition was extended (with no effective milestone in Year 3), at Year 3 it was concluded that the existing milestones for Condition 3-3 remained relevant. As such, the Audit Team did not revise the milestones, and instead at the Year 4 audit considered evidence of whether the original Year 2 and Year 3 milestones had been met. <u>Milestones to Ensure CONAPESCA's Compliance for Inclusive Review Process</u> M-III P3 2, M-III P3 3, M-III P3 4 During the Third Surveillance Audit it was reported that the review of the <i>Plan de Manejo para el Atun Aleta Amarilla del Pacifico</i> was not conducted by INEPESCA and its partners due to COVID-19 restrictions. The review of the Plan was eventually conducted in August 2022 after the restrictions were eased. Multiple stakeholders participated in the review including INAPESCA, FIDEMAR, Pesca Azteca S.A., Alliance de Pacifico por el Atun Sustentable, Pesca Chiapas and Grupo Maritimo Industriel. The stakeholders were given the opportunity to provide comments and recommendations concerning revisions to the Plan. The most significant revisions included the inclusion of artisanal, small-scale and longline fisheries in the management of yellowfin tuna within Mexico's EEZ. The initial Plan excluded objectives and strategies for the management of yellowfin tuna in these fisheries due to the minimal catches compared to the purse seine fishery (INEPESCA 2022). A list of participants, meeting minutes and a draft of the report for the revised Management Plan for Tropical Yellowfin Tuna were provided to the team to review. To meet SG80 for PI3.2.2 by the fourth annual surveillance, the fishery management system decision-making processes are required to respond to serious and other important issues identified in relevant research, monitoring, evaluation and consultation in a transparent, timely and adaptive manner and take account of the wider implications of decisions. To meet this Condition, the Alliance was required provide information concerning the process associated with the review of the <i>Plan de Manejo para el Atun Aleta Amarilla del Pacifico</i>, including documentation that provides indications of deviations from the proposed goals and objectives contained in the Plan. Based on the above, the audit team has concluded that this condition is closed.
Status	This condition is closed , and rescoring is provided in Section 4.6.
Additional information	None

Condition 3-4 and 3-5 (PI 3.2.3 Sla and Slb – All UoCs)

Performance Indicator	3.2.3, Sla and Slb
Score	65
Justification	<u>Sla</u> The system is not comprehensive and the ability to consistently enforce relevant management measures is not apparent. Whilst MCS mechanisms are in place, there are shortcomings in the ability to demonstrate that relevant management measures and rules are fully enforced. SG 60 requirements are met but SG 80 are not. Overall, SG 60 requirements are met. <u>Slb</u> Overall, there are sanctions to deal with non-compliance and there is at least some evidence that they are applied, meeting SG60. However, as cited above the assessment team also found evidence of cases in which sanctions were not clearly, consistently or systematically applied at both the national and regional levels. Therefore, the SG 80 is not met.
Condition	By the fourth first year reassessment annual surveillance, demonstrate that the MCS system implemented in the fishery under assessment has a demonstrated ability to enforce relevant management measures, strategies and/or rules, and that sanctions to deal with non-compliance are consistently applied at the national levels. <i>Surveillance Y1 Note: Condition 3-4 and condition 3-5 are now joined as a single condition. Explanation provided in the original table for Condition 3-5.</i>
Condition Start	PCR
Condition Deadline	fourth first year reassessment annual surveillance
Milestones	<u>Milestones to Improve MCS at the National and International Level</u> Year 1 M-IV P3 1 By the first annual audit, the Alliance will request that CONAPESCA evaluate mechanisms within its MCS system and ensure they are consistent with the IATTC procedures in order to increase transparency in reporting of violations and/or sanctions incurred by Mexican tuna purse seiners in the fishery. M-IV P3 2 By the first annual audit, the Alliance will provide evidence requesting that CONAPESCA promptly enforce sanctions for any violations to the MCS system by Mexican tuna purse seiner vessels including a request that violations are reported to the IRP of the IATTC and that the corresponding sanctions are applied at both the national and international levels. M-IV P3 3 By the first annual audit, the Alliance will request that CONAPESCA implements improvements to its MCS/VMS system by either reducing the gaps between “pings” in the VMS (so that any vessel entering into a prohibited area is promptly detected if conducting prohibited fishing operations) and/or utilizing the information collected by both the national observer program and IATTC observer program to cross reference the MCS/VMS system in order to identify and effectively deal with potential violations. M-IV P3 7 By the first annual audit, the Alliance will request that CONAPESCA submit a proposal asking the IATTC Secretariat to identify the best way to initiate a review of the IRP process that will ensure that any infractions in the fishery are identified and sanctioned. CONAPESCA’s request will specify the need that any recommended changes to improve transparency, compliance and consistency in the application of sanctions to violations are implemented by 2020. Year 2

	M-IV P3 4 By the second annual audit, and in result from year 1 milestone M-IV P3 1, the Alliance and CONAPESCA will present the report evaluating the MCS mechanisms (including VMS), and if necessary any proposed modifications to the national MCS system to be consistent with the IATTC and national procedures. M-IV P3 5 By the second annual audit, the Alliance will provide the auditor with information on potential infractions by vessels of the UoA identified in the last six years by the IATTC IRP, CONAPESCA or other relevant authorities, and provide information on the status of the resolution of the potential infraction and when applicable evidence of sanctions implemented. Year 3 M-IV P3 9 By the third annual audit, the Alliance will provide evidence that CONAPESCA and other relevant authorities have made demonstrable improvements to address any deficiencies previously identified to ensure that sanctions to deal with non-compliance are consistently applied and are adopted in a timely, transparent and clearly traceable way. Year 4 M-IV P3 10 By the fourth annual audit, the Alliance will demonstrate that an MCS system in place has the ability to enforce relevant management measures, strategies and rules in a transparent manner. M-IV P3 10-b By the fourth annual audit, the Alliance will provide evidence that the Mexican government has in place an effective national system of sanctions that can demonstrate timely and consistent resolution of sanctions.
Client Action Plan	Refer to the following section(s) of Client Action Plan in the PCR: <i>Section IV. Commitments to Improve Monitoring, Control and Surveillance (MCS) of the Fishery at national and international levels</i> Goal: To seek improvements in MCS enforcement mechanisms at the national and the international level. <u>Action Plan Year 2, Activities:</u> • The Alliance will work with CONAPESCA and PROFEPA to conduct an evaluation of the enforcement system, including timely and consistent resolution of sanctions, adequacy of deterrence, and any relevant risk issues/areas. • The Alliance will request CONAPESCA and PROFEPA to provide evidence of infractions and (if any) sanction applied between 2013 and 2019 for vessels in the UoA. <u>Action Plan Year 3, Activities:</u> • The Alliance will work with CONAPESCA to ensure progress on formalizing proposals to address any deficiencies identified in the evaluation presented in year two, and improve the MCS system and consistent and timely application of sanctions. <u>Action Plan Year 4, Activities:</u> • The Alliance will work with CONAPESCA and PROFEPA to summarize the evidence of application of any outstanding and new sanctions between 2014 and 2020 in order to allow SCS to evaluate demonstrable improvement in enforcement in problem/risk areas. • The Alliance will work with CONAPESCA and PROFEPA to adopt proposed modifications to the national MCS/VMS system to be consistent with the IATTC and national procedures.
Consultation on condition	Letters of Support below from CONAPESCA and IATTC were provided to SCS Global Services as the fishery's Conformity Assessment Body (CAB) when the fishery was certified (Morgan et al. 2017).

Progress on Condition (Year 3)	<u>Under MSC Derogation²⁰, Conditions 3-4 and 3-5 are eligible for extension due to Covid-19. The derogation means that these conditions are extended, and there are effectively no milestones this year. Because these conditions were set originally for four years, following MSC interpretation²¹ the timelines are now extended to Year1 of a new certificate, if the fishery is recertified. Nevertheless, an update on progress is provided.</u> M-IV P3 5, M-IV P3-9 revised The Alliance provided the audit team with reports from the International Review Panel (IRP) of the Inter-American Commission for Tropical Tuna (IATTC). The IRP concluded that after reviewing information regarding trips completed by vessels under the jurisdiction of Mexico that not any infractions had been committed from 2016-2019. At the national level, it was reported that there is one pending case of a possible violation of an Alliance vessel that is suspected of making a night set, which is not confirmed. The case is now being assessed by the CONAPESCA Legal Affairs Unit. With regard to potential infractions related to fishing in closed areas, out of a total of 71 cases identified in 2017, 14 cases presented potential irregularities, which were sent to PROFEPA to determine whether there was an infraction. PROFEPA's investigations into fishing vessel entries into MPA waters confirmed that the tuna fishing vessel AZTECA 6 had illegally fished within MPA boundaries in 2017 and imposed a fine of \$3,623,520 Mexican pesos. The audit team during the remote on-site visit for the Second Year Surveillance Audit was informed by CONAPESCA that the other cases from 2016-2019 of vessels entering into MPA waters were still under investigation by PROFEPA. Although, the Alliance provided the audit team with information on potential infractions by vessels of the UoA identified in the last six years by the IATTC IRP, CONAPESCA and PROFEPA, it did not provide information on the status of resolutions for potential infractions and evidence of sanctions implemented for the cases concerning the incidents of UoA or other fishing vessels tracked inside MPA limits (other than sanctions for the one incident in 2017 mentioned above). The Alliance provided the Third Year Surveillance audit team with evidence from IATTC IRP, CONAPESCA and PROFEPA that there were not any infractions committed by the UoA vessels ases. The following documents concerning infractions committed by UoA vessels were provided: • Communication from the Alliance to Director General of CONAPESCA on 04 May 2021 requesting information concerning infractions and sanctions applied, if any, committed by UoA vessesl from 2012-2020. • Communication from Director General of CONAPESCA Planning, Programming and Evaluation on 26 May 2021 concerning the infractions committed by "Azetca 6" in 2017 and the sanction of \$3,623,520 awarded for the offence. • Communication from Alliance to Dr. Blanca Mendoza Vera PROFEPA on 04 May, 2020 requesting information concerning infractions and sanctions given to UoA vessels from 2012-2020. Overall, these milestones are not met.
Progress on Condition (Year 4)	Although Derogation 6 means that the timeline for this Condition was extended (with no effective milestone in Year 3), at Year 3 it was concluded that the existing milestones for Condition 3-3 (including the revision to M-IV P3-9 revised) remained relevant. As such, the Audit Team did not revise the milestones, and instead at the Year 4 audit considered evidence of whether the original Year 2 and Year 3 milestones had been met together with the Year 4 milestones.

²⁰ <https://www.msc.org/docs/default-source/default-document-library/for-business/program-documents/chain-of-custody-supporting-documents/msc-derogation-6-covid-19-fishery-conditions-extension.pdf>

²¹ <https://mscportal.force.com/interpret/s/article/Derogation-6-Covid-19-Fishery-Conditions-Extension>

	<u>Milestones to Improve MCS at the National and International Level</u> M-IV P3 5, M-IV P3-9 revised, M-IV P3 10, M-IV P3 10-b The Alliance provided the audit team with reports from IRP from 2016-2021 that indicated there were not any violations reported for the UoA purse seine tuna fishing vessels. During the COVID-19 pandemic Mexico was able to maintain 100% observer coverage on tuna purse seine vessels. As the purse seine fleet in Mexico only operates from domestic ports this enabled the government to closely monitor the placing of observers aboard vessels. During 2021, CONAPESCA maintained 100% VMS coverage of the UoA purse seine vessels during fishing operations. The Alliance members also contracted a global satellite monitoring company, CLS, to track and monitor all UoA vessels fishing trips. A VMS upgrade that was scheduled to be completed by CONAPESCA in 2019 was delayed due to the restructuring of national government agencies after the election of a new government which resulted in the funding for this project being reallocated. Although the national VMS system was not upgraded, CONAPESCA reported that it constantly updates the system to provide an effective and accurate mechanism for tracking of tuna fishing vessels. Federal Fisheries Officials of CONAPESCA conducted random dockside inspections on Alliance vessels (74 in 2019, 6 in 2020, 15 in 2021 and inspections required by Resolution A-04—03, 70-72 in 2019, 68 in 2020 and 68 in 2021); no cases of non-compliance were reported concerning the retention of sharks, rays and shark fins from 2018-2021. CONAPESCA reported that the Navy boarded and inspected a total of 6 UoA purse seine vessels in 2019, while in 15 vessels were boarded and inspected in 2020 and 18 vessels were boarded and inspected in 2021. No infractions were identified by the Navy during these surveillance operations. To raise awareness about Marine Protected Areas (MPAs), located within the Exclusive Economic Zone (EEZ) of Mexico, the Alliance conducted over 40 workshops with 1,141 participants, mainly the captains and crews of UoA vessels, since May 2020. During the expedited audit in 2019, out of a total of 71 potential cases identified, CONAPESCA provided records of 29 cases involving 18 fishing vessels entering MPA waters in 2017. Fourteen (14) of the cases identified in 2017 presented potential irregularities. CONAPESCA and PROFEPA's investigations into fishing vessel entries into MPA waters confirmed that the tuna fishing vessel AZTECA 6 had illegally fished within MPA boundaries in 2017 and imposed a fine of \$3,623,520 Mexican pesos. As of the first quarter of 2022, the 13 remaining cases of concern that required investigation were yet to be resolved by CONAPESCA and PROFEPA due to COVID-19 restrictions. It was reported that investigations required the authorities to conduct face-to-face interviews with the captains and crew of the vessels as well as the staff from CONANP. Consequently, the investigations into these cases were suspended until the COVID-19 restrictions were eased. In late 2022 investigations into these cases were completed. CONAPESCA reported that with regard to the 13 remaining cases that observer reports from the vessels under investigation indicated that no illegal fishing operations occurred within the MPA waters. Also, according to the VMS data provided by SISMEP, CONAPESCA concluded that for the 5 cases reported in the El Vizcaino Biosphere Reserve, the 5 cases reported in the Revillagigedo Archipelago Biosphere Reserve, 2 cases in the Pacific Islands Biosphere Reserve of Baja California Peninsula and 1 case in the Gulf Island Biosphere Reserve, the purse seine vessels were in transit and there was no conclusive evidence that any illegal fishing activities had occurred. Based on the above, the audit team has concluded that this condition is closed.
Status	This condition is closed , and rescoring is provided in Section 4.6.
Additional information	<u>Changes undertaken at Year 2</u> Milestones M-IV P3-4 and M-IV P3-9 are rescinded, and a revised Year 3 milestone is set for this condition, as follows:

	M-IV P3-9 revised (Year 3 audit). By the third annual audit, the Alliance will provide the auditor with information on potential infractions by vessels of the UoA identified in the last year by the IATTC IRP, CONAPESCA or other relevant authorities, as well as any outstanding cases from the last six years, and provide information on the status of the resolution of the potential infractions and, when applicable, evidence of sanctions implemented. Changes undertaken at Year 3 Conditions 3-4 and 3-5 were set as a four-year conditions, but is eligible for an extension under Derogation 6²². Following interpretation²³, a revised timeline is set for this Condition to close in year 1 of a new certificate, assuming the fishery is recertified. All Year 3 milestones will be repeated at the Year 4 audit, and progress against the Year 4 milestones will then be considered at the Year 1 audit of a new certificate.
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Condition 3-6 (PI 3.2.5 Slb – All UoCs)

Performance Indicator	3.2.5, Slb
Score	70
Justification	At the national level, National Fisheries Charter provides a level of internal review. CONAPESCA provided evidence of a range of internal review processes (CONAPESCA pdf2). Within government but external to CONAPESCA, the Superior Audit Office (ASF) is responsible for overseeing the use of federal public resources in the three branches of government; autonomous constitutional bodies; states and municipalities; as well as public or private persons who have collected, managed, operated or exercised federal public resources. In 2006, the OECD prepared a report on Agricultural and Fisheries Policies in Mexico (OECD 2006). Although there is some level of internal review, it is not evident that this review is regular. External review is very limited. SG 60 requirements are met and SG 80 requirements are not fully met. Overall, SG 60 requirements are met at the national and regional levels.
Condition	By the third annual surveillance demonstrate that external review at the regional and national level is undertaken (as proposed under Resolution C-14-09).
Milestones	The condition and milestones have been extended, to also cover the national level management, a justification is provided in the Progress Section. <u>Milestones Regarding External Review of IATTC Performance</u> M-V P3 1 By the first annual audit, the Alliance will provide a copy of the report produced by the external consultant summarizing the findings of the external performance review conducted on the IATTC. M-V P3 2 By the third annual audit, the Alliance will provide an evidence of external review at the national level.
Client Action Plan	Refer to the following section(s) of Client Action Plan in the PCR: <i>Section V. Actions Regarding External Review of IATTC Performance.</i> Goal: Commitment to an external performance review of the IATTC and national management.

²² <https://www.msc.org/docs/default-source/default-document-library/for-business/program-documents/chain-of-custody-supporting-documents/msc-derogation-6-covid-19-fishery-conditions-extension.pdf>

²³ <https://mscportal.force.com/interpret/s/article/Derogation-6-Covid-19-Fishery-Conditions-Extension>

Consultation on condition	Letters of Support below from CONAPESCA and IATTC were provided to SCS Global Services as the fishery's Conformity Assessment Body (CAB) when the fishery was certified (Morgan et al. 2017).
Progress on Condition (Year 2)	The Alliance and CONAPESCA have communicated via videoconference and exchanged emails concerning the external performance review of the national management system. Performance reviews of Mexican agencies, such as CONAPESCA, INAPESCA or CONANP, are under the control of the Mexican government. Since the election of a new administration for the national government in 2018, government agencies have undergone a restructuring process and funds for projects including external reviews are currently not available. Also, the Alliance and CONAPESCA have requested that the wording of this milestone be changed to clarify which specific elements of the management system need to be reviewed and the expected results of the review. Unfortunately, the audit team cannot provide specific advice or commentary in this regard because it may be construed as consultancy. However, the Alliance and CONAPESCA are investigating various options to meet this milestone. These options include: the collection documents that provide evidence of external reviews that have been conducted in the past of specific components of the management system, and/or recruiting a national NGO that specializes in to conducting performance reviews of government agencies etc.
Progress on Condition (Year 3)	<u>Under MSC Derogation²⁴, Condition 3-6 is eligible for extension due to Covid-19. The derogation means that these conditions are extended, and there are effectively no milestones this year. Nevertheless, an update on progress is provided.</u> <u>Milestones Regarding External Review of IATTC Performance</u> M-V P3 2 The Alliance has provided evidence through the provision of the following reports to the audit team that external reviews of the fisheries management system have been conducted: • Sustainable Fisheries in Mexico (Diagnosis and Opportunities for Improvement) Report (Flores et al. 2020). This report is a comparative analysis of various Mexican fisheries and their respective fisheries management systems that were subjected to evaluation based on the MSC standard. • Oceana Mexico – Fisheries Audit (2019). Oceana's audit report details the first independent audit of Mexico's fisheries which includes an analysis of the data concerning major target fish stocks, fisheries laws, and management strategies. • Identifying Areas for Policy Action to Improve Sustainability Performance of Mexican Fisheries, Sustainable Fisheries Partnership, (Sanchez De Boch et al., 2019). This report presents the results from two analytical exercises comprising an analysis of improvement recommendations from fish-source profiles for Mexican fisheries and an analysis of the conditions set for Mexican fisheries through the Marine Stewardship Council (MSC) certification process. • Global Evaluation of Fisheries Monitoring, Control and Surveillance in 84 countries (Mexico) (Pramod G. 2021). This report evaluates the fisheries regulations, enforcement capabilities, monitoring and surveillance capacity of the Mexico fisheries management system to address Illegal, Unreported and Unregulated (IUU) fishing. The condition was originally set with just a one-year timeline (Morgan et al. 2017) but the timeline was extended to three years at the Year 1 audit (Morgan et al. 2018). At that point, no Year 2 milestone was set for this condition, so there is no specific requirement to be set at that audit and was considered that the condition is on target. For Year 3 the milestone must be met in order to close the condition.

²⁴ <https://www.msc.org/docs/default-source/default-document-library/for-business/program-documents/chain-of-custody-supporting-documents/msc-derogation-6-covid-19-fishery-conditions-extension.pdf>

	At the regional level, IATTC has extensive mechanisms in place to evaluate the management system as demonstrated by the various committees and working groups of IATTC that meet regularly and report their findings to the Commission. As well as the annual Commission meetings, regular meetings of the Scientific Advisory Committee, the Committee for the Review of Implementation Measures and the International Review Panel are held. Reports from the meetings are available on the IATTC website. IATTC carried out an external performance review in 2016. At the national level, the National Fisheries Charter provides a level of internal review. CONAPESCA provided evidence of a range of internal review processes (CONAPESCA pdf2). At the third annual audit, the Alliance provided evidence of external reviews of the national fisheries management system.
Status	This condition is closed , and rescoring is provided in Section 4.6.
Additional information	None

Condition 3-7 (PI 3.2.3 SId – All UoCs, introduced at expedited audit [Morgan et al. 2018]).

Performance Indicator	3.2.3, SId
Score	65
Justification	<u>Findings at expedited audit (Morgan et al. 2018).</u> The number of media reports of fishing/no movement within closed areas is very concerning but it is difficult for us to evaluate their veracity with the information available to the assessment team, particularly in the face of contradictory information received by SCS between April 2018 and September 2018. Regardless, reports are consistent with the increase in reported incidents of activity in closed areas. Although we are unable to establish the reasons for this increase and the inconsistency in the protocols we received, this information is indicative of a situation that requires a management response. There is no formal definition of what constitutes systematic non-compliance, but we consider that a report of over 29 cases of fishing/no movement (sensu protocol in Box 1) in closed areas does constitute evidence of systematic non-compliance by the fishery or inconsistent internal procedures relevant to MCS systems. Therefore, the SG 80 requirements are no longer considered to be met and a new condition is imposed.
Condition	By the 3rd fourth surveillance audit (SA), assure that there is no evidence of systematic non-compliance such that the MSC mechanisms ensure the fishery's management measures are coherent, enforced and complied with.
Condition Start	Expedited audit 2018
Condition Deadline	Fourth annual surveillance
Milestones	<u>Milestones Regarding External Review of IATTC Performance</u> Year 1 The client shall demonstrate that a written plan with criteria, auditable metrics and targets has been designed to address deficiencies related to the gap in the management system that led to 29 potential infractions related to purse seine vessel fishing inside MPAs. The plan will

	allow auditors to verify the effective and timely compliance with all aspects of the MSC system (see scoring issues a-d). Other actions may also be included. Year 2 The client shall demonstrate the plan designed in Year 1 was put into place and began to collect verifiable data of both a) implementation and b) efficacy as of January 2019. Data shall be presented at the surveillance audit. Year 3 The client shall demonstrate that targets in the plan have been met, demonstrating full compliance with the condition.
Client Action Plan	Refer to the following section(s) of Client Action Plan in the Expedited Assessment: <i>Section V. Actions Regarding External Review of IATTC Performance.</i> Goal: Commitment to an external performance review of the IATTC. M-IV P3 3 By the first annual audit, the Alliance will request that CONAPESCA implements improvements to its MCS/VMS system by either reducing the gaps between “pings” in the VMS (so that any vessel entering into a prohibited area is promptly detected if conducting prohibited fishing operations) and/or utilizing the information collected by both the national observer program and IATTC observer program to cross reference the MCS/VMS system in order to identify and effectively deal with potential violations. (M-IV P3 3.1) By the first annual audit, a report will be produced with auditable metric and targets in which the vessels of the Alliance commit to voluntarily providing public reports of their AIS data on the PAST website (which is currently publicly available in the Global Fishing Watch system). (M-IV P3 3.2) By the first annual surveillance, the Alliance will have contacted Global Fishing Watch (GFW) to understand the feasibility of them including VMS data from the Alliance’s vessels in their system. Depending on feasibility, publicizing VMS data via GFW may be added into the Action Plan at a future date. Reports of fishing data will be presented at the surveillance audit. If this is not possible, the Alliance will obtain records from CONAPESCA and/or PROFEPA as appropriate, for SCS, to ascertain the nature of the 29 incidents in question. (M-IV P3 6.1) By the second annual surveillance, the Alliance, in conjunction with appropriate authorities from the Mexican government, will conduct seminars with vessel crew to review the extensive new protected areas that were declared recently in Mexico and ensure that all are aware of the boundaries of new areas and the appropriate regulations. (M-IV P3 6.2) By the second annual surveillance, the Alliance will provide reports containing their vessel data, downloaded from the GFW site, at the surveillance audit, as an independently verifiable mechanism run by an independent 3rd party to ensure proper compliance with regulations applying to natural protected areas. (M-IV P3 6.3) By the third annual audit, the Alliance will continue with developing reports of its fishing data to prove that their vessels were operating legally including that they were not fishing in protected areas and provide reports that these data align with data from the national monitoring system at CONAPESCA/PROFEPA. Reports of fishing data will be presented at the surveillance audit. The client shall demonstrate that targets in the plan have been met, demonstrating full compliance with the condition.
Consultation on condition	Letters of Support below from CONAPESCA and IATTC were provided to SCS Global Services as the fishery’s Conformity Assessment Body (CAB) when the fishery was certified (Morgan et al. 2017).

Progress on Condition (Year 3)	<u>Under MSC Derogation²⁵, Condition 3-7 is eligible for an extension due to Covid-19. The derogation means that this condition is extended, and there is no milestone this year for this condition. Because this condition was set originally for three years, the condition timeline is now extended to Year 4.</u> (M-IV P3 6.3) The national SISMEP VMS system which is monitored and maintained by CONAPESCA continues to operate efficiently and effectively with 100% of the tuna purse seine vessels meeting the requirement to install a VMS. The VMS upgrade that was scheduled to be completed in 2019 was delayed due to the restructuring of national government agencies after the election of a new government in 2018 which has resulted in the funding for this project being reallocated. However, the VMS system is regularly updated to ensure that accurate and timely tracking data is recorded. In 2020, the Alliance members agreed to sign a contract with the global satellite monitoring company, CLS, to track and monitor all UoA vessels while conducting fishing activities. The CLS system has been programmed to trigger an alarm that alerts the Alliance if a UoA vessel enters MPA waters. The Alliance once alerted will contact the captain of the vessel with instructions to exit MPA waters. CONAPESCA provided vessel tracking data from the SISMEP satellite monitoring system for the UoA vessels from 2020 - 2021. The data information included: vessel name, date of transmission, latitude and longitude, and port base. CLS also provided tracking data from its satellite monitoring system for the UoA vessels from 2020-2021. The Alliance, in conjunction with CONANP, have developed a power point presentation and info-graphics to raise the awareness of the vessel captains and crew about the MPA boundaries and fisheries regulations. A total of 41 awareness raising workshops concerning the boundaries and rules and regulations of MPAs have conducted since May 2020 with over 1000 captains and crew attending. Further information on the workshops can be found at: https://www.pacifictunaalliance.org/es/el-blog/medidas-para-el-desarrollo-de-una-pesca-sostenible-en-la-pescqueria-mexicana-de-atun-en-el-oceano-pacifico-html. The following information was provided to the audit team: • Communication to CONAPESCA requesting for a report on routes of the Alliance vessels (19 February 2021). • Response from CONAPESCA - Vessels routes 2020 (subfolder SISMEP). - Vessels routes 2021 (subfolder SISMEP). • Information from CLS: - Vessel routes 2020 (subfolder CLS) - Vessel routes 2021 (subfolder CLS) Overall, the Audit Team is very encouraged by the approach being taken by the client, and will monitor progress for a further year before considering closing the condition.
Progress on Condition (Year 4)	Although Derogation 6 means that the timeline for this Condition was extended (with no effective milestone in Year 3), at Year 3 it was concluded that the existing milestones for Condition 3-3 remained relevant. As such, the Audit Team did not revise the milestones, and instead at the Year 4 audit considered evidence of whether the original Year 2 and Year 3 milestones had been met. <u>Milestones Regarding External Review of IATTC Performance</u> Year 3

²⁵ <https://www.msc.org/docs/default-source/default-document-library/for-business/program-documents/chain-of-custody-supporting-documents/msc-derogation-6-covid-19-fishery-conditions-extension.pdf>

	Under NOM-062-SAG/PESC-2014 (DOF 2015) tuna fishing vessels over 24 m, including UoA purse seine vessels, are required to install a VMS system that tracks the routes of each vessel during fishing operations. All VMS systems are installed maintained and monitored by CONAPESCA. In 2021, the national SISMEP VMS system continued to operate efficiently and effectively with 100% of the tuna purse seine vessels. To support the national VMS system the Alliance members contracted a global satellite monitoring company, CLS, to track and monitor all UoA vessels during fishing operations. The CLS system has been programmed to trigger an alarm that alerts the Alliance if a UoA vessel enters MPA waters. The Alliance once alerted contacts the captain of the vessel with instructions to exit MPA waters. A VMS upgrade that was scheduled to be completed by CONAPESCA in 2019 was delayed due to the restructuring of national government agencies after the election of a new government which resulted in the funding for this project being reallocated. Although the national VMS system was not upgraded, CONAPESCA reported that it constantly updated the system to provide an effective and accurate mechanism for tracking of tuna fishing vessels in 2021. The routes of Alliance purse seine vessels monitored by the SISMEP VMS tracking system are available on the Mexican Government website: “Datos Abiertos”. https://datos.gob.mx/busca/dataset/localization-y-monitoreo-sateltal-de-embarcaciones-pescaeras. The Alliance provided the routes of the UoA vessels that were monitored by the CLS satellite system for 2021 including the months from May and December. The Alliance, in conjunction with CONANP, have developed a power point presentation and info-graphics to raise the awareness of the vessel captains and crew about the MPA boundaries and fisheries regulations. Over 40 awareness raising workshops concerning the boundaries and rules and regulations of MPAs have conducted since May 2020 with 1,141 captains and crew attending. Further information on the workshops can be found at: https://www.pacifictunaalliance.org/es/el-blog/medidas-para-el-desarrollo-de-una-pesca-sostenible-en-la-pescqueria-mexicana-de-atun-en-el-oceano-pacifico-html. Based on the above, the audit team has concluded that this condition is closed.
Status	This condition is closed , and rescoring is provided in Section 4.6.
Additional information	Although Derogation 6 means that the timeline is extended, the existing milestones for Condition 3-7 remain relevant. As such, the Audit Team has not revised the milestones this year. Instead, at the Year 4 audit we will consider evidence that the original Year 3 milestone has been met.

4.5 Client action plan

Under Derogation 6, the timelines for several conditions were extended at the year 3 audit. However, no changes were made to the substance of the conditions or milestones, and so there was considered to be no requirement to modify the Client Action Plans (CAPs).

4.6 Rescoring Performance Indicators

For UoCs 1 and 3 (Dolphin sets), Principle 2 Conditions 2-1 (set on PI 2.1.1), 2-2 and 2-3 (set on PI 2.1.2), and 2-4 and 2-5 (set on PI 2.1.3) are closed this year, with the scoring rationale updated below.

For UoCs 2 and 4 (Free school sets), Principle 2 Conditions 2-12 (set on PI 2.1.1), 2-14 and 2-15 (set on PI 2.1.2) and 2-17 and 2-18 (set on PI 2.1.3) are closed this year, with the scoring rationales also updated below.

As such, the scoring text is required to be updated as shown in the following tables. Here, the original text is shown in black, text that is updated this year is shown in green, and deleted text is shown in ~~double strike through~~. Where text was updated previously in closing conditions, the previously updated text is shown in blue.

It is noted that consideration of both the SG80 and SG100 levels of performance is given where an SI is required to be rescored because of a Condition being met. Rescoring for SIs that are already scored at SG80 and are therefore not subject to conditions is not given at this time.

Year 4, Revised Scoring Table for PI 2.1.1, UoCs 1 and 3 (Dolphin sets): Condition 2-1

PI 2.1.1		The fishery does not pose a risk of serious or irreversible harm to the retained species and does not hinder recovery of depleted retained species		
Scoring Issue		SG 60	SG 80	SG 100
a	Guide post	Main retained species are likely to be within biologically based limits (if not, go to scoring issue c below).	Main retained species are highly likely to be within biologically based limits (if not, go to scoring issue c below).	There is a high degree of certainty that retained species are within biologically based limits and fluctuating around their target reference points.
	Met?	N (SSH, OWT)		
	Justification	There are two species/species groups evaluated as main retained species for dolphin sets. <u>Silky sharks</u> : The catch from dolphin sets has represented 25% of the total silky shark catch by purse seines but less than 0.1% of the total catch from dolphin sets on average from 2009 to 2013. Despite the low level of catch, they are evaluated as a main retained species for dolphin sets because they are considered to be a potentially vulnerable species and to assess the issue of shark finning. There is no accepted stock assessment for the ETPO stock but an evaluation of a range of indicators (Aires-da-Silva et al. 2014) found that stocks have been depleted, particularly the southern stock, and that it was critical that precautionary measures be implemented to allow silky shark populations to rebuild in the ETPO. On the basis of the decline in the southern stock, it is not considered likely that the species is within biological limits. The northern stock may be larger, and most of the catch is taken north of the equator, but the more depleted state of the southern stock is the key concern. Results from a recent ecological risk assessment		

		(IATTC-SAC 2015) also indicate that silky sharks are among the species with the highest relative risk, although the risk from dolphin sets is lower than for object sets. This is consistent with the conclusions of Shark Specialist Group (Kyne et al. 2012) and the findings of a stock assessment for the WCPO (Rice and Harley 2013). More details on the stock status are provided in the background section but the concerns have been sufficient for a series of precautionary recommendations by the IATTC (IATTC 2013). The requirements of the SG 60 level are therefore not met and therefore Scoring Issue c is evaluated below. <u>Oceanic whitetip:</u> Catch of oceanic white tips is estimated at less than 1% of the total catch from dolphin sets, which contributes approximately 70% of the catch between all set types from 2009-2013. Despite the low catch volumes, they are evaluated as main retained due to their vulnerable nature and inclusion in national and international regulations (see background section on oceanic whitetips and low volume retained species in Section 3.4). The stock status is not well known, but unstandardized average bycatches per set of oceanic whitetip sharks have showed decreasing trends for all three set types during 1994-2009 (IATTC-SAC 2015, Figure 37). Although the cause of this decline is not well known, it is likely that the species is not within biological limits. The requirements of the SG 60 level are therefore not met and therefore Scoring Issue c is evaluated below.		
b	Guide post			Target reference points are defined for retained species.
	Met?			Not scored
	Justification			
c	Guide post	If main retained species are outside the limits there are measures in place that are expected to ensure that the fishery does not hinder recovery and rebuilding of the depleted species.	If main retained species are outside the limits there is a partial strategy of demonstrably effective management measures in place such that the fishery does not hinder recovery and rebuilding.	
	Met?	Y (SSH, OWT)	N (SSH, OWT) Y (SSH, OWT)	
	Justification	<u>Silky shark:</u> There is a range of measures in place that are directed at the conservation of sharks and constitute at least a partial strategy. As detailed in Section 3.4 these include IATTC Resolution C-05-03 which concerns the conservation of sharks (including silky sharks) and IATTC Resolution C-04-05 which mandates the live release of sharks when possible. These measures are expected to ensure that purse sets on dolphins do not hinder recovery and rebuilding of silky sharks. The low level of catch of silky sharks by dolphin sets also indicates that this fishing method is not hindering this recovery. This meets the requirements of the SG 60 level. The effectiveness of these measures, however, has not been demonstrated, so the requirements of the SG 80 level are not met. PAST has implemented an extensive annual training programme for PAST vessel skippers and crew, to raise awareness of the need to release sharks (and rays) safely and quickly where possible, and to ensure the crew are able to implement the appropriate techniques and measures to ensure that safe releases occur; in 2022, 1,148 PAST personnel received the training, adding to the training that has been provide		

		in previous years. 100% observer coverage has been maintained within the PAST fleet throughout the duration of the certification (including during the Covid-19 pandemic), and the data collected show that the percentage of silky sharks that are recorded as 'released alive' has improved from around 50.9% in the first year of certification to an average of 69.1% in the last three years. Together with the relatively low catches of silky shark in the fishery (comprising less than 0.3% of the total EPO silky shark catch in 2020 – IATTC 2022a), it is confirmed that there is a partial strategy of demonstrably effective management measures in place such that the fishery does not hinder recovery and rebuilding – SG80 is met. <u>Oceanic Whitetip Sharks:</u> There are a range of measures in place that are directed at the conservation of sharks that aim to ensure that fisheries do not pose a risk to recovery or rebuilding of depleted species. Oceanic whitetips can be considered depleted, as global populations are estimated to have declined greatly over the past 40 years (See background on Oceanic Whitetips). Measures in place intended to address conservation concerns include IATTC Resolution C-05-03 Section 3.4, which concerns the conservation of sharks, and IATTC Resolution C-04-05, which mandates the live release of sharks when possible. In addition, Resolution C-11-10 prohibits any retention of whitetips, alive or dead, whole or parts. For both Silky Sharks and Oceanic Whitetip Sharks, NOM-001 for tuna fisheries in Mexico is aligned with the IATTC mandatory release requirements and clause 4.1.4.3 states "It is prohibited for purse seine tuna vessels to retain on board, hold, transship, unload, or transport specimens live or dead, whole or pieces, of oceanic whitetip sharks". However, NOM 029 (Responsible Fishing of Sharks and Rays), which is mandatory for holders of permits, licenses and authorizations for directed fishing of sharks and rays, as well as for those who catch these species as bycatch, states under Clause 4.2.1. that "all shark individuals must be retained on board commercial fishing vessels for full use except for the species listed in paragraph 4.2.2. (This does not include oceanic whitetips or silky sharks). Therefore, there remain disconnects in the existing national measures articulated in NOMs, which represents a potential impediment to effective enforcement of the existing conflicting regulations. Nevertheless, it is confirmed that oceanic whitetip sharks are discarded consistently by PAST vessels, with observer data demonstrating that 100% have been recorded as 'released alive' by PAST vessels since 2018. However, the catch of oceanic whitetip sharks by PAST vessels has also been exceptionally low throughout the period of certification, at an average of just five animals in total per year. In the context of the low catches, as for the silky shark, the training provided to PAST skippers and crew on safe release procedures and 100% observer coverage that provides data on the effectiveness of the measures is considered to comprise a partial strategy of demonstrably effective management measures in place such that the fishery does not hinder recovery and rebuilding – SG80 is met for oceanic whitetip sharks, also. Measures in place are intended to ensure that oceanic whitetip sharks, which are caught principally (See P2.1.1a) in dolphin sets, do not hinder recovery and rebuilding of oceanic whitetip shark populations. This meets the requirements of the SG 60 level. The effectiveness of these measures, however, has not been demonstrated: a) the team was not provided data to demonstrate that whitetip sharks are not retained, and b) conflicting national requirements between NOM 001 and NOM 029 represent problematic management requirements that impact the ability to enforce effectively. Therefore, the requirements of the SG 80 level are not met.
d	Guide post	If the status is poorly known there are measures or practices in place that are expected to result in the fishery not causing the

		retained species to be outside biologically based limits or hindering recovery.		
	Met?	Not scored (SSH) / Yes (OWT)		
	Justification	The status of silky shark is not poorly known. The status of oceanic whitetips is poorly known, but the measures of zero retention in place and low catch rates are expected to prevent the UoA from hindering recovery of the species.		
References		Aires-da-Silva et al. (2014), IATTC-SAC (2015), Kyne et al. (2012), Rice and Harley (2013) IATTC 2022a		
OVERALL PI SCORE:				60 80
CONDITION NUMBER (if relevant)				

Year 4, Revised Scoring Table for PI 2.1.2, UoCs 1 and 3 (Dolphin sets): Conditions 2-2 and 2-3

PI 2.1.2		There is a strategy in place for managing retained species that is designed to ensure the fishery does not pose a risk of serious or irreversible harm to retained species		
Scoring Issue		SG 60	SG 80	SG 100
a	Guide post	There are measures in place, if necessary, that are expected to maintain the main retained species at levels which are highly likely to be within biologically based limits, or to ensure the fishery does not hinder their recovery and rebuilding.	There is a partial strategy in place, if necessary, that is expected to maintain the main retained species at levels which are highly likely to be within biologically based limits, or to ensure the fishery does not hinder their recovery and rebuilding.	There is a strategy in place for managing retained species.
	Met?	Y (SSH, OWT)	Y (SSH, OWT)	Not scored
	Justification	The IATTC has introduced a range of measures for the conservation of sharks and rays under Resolution C-05-03 and C-04-05 that are directed at the conservation of sharks (and bycatch in the case of C-04-05), and these are considered to constitute a partial strategy. The IATTC measures include improved data collection and assessments, encouragement for the live release of sharks, the establishment and implementation of national plans of action for sharks, and bans on shark finning. Additional measures introduced by the Mexican Government involved several 2–4 month area closures intended to protect sharks during the pupping season as well as requirements in NOM-001 and NOM-029 that define requirements related to retention/release of sharks and rays. Silky shark: Collectively, the measures above are considered to be a partial strategy that is expected to ensure that dolphin sets do not hinder the recovery and rebuilding of silky sharks. Ongoing confidence in outcome scores in 2.1.1 will remain dependent on a continuation of the current low level of catch of silky sharks by this set type. The requirements of the SG 60 and SG 80 levels are therefore considered to be met. Oceanic Whitetips: In addition to the measures above, Resolution C-11-10 prohibits any retention of whitetips, alive or dead, whole or parts. At the national level, NOM 001 also prohibits the retention of OWTs. Collectively, these measures are considered to constitute a partial strategy that is expected to ensure that dolphin sets do not hinder the recovery and		

		rebuilding of oceanic whitetips: confidence in outcome scores in 2.1.1 will remain dependent on a continuation of the current low level of catch of oceanic whitetips, to be released alive as per requirements Resolution C-11-10 and in NOM 001. The requirements of the SG 60 and SG 80 levels are therefore considered to be met		
b	Guide post	The measures are considered likely to work, based on plausible argument (e.g., general experience, theory or comparison with similar fisheries/species).	There is some objective basis for confidence that the partial strategy will work, based on some information directly about the fishery and/or species involved.	Testing supports high confidence that the strategy will work, based on information directly about the fishery and/or species involved.
	Met?	Y (SSH, OWT)	Y (SSH, OWT)	Not scored
	Justification	Silky shark, Oceanic whitetips: There is plausible argument that the strategies identified in Scoring Issue a will work to ensure the fishery does not pose a risk of serious or irreversible harm. Confidence that the partial strategy will work is based on evidence from the fishery. This includes data from the observer program about the low level of catch of these species, and evidence that IATTC measures introduced to reduce mortality of other species have been successfully implemented. This meets the requirements of the SG 60 and SG 80 levels.		
c	Guide post		There is some evidence that the partial strategy is being implemented successfully.	There is clear evidence that the strategy is being implemented successfully.
	Met?		N (SSH, OWT) Y (SSH, OWT)	Not scored N (SSH, OWT)
	Justification	Silky shark, Oceanic Whitetip: The assessment team was not aware of any data or analyses that provide evidence that the measures adopted by the IATTC or Mexican Government are being implemented successfully. The requirements of the SG 80 level are therefore not met. A critical part of the partial strategy in place for the sharks (and rays) within the PAST fishery is the annual training that has been undertaken by PAST since 2019 to ensure vessel crew are reminded of the need to release sharks (and rays) safely and quickly where possible, and are able to implement the appropriate techniques and measures to ensure that occurs. In 2022, 1,148 skippers and crew working within the PAST fleet received the annual training on sharks, adding to the training that was provided in previous years. Key evidence that the partial strategy is being implemented is then contained within the data on the status upon release of the oceanic whitetip sharks and silky sharks captured in the PAST fishery. In this regard, the fishery has maintained 100% observer coverage, including throughout the Covid-19 pandemic; observer data show that all oceanic whitetip sharks taken in the PAST fishery were 'released alive', while the percentage of the silky sharks that were recorded as 'released alive' has risen from 50.9% in 2018 to average 69.1% in the last three years. This improvement is consistent with the expectations of implementing the PAST fishery requirements, and provides some evidence that the partial strategy is being implemented successfully – SG80 is met. More information on the long-term post-release survival of discarded sharks is needed before being able to score the PAST fishery at SG100.		
d	Guide post			There is some evidence that the strategy is achieving its overall objective.
	Met?			Not scored
	Justification			

e	Guide post	It is likely that shark finning is not taking place.	It is highly likely that shark finning is not taking place.	There is a high degree of certainty that shark finning is not taking place.
	Met?	Y (SSH, OWT)	N (SSH, OWT) Y (SSH, OWT)	Not scored Y (SSH, OWT)
	Justification	Silky shark and oceanic whitetip: As outlined in the background section on silky sharks, there is evidence from both the reports to the Review Committee (COR) and the results from the observer survey that shark finning is not taking place in any systematic way. The number of instances in the UoA are small. CONAPESCA provided evidence of a case of shark finning infractions by a vessel. The vessel, not from the UoA, was found guilty, however the case is subject to appeal and ongoing (CONAPESCA 2015b). On this basis, and following the revised guidance with regard to shark finning, we have concluded that it is likely that shark finning is not taking place. There are no recent data from the Compliance Committee, however, on the level of compliance with C-05-03 and no information through the IRP on sanctions for any non-compliance. We therefore do not consider it to be highly likely that shark finning is not taking place. We note the information from observers that shark finning was previously more common in catches from object sets but given that silky sharks are caught in all set types, and in the absence of any data specific to dolphin sets, have applied the same rationale and score to both set types. This meets the requirements of the SG 60 level but not of the SG 80 level. The PAST fishery is monitored by observers at a rate of 100%, including during the Covid-19 pandemic. PAST has developed a training manual on the commitment to zero retention, zero finning and 100% release of sharks (and rays) (PAST 2019b). In 2020, 168 skippers and crew received the training, with 979 receiving the training in 2021. In 2022, 1,148 PAST skippers and crew received the training, which is delivered at workshops, as evidenced to the Audit Team through images and sign-in sheets from the workshops. For 2022, the PAST again officially requested that CONAPESCA undertake random inspections of its vessels at landing (PAST 2022a, PAST 2022b), and these were followed by requests from member companies (Procesa Chiapas 2022, Pesca Azteca 2022). 18 random inspections were conducted in 2022, and there have been no violations of the non-retention of sharks and zero finning policies in the last year (IATTC 2022a, CONAPESCA 2022). Finally, we note that the Audit Team attended a site visit in Mazatlan in September 2022, where an opportunity to talk to skippers and crew was provided, together with the opportunity to go aboard a vessel as the tuna was being unloaded. Posters highlighting the no finning and non-retention of silky shark and oceanic whitetip sharks were prominently displayed on the vessel, and the Audit team was left in no doubt that the crew members were aware of their obligations in this regard. These milestones are met, and the comprehensive observer coverage together with the training, strict company policies and offload monitoring mean that there is a “<i>high degree of certainty that shark finning is not taking place</i>” aboard PAST vessels – SG60, SG80 and SG100 are met.		
References		CONAPESCA 2022, IATTC 2022a, PAST 2019b, . PAST 2022a, PAST 2022b. Pesca Azteca 2022, Procesa Chiapas 2022		
OVERALL PI SCORE:				70 85
CONDITION NUMBER (if relevant)				

Year 4, Revised Scoring Table for PI 2.1.3, UoCs 1 and 3 (Dolphin sets): Conditions 2-4 and 2-5

PI 2.1.3	Information on the nature and extent of retained species is adequate to determine the risk posed by the fishery and the effectiveness of the strategy to manage retained species
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Scoring Issue		SG 60	SG 80	SG 100
a	Guide post	Qualitative information is available on the amount of main retained species taken by the fishery.	Qualitative information and some quantitative information are available on the amount of main retained species taken by the fishery.	Accurate and verifiable information is available on the catch of all retained species and the consequences for the status of affected populations.
	Met?	Y (SSH, OWT)	Y (SSH, OWT)	Not scored
	Justification	Silky shark: The catch of all retained species is verifiable from observer records so quantitative information is available on the amount of silky shark. This meets the requirements of the SG 60 and SG 80 levels. Oceanic Whitetips: The catch of all species is verifiable from observer records so quantitative information is available on the amount of oceanic whitetips caught. This meets the requirements of the SG 60 and SG 80 levels.		
b	Guide post	Information is adequate to qualitatively assess outcome status with respect to biologically based limits.	Information is sufficient to estimate outcome status with respect to biologically based limits.	Information is sufficient to quantitatively estimate outcome status with a high degree of certainty.
	Met?	Y (SSH, OWT)	Y (SSH, OWT)	Not scored
	Justification	Silky shark: The information that is currently available is sufficient to allow analyses of trends in some indicators for silky shark (Hinton et al. 2014, Aires-daSilva et al. 2014). The information has also been considered sufficient by the IUCN to assess their status as vulnerable (Kyne et al. 2012). The basis for their status is described more fully in the background section and in the rationale for PI 2.1.1 and has been considered sufficient to assess the species as not likely to be within biologically based limits. The information on their status has also been considered sufficient for the IATTC to make specific management recommendations for silky sharks (IATTC 2013). The requirements of the SG 60 and SG 80 levels are therefore met. Oceanic Whitetips: The information that is currently available for oceanic whitetip sharks has been sufficient to demonstrate a substantial decline (>90%) in unstandardised catch rates and has been considered sufficient for the IATTC to make specific management recommendations for silky sharks (Resolution C-11- 10). The basis for their status is described more fully in the background section and in the rationale for PI 2.1.1 where it was assessed as not being within biologically based limits. The requirements of the SG 60 and SG 80 levels are therefore met.		
c	Guide post	Information is adequate to support measures to manage main retained species.	Information is adequate to support a partial strategy to manage main retained species.	Information is adequate to support a strategy to manage retained species, and evaluate with a high degree of certainty whether the strategy is achieving its objective.
	Met?	Y (SSH, OWT)	N (SSH, OWT) Y (SSH, OWT)	Not scored N (SSH, OWT)
	Justification	Silky Shark: The information that has been collected has been sufficient to support at least some of the measures that collectively are considered to comprise a strategy to manage silky sharks and oceanic whitetip sharks. However, the absence of retention vs discard (and survivorship) information means that there is not sufficient information to support the partial strategy, which includes national and international regulations prohibiting retention of the species. The SG 60, but not SG 80 Scoring Issue, is therefore met. Oceanic Whitetip: Data on oceanic whitetips provided includes annual catch by set type, but the team was not provided with retention versus discard data. While the data available are sufficient to support overall management of the species and basic estimates such as abundance, information is currently		

		not adequate to support the main measures of the partial strategy, which hinge on national and international regulations that pertain to prohibited retention of the species. The SG 60, but not SG 80 Scoring Issue, is therefore met. Silky shark and oceanic whitetip sharks: 100% observer coverage has been maintained on PAST vessels, including throughout the Covid-19 pandemic. These data show that catches of silky shark in the fishery comprise less than 0.3% of the total EPO silky shark catch in 2020 – IATTC 2022a. Observers also provide comprehensive information on the fate of bycaught sharks (and rays). These data show that all oceanic whitetip sharks were recorded by observers as ‘released alive’, while the percentage of the silky sharks that were recorded as ‘released alive’ has risen from 50.9% in 2018 to average 69.1% in the last three years. It is considered that this improvement has resulted from the application of training to raise awareness of the need to ensure sharks (and rays) are returned safely to the extent possible, and of the methods to ensure this occurs – SG60 and SG80 are met. More information on the long-term post-release survival of discarded sharks is needed before being able to score the PAST fishery at SG100.		
d	Guide post		Sufficient data continue to be collected to detect any increase in risk level (e.g. due to changes in the outcome indicator score or the operation of the fishery or the effectiveness of the strategy)	Monitoring of retained species is conducted in sufficient detail to assess ongoing mortalities to all retained species.
	Met?		N (SSH, OWT) Y (SSH, OWT)	Not scored N (SSH, OWT)
	Justification	Data continue to be collected from logbooks and observer programs in sufficient detail to detect any substantial increase in risk from increased catches of retained species. What is not currently available, however, is information on the effectiveness of all the measures contained in the IATTC’s Resolutions, which collectively form the strategy for addressing risks to retained species. This Scoring Issue is therefore not considered to be met at the SG 80 level. 100% observer coverage has been maintained on PAST vessels, including throughout the Covid-19 pandemic. It is noted that the requirement for 100% observer coverage is mandated by the IATTC, and the Audit Team has no doubt that this will be continued into the future. The data and detail on catches including fate of bycaught sharks that are provided by observers is also expected to be retained or even improved in future. As such, there is no doubt that sufficient data will continue to be collected to detect any increase in risk level going forward – SG80 is met. More information on the long-term post-release survival of discarded sharks is needed before being able to score the PAST fishery at SG100.		
References		Hinton et al. (2014), Aires de Silva (2014), IATTC (2013), IATTC 2022a		
OVERALL PI SCORE:				70 80
CONDITION NUMBER (if relevant)				

Year 4, Revised Scoring Table for PI 2.3.2, UoCs 1 and 3 (Dolphin sets): Condition 2-9

PI 2.3.2	The fishery has in place precautionary management strategies designed to: • Meet national and international requirements; • Ensure the fishery does not pose a risk of serious harm to ETP species; • Ensure the fishery does not hinder recovery of ETP species; and
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		• Minimise mortality of ETP species.		
Scoring Issue		SG 60	SG 80	SG 100
a	Guide post	There are measures in place that minimise mortality of ETP species, and are expected to be highly likely to achieve national and international requirements for the protection of ETP species.	There is a strategy in place for managing the fishery's impact on ETP species, including measures to minimise mortality, which is designed to be highly likely to achieve national and international requirements for the protection of ETP species.	There is a comprehensive strategy in place for managing the fishery's impact on ETP species, including measures to minimise mortality, which is designed to achieve above national and international requirements for the protection of ETP species.
	Met?	Y	Y	Not scored
	Justification	Dolphins: The IDCP has a range of long-established measures that form a strategy for managing the fishery's impact on dolphins. These measures include DMLs themselves, 100% observer coverage, individual vessel accountability for dolphin mortalities, skipper training, detailed release procedures, requirements for the carriage and use of specific equipment to aid release, prohibition on night sets and the use of explosives, formal reporting requirements, and an International Review Panel to address reported infractions. This strategy has been designed to be highly likely to keep reported mortalities within agreed international requirements for protection which are expressed as DMLs. Based on the history of reported mortalities being well within these requirements, the strategy is considered highly likely to continue to achieve these requirements. This meets the requirements of the SG 60 and SG 80 levels.		
b	Guide post	The measures are considered likely to work, based on plausible argument (e.g., general experience, theory or comparison with similar fisheries/species).	There is an objective basis for confidence that the strategy will work, based on information directly about the fishery and/or the species involved.	The strategy is mainly based on information directly about the fishery and/or species involved, and a quantitative analysis supports high confidence that the strategy will work.
	Met?	Y	N	Not scored
	Justification	Dolphins: The team noted that the MSC framework presents few options for addressing effects that hinder recovery as an outcome, if these are not considered in the establishment of limits, because of the wording of scoring issues under 2.3.1. For PI 2.3.1, scoring issue a addresses limits of national and international requirements and scoring issue b refers to direct effects that are unlikely to create unacceptable impacts. Unacceptable impacts are defined under CB 3.11.3.1 in relation to requirements for protection and rebuilding. This definition effectively causes issue b to refer back to the same limits in scoring issue a, and could be considered a re-scoring of these considerations, as they relate specifically to direct mortality. We therefore moved to account for the issue of the fishery being a potential hindrance to recovery, despite the current requirements for protection, from a management perspective under 2.3.2. Under this performance indicator, scoring issues again refer heavily to national and international requirements for protection. The main requirements for protection are DMLs which are supported by a range of other measures described under scoring issue a. This combination of measures acts to limit mortality and provides data on the observed and reported mortality but does not account for unobserved or unreported mortality, and was not designed to capture compromised fitness effects, which at a population level, may hinder recovery. For PI 2.3.2 scoring issue a concerns whether measures or a management strategy are in place that achieve requirements for protection. Issue b evaluates whether these measures or		

		strategy are likely to work. Issue c evaluates if the strategy has been implemented. Issue d concerns evidence of success. The wording used for scoring issues a, c and d means that these are all tied to requirements for protection, so there is again no scope for inclusion of other factors here if they are not required for ETP species. Issue b is therefore the only scoring issue under 2.3.2 where effects not already encompassed by limits or requirements can be assessed, on the basis that the effectiveness of the strategy depends on whether all sources of risk to the populations are being addressed. Therefore, for scoring issue b, the team feels that the current DMLs can be considered measures that are likely to work in the sense that they reduce direct mortality to acceptable levels. Nevertheless, in the absence of any current estimates of population sizes or trends, the team concluded that there is not an objective basis for confidence that the strategy as a whole will work. DMLs have been demonstrated to be highly effective as measures designed to address their objective – the observable and quantifiable mortality of dolphins caused during fishing operations. There is room for alignment between improvements in the observer program and the calibration of DMLs, but DMLs are essentially a demonstrably effective measure to assure vessel level accountability of dolphin mortality. However, the current system of DMLs does not address all sources of risk to dolphin populations, and stress effects on reproductive rates are not currently part of the DML system. The doubts that exist over the level of depletion that has occurred and the population trends that should be expected prevented the team concluding that there is an objective basis for confidence that the strategy will achieve the overarching objectives of the performance indicator, which include the stipulation that a management strategy shall "ensure the fishery does not hinder recovery of ETP species". DMLs are therefore considered to be one measure in a currently incomplete strategy that does not collect data on or measure trends in the status of affected dolphin populations even though there is a plausible argument that unobserved effects, such as stress-related impacts, may have diminished reproductive output and could be hindering recovery. Therefore, the team feels that within the present evaluation framework the existing measures (DMLs) have to be considered likely to work and effective (SG 60 met), but that there is not an objective basis for confidence that the strategy will work to ensure that recovery is not hindered (SG 80), based on information directly about the fishery and particularly the species involved. This meets the requirements of the SG 60 level but not of the SG 80 level.		
c	Guide post		There is evidence that the strategy is being implemented successfully.	There is clear evidence that the strategy is being implemented successfully.
	Met?		N Y	Not scored
	Justification	Dolphins: The reports provided by the IDCP (e.g. AIDCP 2014a) provide evidence that attention is paid to key aspects the strategy and that it is being successfully implemented. However, there is also evidence of a number of deficiencies in the strategy and its implementation which have been outlined in the background sections and in the rationale for scoring issue b above. In particular, these concern failures to address evidence of bias among observer programs and under-reporting of mortalities, and the likelihood of other unreported or unobserved mortality. These are likely sources of mortality that are not accounted for in the current reporting or allowed for in the setting of DMLs and constitute evidence that the strategy is not being implemented as successfully as indicated from the current reports. There is additional evidence that other dolphin protection measures – in this case net alignment – are not being implemented with complete success. Industry interviews indicated that there are shortcomings in procedures to ensure net alignment is checked regularly, and the team was not provided records of regular inspections of net alignment.		

		The requirements of the SG 80 level are therefore not met. Regular net alignment checks are undertaken across the PAST fleet, and the data show that the vessels are in compliance with the AIDCP rules on dolphin mortality mitigation measures and are able to deploy the equipment effectively (e.g., the availability of speedboats, a dolphin rescue raft, size and position of the Medina panel, snugness of the cork line to the net, etc.). The Mexican national observer programme has also been subject to review and is deemed to be comparable to the IATTC programme in its ability to provide data as required by the AIDCP (Sansores et al. 2022). Finally, the evidence available from the AIDCP is that the EPO fleet in general (of which the PAST fleet is a component) has improved with respect to the key risk factors posed during the fishing operations, including major malfunctions (e.g., vessel hydraulic failure), sets with net collapse and sets where a net canopy forms – in all cases, reflected in improvements in the percentage of sets with zero mortality (95.8%, 95.8%, 96.5%, 96.5% from 2018-2021) and the average number of live dolphins left in the net after backdown (<0.1, <0.1, 0 and 0 from 2018-2021). These data provide evidence that the strategy is being implemented successfully, and SG80 is met. The work being undertaken to investigate cryptic mortalities resulting from mother-calf separation may allow a higher score in future.		
d	Guide post			There is evidence that the strategy is achieving its objective.
	Met?			Not scored
	Justification	Dolphins: Not scored as not all SG80 requirements are met.		
References		AIDCP (2014a), Sansores et al. 2022		
OVERALL PI SCORE:				65 75
CONDITION NUMBER (if relevant):				

Year 4, Revised Scoring Table for PI 2.1.1, UoCs 2 and 4 (Free school sets): Condition 2-12

PI 2.1.1		The fishery does not pose a risk of serious or irreversible harm to the retained species and does not hinder recovery of depleted retained species		
Scoring Issue		SG 60	SG 80	SG 100
a	Guidepost	Main retained species are likely to be within biologically based limits (if not, go to scoring issue c below).	Main retained species are highly likely to be within biologically based limits (if not, go to scoring issue c below).	There is a high degree of certainty that retained species are within biologically based limits and fluctuating around their target reference points.
	Met?	Y (BON), N (SSH, PBF, RAY)	N (BON)	
	Justification	As outlined in Table 12, the main retained species for free school sets are eastern Pacific and striped bonito tuna, Pacific bluefin tuna, and Mobulid rays. <u>Eastern Pacific and striped bonito tuna:</u> The catch from free school sets has represented 15% of the total catch on average from 2009 to 2013 but was as high as 34% in 2009. The status of bonitos has not been assessed by the IATTC but they are short-lived and productive species and are classified by the IUCN as being of least concern. They are therefore likely to be with biologically based limits but, in the absence of any formal assessment, and given potential complexity in stock structuring and probable relatively high susceptibility, this status could not be asserted to be highly likely. This meets the requirements of the SG 60 but not the SG 80 level and bonito the SG80 level is evaluated under Scoring Issue c below.		

PI 2.1.1		The fishery does not pose a risk of serious or irreversible harm to the retained species and does not hinder recovery of depleted retained species		
		<u>Silky sharks:</u> The catch from free school sets has represented 11% of the total catch of silky shark by purse seines. Despite this low level of catch, they are evaluated here as a main retained species for free school sets because they are considered to be a potentially vulnerable species and to assess the issue of shark finning. There is no accepted stock assessment for the ETPO stock but an evaluation of a range of indicators (Aires-de-Silva et al. 2014) found that stocks have been depleted, particularly the southern stock, and that it was critical that precautionary measures be implemented to allow silky shark populations to rebuild in the ETPO. On the basis of the decline in the southern stock, it is not considered likely that the species is within biological limits. The northern stock may be larger, and most of the catch is taken north of the equator, but the more depleted state of the southern stock is the key concern. Results from a recent ecological risk assessment (IATTC-SAC 2015) also indicate that silky sharks are among the species with the highest relative risk, although the risk from dolphin sets is lower than for object sets. This is consistent with the conclusions of Shark Specialist Group (Kyne et al. 2012) and the findings of a stock assessment for the WCPO (Rice and Harley 2013). More details on the stock status are provided in the background section but the concerns have been sufficient for a series of precautionary recommendations by the IATTC (IATTC 2013). The requirements of the SG 60 level are therefore not met and this species is evaluated under Scoring Issue c, below. <u>Pacific bluefin tuna:</u> Pacific bluefin stocks are estimated to be down to 6% of their unfished biomass and are designated as overfished. The requirements of the SG 60 level are therefore not met and this species is evaluated under Scoring Issue c, below. <u>Rays:</u> Catch of Mobulid rays is estimated at <0.5% of the total catch from free school sets, which contributes approximately 70% of the catch between all set types between 2009 and 2013. Despite the low catch rates, they are evaluated as main retained due to their vulnerable nature and inclusion in national and international regulations. The Mobulid species are considered near threatened to vulnerable by the IUCN. There has been no assessment of their status and we could not be confident that these species are within biologically based limits. The requirements of the SG 60 level are therefore not met and this species is evaluated under Scoring Issue c, below.		
b	Guide post			Target reference points are defined for retained species.
	Met?			Not scored
	Justification	Not scored as not all SG80 requirements have been met.		
c	Guide post	If main retained species are outside the limits there are measures in place that are expected to ensure that the fishery does not hinder recovery and rebuilding of the depleted species.	If main retained species are outside the limits there is a partial strategy of demonstrably effective management measures in place such that the fishery does not hinder recovery and rebuilding.	

PI 2.1.1		The fishery does not pose a risk of serious or irreversible harm to the retained species and does not hinder recovery of depleted retained species	
	Met?	Y (PBF), Y (SSH), Y (RAY), N/A (BON)	Y (PBF, BON, SSH, RAY), N (SSH), N (RAY)
	Justification	<u>Pacific bluefin tuna:</u> There are measures implemented by the IATTC through the resolution C-14-06. Purse seines are responsible for the majority of the catch of this species in the ETPO (IATTC 2014a) but the majority of the impact on the stock comes from fisheries in the WPO (Pacific Tuna Working Group 2014). Of more importance for this Scoring Issue, however, is the undertaking by the companies in the UoA to cease taking any Pacific bluefin tuna during future fishing operations. This is a measure that is in place and would ensure that the UoA does not hinder the recovery and rebuilding of this depleted species. SG60 is met As it is a new measure there is not yet any evidence of its effectiveness. The PAST fleet has now provided data showing that catches of Pacific bluefin tuna have been zero since 2017. The 2020 Pacific bluefin tuna stock assessment (IATTC 2020a) also presented information indicating that SSB declined steadily from 1996 to a historical low in 2010, but has been increasing slowly since then, with the 2018 Pacific bluefin tuna biomass exceeding the historical median. This includes an increase in young fish (age 0-2 years) in 2016-2018, which is expected to accelerate the recovery of SSB in the future. It is evident that there is at least a partial strategy of demonstrably effective management measures in place such that the fishery does not hinder recovery and rebuilding, and SG80 is met for this species. This meets the requirements of the SG 60 level but not of the SG 80 level. <u>Silky shark:</u> There are a range of measures in place that are directed at the conservation of sharks and constitute at least a partial strategy. As detailed in Section 3.4 these include IATTC Resolution C-05-03 which concerns the conservation of sharks (including silky sharks) and IATTC Resolution C-04-05 which mandates the live release of sharks when possible. These measures are expected to ensure that purse sets on free schools do not hinder recovery and rebuilding of silky sharks. The low level of catch of silky sharks by sets on free schools also indicates that this fishing method is not hindering this recovery. This meets the requirements of the SG 60 level. NOM 001 for tuna fisheries in Mexico is aligned with the IATTC mandatory release requirements and clause 4.1.4.3 states "It is prohibited for purse seine tuna vessels to retain on board, hold, transship, unload, or transport specimens live or dead, whole or pieces, of oceanic whitetip sharks". However, NOM 029 (Responsible Fishing of Sharks and Rays), which is mandatory for holders of permits, licenses and authorizations for directed fishing of sharks and rays, as well as for those who catch these species as bycatch, states under Clause 4.2.1. that "all shark individuals must be retained on board commercial fishing vessels for full use except for the species listed in paragraph 4.2.2. (this does not include silky sharks). Therefore, there remain disconnects in the existing national measures articulated in NOMs, which represents a potential impediment to effective enforcement of the existing conflicting regulations. Overall, conflicting national measures aside, the effectiveness of the conservation measures has not been demonstrated, so the requirements of the SG 80 level are not met. PAST has implemented an extensive annual training programme for PAST vessel skippers and crew, to raise awareness of the need to release sharks (and rays) safely and quickly where possible, and to ensure the crew are able to implement the appropriate techniques and measures to ensure that safe releases occur; in 2022, 1,148 PAST personnel received the training, adding to the training that has been provide in previous years. 100% observer coverage has been maintained within the PAST fleet throughout the duration of the certification (including during the Covid-19 pandemic), and the data collected show the percentage of silky sharks that are recorded as 'released alive' has improved from around 50.9% in the first year of certification to an average of 69.1% in the last three years.	

PI 2.1.1	The fishery does not pose a risk of serious or irreversible harm to the retained species and does not hinder recovery of depleted retained species
	Together with the relatively low catches of silky shark in the fishery (comprising less than 0.3% of the total EPO silky shark catch in 2020 – IATTC 2022a), it is confirmed that there is a partial strategy of demonstrably effective management measures in place such that the fishery does not hinder recovery and rebuilding – SG60 and SG80 are met. <u>Mobulid Rays:</u> These require special protection as detailed in NOM-029. The recent IATTC resolution (C-15-04) also contains a range of measures, including a prohibition on the retention of Mobulid rays (whole or parts) and requires that Mobulid rays be released alive whenever possible. These measures are expected to ensure that the fishery does not hinder rebuilding or recovery. This meets the requirements of the SG 60 level. As a new measure, however, the effectiveness of CMM C-15-04 has not yet been demonstrated so the requirements of the SG 80 level are not met. As for silky shark, PAST has implemented an extensive annual training programme for PAST vessel skippers and crew, to raise awareness of the need to release sharks (and rays) safely and quickly where possible, and to ensure the crew are able to implement the appropriate techniques and measures to ensure that safe releases occur; in 2022, 1,148 PAST personnel received the training, adding to the training that has been provide in previous years. 100% observer coverage has been maintained within the PAST fleet throughout the duration of the certification (including during the Covid-19 pandemic). The mean number of Mobulids recorded annually is 230, with a high of 318 in 2020 and a low of 230 in 2021, representing a very low catch overall, and an average of one Mobulid ray every 30 sets across the fishery. Importantly, the data collected also show that the percentage of Mobulids released alive has been around 90% over the course of the certificate, but reached 94% in 2021. These improvements are consistent with the expectations of implementing the PAST fishery requirements, and it is confirmed that there is a partial strategy of demonstrably effective management measures in place such that the fishery does not hinder recovery and rebuilding – SG80 is also met. <u>Eastern Pacific and striped bonito tuna:</u> Bonito have been assessed above as likely, but not highly likely, to be within biologically based limits. To achieve a pass at the SG 80 level therefore requires there to be “a partial strategy of demonstrably effective management measures in place such that the fishery does not hinder recovery and rebuilding”. There are no management measures that are specifically directed at bonito. However, recent data shows that the catches of bonitos in the PAST fishery have been much reduced, and the catch has comprised only 3.9% over the last five years. This means that the bonitos would be assessed as minor species, only. Nevertheless, a report by Ortega-García & Jakes-Cota 2019 demonstrated that catches in total have varied historically due to factors including market demand and price, as well as to the migratory movements of the fish and oceanic conditions. These authors showed that total catches from the stock were low and averaged less than 1,000 t from the mid-1990s to the mid-2000s, before increasing to a recent maximum in 2007 of 14,000 t and then declined thereafter; in 2018, the total catch was essentially zero, mirroring the situation with the PAST fishery. Overall, while there is no stock assessment available for the bonitos, it is considered that the species would now be assessed as a minor species, and so it is considered that there is a partial strategy of demonstrably effective management measures in place such that the fishery does not hinder recovery and rebuilding, and SG80 is met. Measures for the main target species, such as Resolution C-13-01, may provide some level of protection for the other retained species but it is also possible that restrictions on fishing effort for yellowfin and skipjack could redirect fishing effort towards bonito. In the absence of direct estimates of stock status, of the risks posed to the stocks by the fishery, or of specific management measures for these species, the requirements of the SG 80 level are not considered to be met.

PI 2.1.1		The fishery does not pose a risk of serious or irreversible harm to the retained species and does not hinder recovery of depleted retained species		
d	Guide post	If the status is poorly known there are measures or practices in place that are expected to result in the fishery not causing the retained species to be outside biologically based limits or hindering recovery.		
	Met?	Y (RAY), Not scored (BON, PBF, SSH)		
	Justification	The status of Mobulid rays are poorly known, but the measures of zero retention in place and low catch rates are expected to prevent the UoA from hindering recovery of these species. The status of bonito tunas, although not formally assessed, is likely to be within biologically based limits and is therefore not considered to be poorly known. The status of silky sharks and Pacific bluefin are not poorly known either.		
References		IATTC 2020a, Ortega-García & Jakes-Cota 2019, IATTC 2022a		
OVERALL PI SCORE:		UoCs 2 and 4 (Unassociated / Free school)		66 79 80
CONDITION NUMBER (if relevant):		UoCs 2 and 4 (Unassociated / Free school)		2-12, 2-13, 2-13b

Year 4, Revised Scoring Table for PI 2.1.2, UoCs 2 and 4 (Free school sets): Condition 2-14 and 2-16

PI 2.1.2		There is a strategy in place for managing retained species that is designed to ensure the fishery does not pose a risk of serious or irreversible harm to retained species		
Scoring Issue		SG 60	SG 80	SG 100
a	Guide post	There are measures in place, if necessary, that are expected to maintain the main retained species at levels which are highly likely to be within biologically based limits, or to ensure the fishery does not hinder their recovery and rebuilding.	There is a partial strategy in place, if necessary, that is expected to maintain the main retained species at levels which are highly likely to be within biologically based limits, or to ensure the fishery does not hinder their recovery and rebuilding.	There is a strategy in place for managing retained species.
	Met?	Y (BON, SSH, PBF, RAY)	Y (BON, SSH, PBF, RAY)	
	Justification	Eastern Pacific and striped bonito tuna: There are no measures adopted by the IATTC that are specifically directed at bonito tunas, but current knowledge of their status is insufficient to determine whether any are required. There are measures that have been adopted by the IATTC, however, which could assist in maintaining these bonitos within biologically based limits. Resolution C-13-01 is primarily aimed at the main target species but also includes specific time and area closures (which are designed to constrain effort) and a direction “to continue the experiments with sorting grids for juvenile tunas and other species of non-target fish in the purse seine nets of vessels that fish on FADs and on unassociated schools”. If eventually developed and used, such sorting grids could reduce the catch of bonitos.		

PI 2.1.2		There is a strategy in place for managing retained species that is designed to ensure the fishery does not pose a risk of serious or irreversible harm to retained species		
		The process for regular updates of catches, overviews of fishery developments and the adoption of Resolutions for other tuna species by the IATTC is indicative of a strategy that would be responsive and lead to appropriate measures if they became required for bonito tunas. This meets the requirements of the SG 60 and SG 80 levels. Nevertheless, because these measures are not specifically designed to manage the impacts of the fishery on bonitos, following GCB3.3 we do not consider them to constitute more than a partial strategy and the requirements of the SG 100 level are therefore not met. <u>Silky shark:</u> The IATTC has introduced a range of measures for the conservation of sharks (including silky sharks) under Resolution C-05-03 and C-04-05 that are directed at the conservation of sharks (and bycatch in the case of C-04-05) and these are considered to constitute a strategy. The IATTC measures include improved data collection and assessments, encouragement for the live release of sharks, the establishment and implementation of national plans of action for sharks, and bans on shark finning. Additional measures introduced by the Mexican Government involved several 2–4 month area closures intended to protect sharks during the pupping season. Collectively, such measures are expected to ensure that sets on free schools do not hinder the recovery and rebuilding of silky sharks, but confidence in this outcome is also dependent on a continuation of the current low level of catch of silky sharks by this set type. The requirements of the SG 60 and SG 80 levels are therefore considered to be met for silky shark. <u>Pacific bluefin tuna:</u> As outlined under PI 2.1.1 the key measure that is in place for the UoA is its agreement to refrain from taking any Pacific bluefin tuna. There are also measures implemented by the IATTC through the resolution C-14-06. On the basis of evidence of its effectiveness and implementation (see Sib and Sic), this is considered to be a partial strategy for Pacific bluefin tuna – SG60, SG80 and SG100 are met for this element and makes the other measures implemented by IATTC redundant as far as the UoA is concerned. This meets the requirements of the SG 60 and SG 80 levels for Pacific bluefin tuna. <u>Mobulid Rays:</u> The IATTC currently enacts a number of measures directed at rays which include improved data collection and assessments, encouragement for the live release of rays, the establishment and implementation of national plans of action for rays (see summary in Section 3.4 background). Furthermore, NOM 029 Clause 4.2.2 states that “Under no circumstances shall there be capture and retention of individuals of any of the following species... Giant Manta ray (<i>Manta birostris</i>, <i>Mobula japanica</i>, <i>M. thurstoni</i>, <i>M. munkiana</i>, <i>M. hypostomata</i> and <i>M. tarapacana</i>). Any of these species caught incidentally must be returned to the water. These species may not be retained, live, dead, whole or some of its parts and therefore may not be subject to human consumption or marketing. Further, the IATTC recently passed Resolution C-15-04 (June 2015), similarly requiring zero retention of Mobulid rays and increasing demands on observers to record retention versus discard of these species. Collectively, this partial strategy is expected to ensure that free school sets do not hinder the recovery and rebuilding of Mobulid rays: outcome scores in 2.1.1 will remain dependent on a continuation of the current low level of catch of Mobulid rays. The requirements of the SG 60 and SG 80 levels are therefore considered to be met.		
b	Guide post	The measures are considered likely to work, based on plausible argument (e.g., general experience, theory or comparison with similar fisheries/species).	There is some objective basis for confidence that the partial strategy will work, based on some information directly about the fishery and/or species involved.	Testing supports high confidence that the strategy will work, based on information directly about the fishery and/or species involved.

PI 2.1.2		There is a strategy in place for managing retained species that is designed to ensure the fishery does not pose a risk of serious or irreversible harm to retained species		
	Met?	Y (BON, SSH, PBF, RAY)	Y (BON, SSH, PBF, RAY)	N (BON), Y (PBF) Not scored (SSH, RAY)
	Justification	<u>Eastern Pacific and striped bonito tuna:</u> The strategy identified for bonito tunas is the IATTC monitoring and assessment framework that is considered to be able to identify the need for measures should they be required and lead to their implementation. Experience with other tuna conservation measures in the ETPO provides some objective basis for confidence that this would work. This meets the requirements of the SG 60 and SG 80 levels. Without specific measures to evaluate, however, there can be no guarantee that the current level of mortality of bonito tunas in free school sets would be maintained. Therefore there is not a high confidence that this strategy will work and therefore the requirements of the SG 100 level are not considered to be met. <u>Pacific bluefin tuna:</u> There can be confidence that the strategy of a zero catch of Pacific bluefin for vessels in the UoA will work based on the simplicity of its implementation (given that the species occurs in known areas at known times and is readily identifiable prior to setting the net), the ease of monitoring and the strong incentives to comply. Further objective comes from the absence of catches of Pacific bluefin tuna by PAST vessels since 2017. Together with evidence from the 2020 Pacific bluefin tuna stock assessment (IATTC 2020a) which shows that SSB has been increasing slowly since 2010, and an increase in young fish (age 0-2 years) in 2016-2018, which is expected to accelerate the recovery of SSB in the future, this is considered to comprise testing that supports high confidence that the strategy will work, based on information directly about the fishery and/or species involved. This meets the requirements of the SG60, SG80 and SG100 for Pacific bluefin tuna. This meets the requirements of the SG60 and SG 80 levels for Pacific bluefin. <u>Silky shark and Mobulid Rays:</u> There is plausible argument that the strategies identified in Scoring Issue a will work to ensure the fishery does not pose a risk of serious or irreversible harm. Confidence that the partial strategy will work is based on evidence from the fishery. This includes data from the observer program about the low level of catch of these species, and evidence that IATTC measures introduced to reduce mortality of other species have been successfully implemented. This meets the requirements of the SG 60 and SG 80 levels.		
	Guide post		There is some evidence that the partial strategy is being implemented successfully.	There is clear evidence that the strategy is being implemented successfully.
c	Met?		Y (BON, PBF, SSH, RAY) SSH, RAY	N (BON) Y (PBF)
	Justification	<u>Eastern Pacific and striped bonito tuna:</u> The IATTC monitoring and assessment framework has been implemented for many years. Reports on results of this broad program of work provide clear evidence that the partial strategy is being implemented. This meets the requirements for the SG 80 level. As we have not considered there to be a full strategy, the requirement so of the SG 100 level are not met. <u>Silky shark and Mobulid rays:</u> The assessment team was not provided with data or analyses or evidence to demonstrate that the measures adopted by the IATTC or Mexican Government are being implemented successfully in regards to requirements for zero retention. The requirements of the SG 80 level are therefore not met. A critical part of the partial strategy in place for the sharks and rays within the PAST fishery is the annual training that has been undertaken by PAST since 2019 to ensure vessel crew are reminded of the need to release sharks and rays safely and quickly where possible, and are able to implement the appropriate techniques and measures to ensure that		

PI 2.1.2		There is a strategy in place for managing retained species that is designed to ensure the fishery does not pose a risk of serious or irreversible harm to retained species		
		occurs. In 2022, 1,148 skippers and crew working within the PAST fleet received the annual training on sharks and rays, adding to the training that was provided in previous years. Key evidence that the partial strategy is being implemented is then contained within the data on the status upon release of the silky sharks and Mobulids captured in the PAST fishery. In this regard, the fishery has maintained 100% observer coverage, including throughout the Covid-19 pandemic; observer data show that the percentage of the silky sharks that were recorded as 'released alive' has risen from 50.9% in 2018 to average 69.1% in the last three years. The data also show that the percentage of Mobulids released alive has been around 90% over the course of the certificate, but reached 94% in 2021. These improvements are consistent with the expectations of implementing the PAST fishery requirements, and provides some evidence that the partial strategy is being implemented successfully – SG80 is met. More information on the long-term post-release survival of discarded sharks is needed before being able to score the PAST fishery at SG100. <u>Pacific bluefin tuna:</u> The PAST fleet has now provided data showing that catches of Pacific bluefin tuna have been zero since 2017. The 2020 Pacific bluefin tuna stock assessment (IATTC 2020a) also presented information indicating that SSB declined steadily from 1996 to a historical low in 2010, but has been increasing slowly since then, with the 2018 Pacific bluefin tuna biomass exceeding the historical median. This includes an increase in young fish (age 0-2 years) in 2016-2018, which is expected to accelerate the recovery of SSB in the future. There is considered to be clear evidence that the strategy is being implemented successfully, and SG80 and SG100 are met. As the strategy has only recently been implemented there is as yet no evidence that it has been implemented successfully. The requirements of the SG 80 level are therefore not met.		
d	Guide post			There is some evidence that the strategy is achieving its overall objective.
	Met?			N (BON), Y (PBF) Not scored (SSH, RAY)
	Justification	<u>Eastern Pacific and striped bonito tuna:</u> Bonito have been regarded as being within biological limits, which is a key requirement. Nevertheless, without a full strategy in place the requirements of the SG 100 level cannot be considered to be met. Silky shark, Mobulid rays, and Pacific bluefin tuna: Not scored. Other SG 80 levels not met. <u>Pacific bluefin tuna:</u> Catches of Pacific bluefin have been zero in the PAST fishery since 2017. The 2020 Pacific bluefin tuna stock assessment (IATTC 2020a) also presented information indicating that SSB declined steadily from 1996 to a historical low in 2010, but has been increasing slowly since then, with the 2018 Pacific bluefin tuna biomass exceeding the historical median. This includes an increase in young fish (age 0-2 years) in 2016-2018, which is expected to accelerate the recovery of SSB in the future. For Pacific bluefin tuna, there is some evidence that the strategy is achieving its overall objective, and SG100 is met.		
e	Guide post	It is likely that shark finning is not taking place.	It is highly likely that shark finning is not taking place.	There is a high degree of certainty that shark finning is not taking place.
	Met?	Y (SSH), N/A (BON, PBF, RAY)	N Y (SSH), N/A (BON, PBF, RAY)	Y (SSH), N/A (BON, PBF, RAY)

PI 2.1.2		There is a strategy in place for managing retained species that is designed to ensure the fishery does not pose a risk of serious or irreversible harm to retained species
	Justification	<u>Silky shark:</u> As outlined in the background section on silky sharks, there is evidence from both the reports to the COR and the results from the observer survey that shark finning is not taking place in any systematic way. The number of instances in the UoA are small. CONAPESCA provided evidence of a case of shark finning infractions by a vessel. The vessel, not from the UoA, was found guilty, however the case is subject to appeal and ongoing (CONAPESCA 2015b). On this basis, and following the revised guidance with regard to shark finning, we have concluded that it is likely that shark finning is not taking place. There are no recent data from the Compliance Committee, however, on the level of compliance with C-05-03 and no information through the IRP on sanctions for any non-compliance. We therefore do not consider it to be highly likely that shark finning is not taking place. We note the information from observers that shark finning was previously more common in catches from object sets but given that silky sharks are caught in all set types, and in the absence of any data specific to other set types, have applied the same rationale and score to both these set types. This meets the requirements of the SG-60 level but not of the SG-80 level. The PAST fishery is monitored by observers at a rate of 100%, including during the Covid-19 pandemic. PAST has developed a training manual on the commitment to zero retention, zero finning and 100% release of sharks (and rays) (PAST 2019b). In 2020, 168 skippers and crew received the training, with 979 receiving the training in 2021. In 2022, 1,148 PAST skippers and crew received the training, which is delivered at workshops, as evidenced to the Audit Team through images and sign-in sheets from the workshops. For 2022, the PAST again officially requested that CONAPESCA undertake random inspections of its vessels at landing (PAST 2022a, PAST 2022b), and these were followed by requests from member companies (Procesa Chiapas 2022, Pesca Azteca 2022). 18 random inspections were conducted in 2022, and there have been no violations of the non-retention of sharks and zero finning policies in the last year (IATTC 2022a, CONAPESCA 2022). Finally, we note that the Audit Team attended a site visit in Mazatlan in September 2022, where an opportunity to talk to skippers and crew was provided, together with the opportunity to go aboard a vessel as the tuna was being unloaded. Posters highlighting the no finning and non-retention of silky shark (and oceanic whitetip sharks) were prominently displayed on the vessel, and the Audit team was left in no doubt that the crew members were aware of their obligations in this regard. These milestones are met, and the comprehensive observer coverage together with the training, strict company policies and offload monitoring mean that there is a “<i>high degree of certainty that shark finning is not taking place</i>” aboard PAST vessels – SG60, SG80 and SG100 are met.
References		IATTC 2020a, CONAPESCA 2022, IATTC 2022a, PAST 2019b, . PAST 2022a, PAST 2022b. Pesca Azteca 2022, Procesa Chiapas 2022
OVERALL PI SCORE:		UoCs 2 and 4 (Unassociated / Free school) 65 75 85
CONDITION NUMBER (if relevant):		UoCs 2 and 4 (Unassociated / Free school) 2-14, 2-15, 2-16

PI 2.1.2 Scoring calculation

Element	Sl _a	Sl _b	Sl _c	Sl _d	Sl _e	Element Score	PI
Bonitos	80	80	80	-	-	80	75 85
Silky shark	80	80	60 80	-	60 100	75 85	
Pacific bluefin tuna	100	100	100	100	-	100	
Rays	80	80	60 80	-	-	75 80	

Year 4, Revised Scoring Table for PI 2.1.3, UoCs 2 and 4 (Free school sets): Condition 2-17 and 2-18

PI 2.1.3		Information on the nature and extent of retained species is adequate to determine the risk posed by the fishery and the effectiveness of the strategy to manage retained species		
Scoring Issue		SG 60	SG 80	SG 100
a	Guide post	Qualitative information is available on the amount of main retained species taken by the fishery.	Qualitative information and some quantitative information are available on the amount of main retained species taken by the fishery.	Accurate and verifiable information is available on the catch of all retained species and the consequences for the status of affected populations.
	Met?	Y (BON, SSH, PBF, RAY)	Y (BON, SSH, PBF, RAY)	Not scored (BON, SSH, RAY), N (PBF)
	Justification	The catch of all retained species is recorded in logbooks and verifiable from observer records so quantitative information is available on the amount of Eastern Pacific and striped bonito, silky shark, Mobulid rays, and Pacific bluefin tuna which are the main retained species taken by free school sets in the fishery. This meets the requirements of the SG 60 and SG 80 levels for bonitos, rays, and silky shark. There is not accurate and verifiable information on all retained species such that the consequences for affected populations can be assessed. Data on retained catch are recorded but assessments of status are not attempted for many of these species so it has not been demonstrated whether the information collected is sufficient to determine their status. The requirement of the SG 100 level is therefore not met for Pacific bluefin tuna.		
b	Guide post	Information is adequate to qualitatively assess outcome status with respect to biologically based limits.	Information is sufficient to estimate outcome status with respect to biologically based limits.	Information is sufficient to quantitatively estimate outcome status with a high degree of certainty.
	Met?	Y (BON, SSH, PBF, RAY)	Y (BON, SSH, PBF, RAY)	Not scored (BON, SSH, RAY), Y (PBF)
	Justification	<u>Eastern Pacific and striped bonito tuna:</u> The information available on bonitos is similar to other species for which assessments against biologically based limits have been made. This meets the requirements of the SG 60 and SG 80 levels. <u>Silky shark:</u> The information that is currently available is sufficient to allow analyses of trends in some indicators for silky shark (Hinton et al. 2014, Aires-da-Silva et al. 2014). The information has also been considered sufficient by the IUCN to assess their status as vulnerable (Kyne et al. 2012). The basis for their status is described more fully in the background section and in the rationale for PI 2.1.1 and has been considered sufficient to assess the species as not likely to be within biologically based limits. The information on their status has also been considered sufficient for the IATTC to make specific management recommendations for silky sharks (IATTC 2013). The requirements of the SG 60 and SG 80 levels are therefore met. <u>Pacific bluefin tuna:</u> The information available on Pacific bluefin is similar to other species for which assessments against biologically based limits have been made. There are numerous uncertainties with the assessment of Pacific bluefin tuna as outlined in Maunder et al. (2014). Nevertheless the conclusion that this species is overfished is robust to these uncertainties and there is a high degree of certainty about its status. This meets the requirements of the SG 60, SG 80 and SG 100 levels. <u>Mobulid Rays:</u>		

PI 2.1.3		Information on the nature and extent of retained species is adequate to determine the risk posed by the fishery and the effectiveness of the strategy to manage retained species		
		The small volume of the species retained make it unlikely that UoA catch will directly cause the species to fall outside of biologically based limits. Therefore, despite the lack of retention versus discard data provided to the team, the information provided is sufficient to estimate the outcome of the UoA in respect to biologically based limits. The requirements of the SG 60 and SG 80 levels are therefore met.		
c	Guide post	Information is adequate to support measures to manage main retained species.	Information is adequate to support a partial strategy to manage main retained species.	Information is adequate to support a strategy to manage retained species, and evaluate with a high degree of certainty whether the strategy is achieving its objective.
	Met?	Y (BON, SSH, PBF, RAY)	N (SSH, RAY) Y (BON, SSH, PBF, RAY)	Not scored (BON, SSH, RAY), Y (PBF)
	Justification	<u>Eastern Pacific and striped bonito tuna:</u> The information on bonito tunas is adequate to support the current strategy for this species. As lower priority species for which there are no concerns about outcome status, however, there is less attention paid to them and consequently a less than high degree of certainty about the success of the default strategy. The requirements of the SG 60 and SG 80 levels are therefore considered to be met. <u>Silky Shark:</u> The information that has been collected has been sufficient to support at least some of the measures that collectively are considered to comprise a strategy to manage silky sharks. However, the absence of retention vs discard (and survivorship) information means that there is not sufficient information to support the partial strategy, which includes national and international regulations prohibiting retention of the species. The SG 60, but not SG 80 Scoring Issue, is therefore met. 100% observer coverage has been maintained on PAST vessels, including throughout the Covid-19 pandemic. These data show that catches of silky shark in the fishery comprise less than 0.3% of the total EPO silky shark catch in 2020 – IATTC 2022a. Observers also provide comprehensive information on the fate of bycaught sharks (and rays). These data show that all oceanic whitetip sharks were recorded by observers as 'released alive', while the percentage of the silky sharks that were recorded as 'released alive' has risen from 50.9% in 2018 to average 69.1% in the last three years. It is considered that this improvement has resulted from the application of training to raise awareness of the need to ensure sharks (and rays) are returned safely to the extent possible, and of the methods to ensure this occurs – SG80 is also met. More information on the long-term post-release survival of discarded sharks is needed before being able to score the PAST fishery at SG100. <u>Mobulid Rays:</u> Data on Mobulid rays provided includes annual catch by set type, but the team was not provided with data on retention versus discard. While the data are sufficient to supports overall management of the species and basic estimates such as abundance, information is currently not adequate to support the main measures of the partial strategy, which hinge on national and international regulations that pertain to prohibited retention of the species. The SG 60, but not SG 80 Scoring Issue, is therefore met. As for silky shark, 100% observer coverage has been maintained within the PAST fleet throughout the duration of the certification (including during the Covid-19 pandemic). The mean number of Mobulids recorded annually is 230, with a high of 318 in 2020 and a low of 230 in 2021, representing a very low catch overall, and an average of one Mobulid ray every 30 sets across the fishery. Importantly, the data collected also show that the percentage of Mobulids released alive has been around 90% over the course of the certificate, but reached 94% in 2021. These improvements are consistent with the expectations of implementing the PAST fishery requirements, and it is confirmed that there is a partial strategy of demonstrably effective		

PI 2.1.3		Information on the nature and extent of retained species is adequate to determine the risk posed by the fishery and the effectiveness of the strategy to manage retained species		
		management measures in place such that the fishery does not hinder recovery and rebuilding – SG80 is also met. As for silky shark, more information on the long-term post-release survival of discarded rays is needed before being able to score the PAST fishery at SG100. <u>Pacific bluefin tuna:</u> The information on Pacific bluefin tuna is adequate to support the current strategy to manage the impact of the UoA on this species, which will depend only on verifying that there is no future catch by the UoA. The requirements of the SG 60, SG 80 and SG 100 levels are therefore considered to be met.		
d	Guide post		Sufficient data continue to be collected to detect any increase in risk level (e.g. due to changes in the outcome indicator score or the operation of the fishery or the effectiveness of the strategy)	Monitoring of retained species is conducted in sufficient detail to assess ongoing mortalities to all retained species.
	Met?		N (BON, SSH, RAY), Y (BON, SSH, RAY, PBF)	Not scored (BON, SSH, RAY), Y (PBF)
	Justification	<u>Eastern Pacific and striped bonito tuna, Mobulid rays, Silky Shark:</u> Data continue to be collected from logbooks and observer programs in sufficient detail to detect any substantial increase in risk from increased catches of these species. Catch data continue to be collected in high detail, facilitated through the use of 100% observer coverage. However, recent data shows that the catches of bonitos in the PAST fishery have been much reduced, and the catch has comprised only 3.9% over the last five years. This means that the bonitos would be assessed as minor species, only. Nevertheless, a report by Ortega-García & Jakes-Cota 2019 demonstrated that catches in total have varied historically due to factors including market demand and price, as well as to the migratory movements of the fish and oceanic conditions. These authors showed that total catches from the stock were low and averaged less than 1,000 t from the mid-1990s to the mid-2000s, before increasing to a recent maximum in 2007 of 14,000 t and then declined thereafter; in 2018, the total catch was essentially zero, mirroring the situation with the PAST fishery. Overall, in this context, it is considered that sufficient data continue to be collected to detect any increase in risk level (e.g. due to changes in the outcome indicator score or the operation of the fishery or the effectiveness of the strategy) – SG60 and SG80 are met for bonito. What is not currently available, however, is information on the effectiveness of all the measures contained in the IATTC's Resolutions, which collectively form the strategy for addressing risks to these species. This Scoring Issue is therefore not considered to be met at the SG 80 level. 100% observer coverage has been maintained on PAST vessels, including throughout the Covid-19 pandemic. It is noted that the requirement for 100% observer coverage is mandated by the IATTC, and the Audit Team has no doubt that this will be continued into the future. The data and detail on catches including fate of bycaught sharks and rays that are provided by observers is also expected to be retained or even improved in future. As such, there is no doubt that sufficient data will continue to be collected to detect any increase in risk level going forward – SG80 is met for silky shark and Mobulids. More information on the long-term post-release survival of discarded sharks and rays is needed before being able to score the PAST fishery at SG100. <u>Pacific bluefin tuna:</u> Data continue to be collected from logbooks and observer programs in sufficient detail to detect whether there is any catch of Pacific bluefin tuna by vessels in the UoA. Unlike for the other species assessed here, information on the effectiveness of all the measures contained in the		

PI 2.1.3		Information on the nature and extent of retained species is adequate to determine the risk posed by the fishery and the effectiveness of the strategy to manage retained species	
		IATTC's Resolutions is not required. Information also continues to be collected on the catch of all other retained species so the mortalities attributed to the UoA will be able to be assessed. This meets the requirements for the SG 80 and SG 100 levels.	
References		Ortega-García & Jakes-Cota 2019, IATTC 2022a	
OVERALL PI SCORE:		UoCs 2 and 4 (Unassociated / Free school)	65 75 85
CONDITION NUMBER (if relevant):		UoCs 2 and 4 (Unassociated / Free school)	2-12, 2-13, 2-13b

PI 2.1.3 Scoring calculation

Element	SIa	SIb	SIc	SId	Element Score	PI
Bonitos	80	80	80	80	80	75 85
Silky shark	80	80	60 80	60 80	70 80	
Pacific bluefin tuna	80	80	100	100	90	
Rays	80	80	60 80	60 80	70 80	

Year 4, Revised Scoring Table for PI 3.2.2, All UoCs: Condition 3-3

PI 3.2.2		The fishery-specific management system includes effective decision-making processes that result in measures and strategies to achieve the objectives, and has an appropriate approach to actual disputes in the fishery under assessment.		
Scoring Issue		SG 60	SG 80	SG 100
a	Guide post	There are some decision-making processes in place that result in measures and strategies to achieve the fishery-specific objectives.	There are established decision-making processes that result in measures and strategies to achieve the fishery-specific objectives.	
	Met?	Y	Y	
	Justification	IATTC Decision making processes at the regional level are defined in Article IX of the Antigua Convention. Decisions are based on scientific advice and the processes are responsive and largely transparent. Information used for decision-making is published and available on the IATTC website. Decisions are made by consensus and there is no objection or opting out procedure. Resolutions are binding, whereas recommendations are non-binding. All management measures apply equally inside parties EEZ's and on high seas. Parties enforce management measures within their own EEZ. The consensus requirement at IATTC means that members can block the passing of resolutions. Cooperating non-members are not entitled to take part in voting. While there is no evidence that a lack of consensus has prevented necessary conservation measures being adopted, there is criticism that the requirement for consensus delays the adoption of appropriate conservation and management measures while protracted negotiations may take place. SG 60 and SG 80 requirements are met. Mexico Decision-making at the national level is also well-established. Decision making is defined in LPGAS with the respective roles of the different institutions and the preparation of the CNP. This is explicitly detailed on the CONAPESCA web site dealing with transparency and		

		accountability and the mechanisms for stakeholder consultation through the National Advisory Committee for Responsible Fisheries. Decisions in respect of the client fishery are largely driven by IATTC outcomes, with the implementation of resolutions being undertaken by fisheries authorities, their scientific staff and then flowing to Congress for approval and publication as a document that acts as law. SG 60 and SG 80 requirements are also met at the national level. Overall, decision-making processes are in place that generally result in measures and strategies to achieve objectives, meeting SG80 requirements.		
b	Guide post	Decision-making processes respond to serious issues identified in relevant research, monitoring, evaluation and consultation, in a transparent, timely and adaptive manner and take some account of the wider implications of decisions.	Decision-making processes respond to serious and other important issues identified in relevant research, monitoring, evaluation and consultation, in a transparent, timely and adaptive manner and take account of the wider implications of decisions.	Decision-making processes respond to all issues identified in relevant research, monitoring, evaluation and consultation, in a transparent, timely and adaptive manner and take account of the wider implications of decisions.
	Met?	Y	N Y	Not scored
	Justification	IATTC Decision-making processes within IATTC are transparent and outcomes are published as resolutions from the annual meetings. Initial positions and the information used for the basis of the decision is also available (as technical reports provided to the meeting or as proposals for resolutions from some Parties), though exactly how decisions are reached is not necessarily obvious. The decision-making is adaptive in that decisions are evaluated by the various specialist meetings and feedback is provided to the Commission (Medley and Powers 2015). The Commission can be shown to react appropriately through the resolutions and recommendations it makes. The timeliness of decision-making is less clear. The requirement for consensus can delay decision-making and potentially prevent contentious issues from being raised. At the international level there is evidence that decision making processes respond to serious and other important issues but it is not evident that all issues identified are responded to. SG 60 and SG 80 requirements are met. Mexico At the national level the decision process is also well established. Mexico responds to IATTC decisions, with the flow of resolutions to fisheries authorities, to its scientific staff and then to Congress for approval and publication as a document that acts as a law. Procedures or documents that do not derive from IATTC agreements such as management plans or NOMs are first proposed to INAPESCA which reviews the technical details, content and structure of the proposal before forwarding the proposal to CONAPESCA. If approved by CONAPESCA the Federal Commission for Regulatory Improvement (COFEMER) verifies the legal consistency and validity of the proposal prior to the proposal being sent to Congress for approval and publication in the Official Gazette. However, although there are consultation processes established through Mexico's fisheries legislation, it is not clear that issues identified through research and monitoring outside IATTC processes are responded to in a transparent and timely manner. SG 60 requirements are met but further evidence is required to meet SG 80. At the national level, the decision-making process is well established. Mexico responds to IATTC decisions through submitting its resolutions to relevant fisheries agencies which are reviewed by their scientific staff and then submitted to Congress for approval and publication. Management measure proposals that are not derived from IATTC agreements such as management plans or NOMs are first submitted to INAPESCA, which reviews the technical		

		details, content and structure of the proposal before forwarding it to CONAPESCA. If approved by CONAPESCA, the Federal Commission for Regulatory Improvement (COFEMER) verifies the legal consistency and validity of the proposal prior to it being submitted to Congress for approval and publication in the Official Gazette. The Official Mexican Standard, NOM-001-SAC/PESC-2013 and the Agreement by which the Fisheries Management Plan for Yellowfin Tuna is implemented in the Pacific Ocean of Mexico (2014) were developed in consultation with relevant fisheries agencies including INAPESCA, CONAPESCA, CANAINPESCA, SEMARNAT, SAGARPA and others. Evidence presented to the audit team at the Year 2 audit demonstrated that the decision-making processes pertaining to the creation and review (conducted every 5 years) of the Official Mexican Standard, NOM-001-SAC/PESC-2013, responded to issues raised by INAPESCA and CONAPESCA and other stakeholders. Evidence is also now presented (year 2 audit) that there were also opportunities for public consultation, and these comments were responded to and incorporated into the NOM. On the basis of the above, the audit team determined that the national decision-making processes did respond to serious and other important issues identified in relevant research, monitoring, evaluation and consultation, in a transparent, timely and adaptive manner. Overall, SG 80 requirements are met at the national and international level.		
c	Guide post		Decision-making processes use the precautionary approach and are based on best available information.	
	Met?		Y	
	Justification	IATTC The Antigua Convention requires that the members of the Commission, directly and through the Commission, apply the precautionary approach. Specifically, the Convention requires that Commission be more cautious when information is uncertain, unreliable or inadequate and does not use the absence of adequate scientific information as a reason for postponing or failing to take conservation and management measures (Medley and Powers 2015). Article VII of the Convention requires that the Commission adopts measures that are based on the best scientific evidence available to ensure the long-term conservation and sustainable use of the fish stocks covered by this Convention. The Commission is tasked to assess the status of fish stocks using the best scientific information available and, based on those findings, determine whether an increase in fishing capacity and/or the level of fishing effort would threaten the sustainability of stocks. This requirement to use the best scientific information available is clearly implemented. There is evidence from the large number of meetings that have been conducted and reports written for the Commission which provide analyses and advice based on all the available information. Mexico participates in these processes and implements IATTC outcomes in the client fishery. Overall, IATTC decision-making processes are based on the precautionary approach using the best available information, meeting SG 80. Mexico Procedures in Mexico are required under the fisheries legislation to be precautionary and also need to be consistent with the foundations of the Convention. Information from the IATTC is fundamental to decision making for the fishery by the Mexican Government and INAPESCA is involved in reviewing the technical aspects of potential management changes to ensure the best available information is used. SG 80 requirements are met. Overall, SG 80 requirements are met at the national and regional levels.		
d	Guide post	Some information on fishery performance and management action is	Information on fishery performance and management action is available on request, and	Formal reporting to all interested stakeholders provides comprehensive information on fishery performance and

	generally available on request to stakeholders.	explanations are provided for any actions or lack of action associated with findings and relevant recommendations emerging from research, monitoring, evaluation and review activity.	management actions and describes how the management system responded to findings and relevant recommendations emerging from research, monitoring, evaluation and review activity.
Met?	Y	N Y	Not scored N
Justification	IATTC Reports of the IATTC plenary sessions of meetings are published formally and are publicly available, as are recommendations from research, monitoring, evaluation and performance review. The extent of information used in the decision making is published, although it is not always evident in reports how decisions were made based on this information. There is no formal, detailed explanation linking the information provided to the decision that results (Medley and Powers 2015). Decisions in the form of resolutions may not be accompanied by transparent justification. Nevertheless, information available for the decision making is published, allowing stakeholders to draw their own conclusions, and there is frequent feedback from NGOs, scientists and other stakeholders (Medley and Powers 2015). Given the detailed formal public reporting of decisions and information on which those decisions are based, the IATTC fisheries meet SG80. However, this falls short of formal reporting that can be clearly linked to all information available, so SG 100 is not met. Mexico At the national level, there are formal stakeholder meetings. However, the representation at these meetings and the level of reporting to all interested stakeholders is not clear from the information available. The recently introduced Mexican management plan for yellowfin tuna (SAGARPA 2014) outlines a number of actions, the implementation of which can be evaluated. However, the effectiveness of the plan in adding to existing management tools is not yet evident. The level of influence of the fishing industry in decision making is not clear and overall there is also a lack of transparency in decision making. SG 60 is met. Overall, SG60 is met but SG 80 is not. In 2014, the team, comprised of representatives from relevant government agencies and the fishing industry, responsible for the development of the Tropical Yellowfin Tuna Management Plan decided that the Plan should focus on the management of the purse seine fishery as the majority of yellowfin tuna catch within the EEZ of Mexico was from this fishery. Artisanal, small-scale and longline fisheries that also captured yellowfin tuna were excluded from the Plan due to the minimal catches compared to the purse seine fishery. However, the team responsible for reviewing the Plan in 2022 recommended that these fisheries be included to provide more comprehensive management of yellowfin tuna and ensure that gaps in research, monitoring, evaluation and review due to the exclusion of these fisheries did not affect the sustainability of the yellowfin tuna fisheries. A review of the Plan was conducted in August 2022 after the restrictions were eased. Multiple stakeholders participated including INAPESCA, FIDEMAR, Pesca Azteca S.A., Alliance de Pacifico por el Atun Sustentable, Pesca Chiapas and Grupo Maritimo Industrial. The stakeholders were given the opportunity to provide comments and recommendations concerning revisions to the Plan. The most significant revisions included the inclusion of artisanal, small-scale and longline fisheries in the management of yellowfin tuna within Mexico’s EEZ. As mentioned above, the initial Plan excluded objectives and strategies for the management of yellowfin tuna in these fisheries due to the minimal catches compared to the purse seine fishery (INEPESCA 2022).		

		A list of participants, meeting minutes and a draft of the report for the revised Management Plan for Tropical Yellowfin Tuna were provided to the team to review. Therefore, for both level, regional and national level, the fishery fulfils the information detailed in SA4.8.6 of the fisheries standard v2.01 where information on decisions, fisheries data supporting decisions, and the reason for decisions is available upon request and the procedures that the management entities follow are explained in the: Manual de procedimientos de las direcciones generales adjuntas de investigación* (INAPESCA 2018; pp. 40-41) Procedimiento 05 (PR05) "Elaboración de Planes de Manejo Pesquero" that can be consulted in the following website: Normatividad Inapesca Instituto Nacional de Pesca Gobierno gob.mx (www.gob.mx) As information on the fishery's performance and management action is available on request, and explanations are provided for any actions or lack of action associated with findings and relevant recommendations SG60 and SG80 are met. However, SG100 is not met as formal reporting to all interested stakeholders is not provided concerning the fishery's performance.		
e	Guide post	Although the management authority or fishery may be subject to continuing court challenges, it is not indicating a disrespect or defiance of the law by repeatedly violating the same law or regulation necessary for the sustainability for the fishery.	The management system or fishery is attempting to comply in a timely fashion with judicial decisions arising from any legal challenges.	The management system or fishery acts proactively to avoid legal disputes or rapidly implements judicial decisions arising from legal challenges.
	Met?	Y	Y	Not scored
	Justification	IATTC The assessment team is not aware that the IATTC has been subject to court challenges and there is no evidence of any ongoing disrespect or defiance of the law through repeated violations (Medley and Powers 2015). There is no evidence that entities flout the law, with the notable exception of particular fishing companies and fishing vessels, which are listed on the IUU fishing list. SG60 requirements are met by the IATTC and its Parties. Resolution of disputes through IATTC meetings (being members of IATTC and agreeing to abide by IATTC provisions) is an indication of some level of pro-active avoidance of legal disputes. Given that there are no current outstanding judicial disputes in relation to IATTC and that so far CPCs have avoided resorting to using international law to settle disputes, the management system meets SG80 requirements and SG 100 is partially met. Mexico There has been an ongoing dispute between the U.S. and Mexico in relation to the "dolphin safe" labelling of tuna product to be sold to the U.S. This issue has been the subject of ongoing action through the World Trade Organization and findings are still subject to appeal. The assessors are not aware of any evidence suggesting repeated violation of Mexico's fishing laws. CONAPESCA provided evidence of a case of shark finning infractions by a vessel. The vessel was found guilty, however the case is subject to appeal and ongoing. CONAPESCA also provided evidence of sanctions for minor infractions such as documentation inadequacies. SG 60 and SG 80 requirements are met. Overall, SG 60 and SG 80 requirements are met.		
References		CONAPESCA (2015a); CONAPESCA (2015b); SAGARPA (2014); Medley P.A.H. and Powers J.E. (2015); IATTC (2003)		
OVERALL PI SCORE:				75 80
CONDITION NUMBER				

Year 4, Revised Scoring Table for PI 3.2.3, All UoCs: Condition 3-4 & 3-5 and 3-7

NB – the ‘original’ text of PI 3.2.3 that is included below is from an expedited audit that was conducted immediately following the PAST fishery’s certification in 2018. See: <https://cert.msc.org/FileLoader/FileLinkDownload.aspx/GetFile?encryptedKey=vmF2zdhoXoPHuefcwvSB6f0W2ihkj4hZvVLKDyqgE8hpCtXUBknL4EnbAFZ0TiH>.

PI 3.2.3		Monitoring, control and surveillance mechanisms ensure the fishery’s management measures are enforced and complied with		
Scoring Issue		SG 60	SG 80	SG 100
a	Guide post	Monitoring, control and surveillance mechanisms exist, are implemented in the fishery under assessment and there is a reasonable expectation that they are effective.	A monitoring, control and surveillance system has been implemented in the fishery under assessment and has demonstrated an ability to enforce relevant management measures, strategies and/or rules.	A comprehensive monitoring, control and surveillance system has been implemented in the fishery under assessment and has demonstrated a consistent ability to enforce relevant management measures, strategies and/or rules.
	Met?	Y	N Y	Not scored N
	Justification	IATTC At the regional level, IATTC seeks to improve compliance mainly via vessel registration, but procedures also include catch and effort monitoring and diplomatic and other pressures applied to nation states. A number of positive developments since 2006 apply to all RFMOs (Medley and Powers 2015). These include: a legally binding instrument on Port State Measures to prevent, deter and eliminate IUU fishing (“Port State Measures Agreement”); the work of FAO to develop a global record of fishing vessels and to develop criteria to assess the performance of flag States; the second meeting of the five RFMOs dealing with highly migratory fish stocks in San Sebastian, Spain, and the follow-up work already under way. Most information on compliance comes from port monitoring and observer programs. The IATTC has the longest-established regional scientific and enforcement program. The regional observer program is fully coordinated by the Secretariat, with its own observers, but also with the participation of national programs (including Mexico). There is 100% coverage for purse seiners above 363 mt capacity. Administered by the IATTC for the AIDCP, the main purpose of this observer program is to monitor the incidental catch of dolphins in the purse-seine fishery. The data collected form the basis for determining whether a Dolphin Mortality Limit (DML) has been exceeded, and is also used for scientific and research purposes, as well as for monitoring compliance with IATTC management and conservation measures (Medley and Powers 2015). IATTC member vessels over 24m length catching tuna within the region must, by 2016, have VMS (Resolution C-14-02). Mexico has required VMS for all high seas fishing vessels since 2005. This is particularly important for time-area closure for bigeye. Other resolutions include measures to reduce bycatch mortality of dolphins, seabirds, sea turtles and sharks. These resolutions on bycatch of sharks and turtles have been effective, but there is some evidence that not all vessels comply with requirements (Medley and Powers 2015). IATTC uses its vessel registers to establish a ‘positive lists’ and identify IUU vessels, information which is shared with other RFMOs (Resolutions C-11-05, C-14-01). This record is based on information submitted by parties and cooperating non-parties. Importantly, vessels not entered into the record are deemed to be unauthorized to fish for, retain on board, transship or land tuna and tuna-like species (Medley and Powers 2015). There is also a shared IUU vessel list. IATTC has implemented some Port State Measures and, since 2003, a Catch Documentation Scheme for bigeye tuna. Landings and transshipments are monitored and		

	there are systems to check compliance with management measures, and collect data and other information. There are gaps, however, in implementing procedures across the region which include limited sharing of information on IUU fishing activities and a lack of regional measures against IUU vessels using ports and port facilities in the region (Medley and Powers 2015). Ultimately, flag States are responsible to the relevant RFMO for any failure to ensure that measures are implemented and for the resulting violations of those measures by States' vessels. The requirement for 100% observer coverage of large purse seine vessels is shared 50:50 by the IATTC and Mexico. Observer duties include the record of infractions such as the use of explosives and after sundown sets. The observer program has a history of being effective although isolated records exist about observers recording incomplete data about infractions. Reports of the International Review Panel (IRP) under the AIDCP present information on violations in relation to this program. There is a relatively low level of violations reported; given the 100% observer coverage this suggests a capacity to enforce management regulations. MCS arrangements at the international level meet SG 60 and SG 80 requirements, but are not sufficiently comprehensive to meet SG 100. Mexico An important role for the Mexican Government is implementation of IATTC MCS requirements under its commitment to IATTC and as reflected in Mexico's fisheries legislation. NOM-062-PESC-2007 requires the use of VMS and CONAPESCA has sophisticated systems for tracking fishing vessels. CONAPESCA employs Federal Fisheries Officers with responsibilities to verify compliance. Mexico has systems in place for taking action in the face of infractions related to the AIDCP. NOM-001- SAG/PESC-2013 requires concession holders with a dolphin mortality limit (DML) to be subject to two inspections per year and specifies sanctions that should be taken against vessels that exceed their DMLs. As described in the Principle 2 information in this report, Mexico's NOMs currently contain apparently contradictory requirements related to sharks: NOM-029 states that: 4.2.1. All shark individuals must be retained on board commercial fishing vessels for full use except for the species listed in paragraph 4.2.2. In contrast, NOM-001 for tuna fishing states that: 4.1.4.1 Require fishermen on purse seiners release as soon as possible and unharmed, to the feasible extent, all sharks, marlin, rays, mahi mahi and other non-target species. Despite this, both NOMs are consistent in their prohibition of finning, mandating that the exclusive use of the fins of any shark species is prohibited. Reports of the Committee for the Review of Implementation of Measures Adopted by the Commission provide information on reported instances of shark finning, for example, reporting of 10 sharks finned on 3 trips by Mexican-flagged vessels in 2009 (IATTC-COR 20101). There is a lack of evidence as to whether any sanctions have been applied in the instances in which it has been reported. In addition, as described below at 3.2.3b, there were 16 potential infractions for the Mexican fleet reported to the AIDCP Meeting of Parties between 2009 and 2013. No reported outcomes were available for 13 of the cases, and for the remaining three cases (all of which were trips made without the required equipment) the reported action taken was that "after investigating, the government decided that no infraction had occurred. There are strong sanctions for non-compliance and it is considered that these are thought to provide effective deterrence, meeting SG60 and SG80. The 56th meeting of the IRP (October 26, 2014) did not identify any infringements by Mexico. However, the system is not comprehensive and the ability to consistently enforce relevant management measures is not apparent. Whilst MCS mechanisms are in place, there are shortcomings in the ability to demonstrate that relevant management measures and rules are fully enforced. SG 60 requirements are met but SG 80 are not. Overall, SG 60 requirements are met. Expedited audit findings MCS mechanisms remain in place and are implemented. But the new information about an increase in the incidents of fishing within closed areas by Mexican purse seine vessels, and the
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		uncertainty over the existence or outcomes of any investigations or compliance measures taken in response, does raise the question of whether there remains a reasonable expectation that they are effective. In evaluating this, we consider that the effectiveness of such measures should be judged against the likelihood that any non-compliance could jeopardise the achievement of P1 and P2 objectives. The main area closure that purse seine fishers of all IATTC members must observe (apart from the annual closure whose length is set by the IATTC to constrain fishing mortality on the key target species) is the oceanic box known as the “corralito” as described in paragraph 3 of most recent resolution to this effect (C-17-02). None of the reports of fishing in closed waters concern this closure. All are about fishing within domestic protected areas that have been established for other conservation purposes. The enquiries made during the initial site visit about one such incident indicated that the catches from fishing inside protected areas are monitored by observers and the catches are reported in logbooks. Therefore, even such potentially illegal fishing has been reported and factored into future stock assessments. Therefore, we do not view the reports of fishing in closed waters within Mexican jurisdiction as being likely to impact on the achievement of P1 and P2 outcomes, and we remain of the view that there is still a reasonable expectation that the current MCS mechanisms are effective in this regard. SG 60 requirements are therefore still considered to be met but not those of SG 80 and the existing condition remains. Update at Year 4 During the expedited audit in 2018, CONAPESCA provided records of 29 cases involving 18 fishing vessels entering MPA waters in 2017. Out of the 71 cases identified in 2018, 14 cases presented potential irregularities, which were sent to PROFEPA to determine whether there was an infraction. CONAPESCA and PROFEPA’s investigations into fishing vessel entries into MPA waters confirmed that the tuna fishing vessel AZTECA 6 had illegally fished within MPA boundaries in 2017 and imposed a fine of \$3,623,520 Mexican pesos. CONAPESCA reported that the remaining 2017 cases of vessels entering into MPA waters were still under investigation by PROFEPA. As of the first quarter of 2022, the cases of concern that required investigation were yet to be resolved by CONAPESCA and PROFEPA due to COVID-19 restrictions. It was reported that investigations required the authorities to conduct face-to-face interviews with the captains and crew of the vessels as well as the staff from CONANP. Consequently, the investigations into these cases were suspended until the COVID-19 restrictions were eased. In late 2022 investigations into these cases were completed, CONAPESCA reported that with regard to the 13 remaining cases that observer reports from the vessels under investigation indicated that no illegal fishing operations occurred within the MPA waters. Also, according to the VMS data provided by SISMEP, CONAPESCA concluded that for the 5 cases reported in the El Vizcaino Biosphere Reserve, the 5 cases reported in the Revillagigedo Archipelago Biosphere Reserve, 2 cases in the Pacific Islands Biosphere Reserve of Baja California Peninsula and 1 case in the Gulf Island Biosphere Reserve, the purse seine vessels were in transit and there was no conclusive evidence that any illegal fishing activities had occurred (PROFEPA 2022). On the basis of the above, the team concluded that Mexico has MCS mechanisms in place and it has demonstrated an ability to enforce relevant management measures, strategies and/or rules, therefore SG60 and SG80 are met. However, SG100 is not met as the MCS mechanisms have not demonstrated a consistent ability to enforce relevant management measures, strategies and/or rules. Overall, SG60 and SG80 are met at the national and regional levels. However, SG100 is not met as at the national level Mexico has not demonstrated an ability to consistently enforce relevant management measures, strategies and/or rules.		
b	Guide post	Sanctions to deal with non-compliance exist and there is some evidence that they are applied.	Sanctions to deal with non-compliance exist, are consistently applied and thought to provide effective deterrence.	Sanctions to deal with non-compliance exist, are consistently applied and demonstrably provide effective deterrence.

Met?	Y	N Y	Not scored N
Justification	IATTC IATTC established CMMs but enforcement is carried out by the national authorities. Blacklisting of non-member vessels (IUU lists) has become a widespread practice among all RFMOs including IATTC (Medley and Powers 2015). There are no trade sanctions against nation states, although theoretically these may be possible. Sanctions are only applied to fishing entities, such as IUU vessels and vessels that are detected as being non-compliant with resolutions (Medley and Powers 2015). Reports of the AIDCP Meeting of Parties and the International Review Panel (IRP) provide information on potential infractions fishing vessels or fleets. There were 16 potential infractions for the Mexican fleet reported to the AIDCP Meeting of Parties between 2009 and 2013. These were mostly relatively minor in nature and included trips made without the required equipment (12 cases), trips made without an observer (two cases), and captains not being on the list of approved captains (two cases). No reported outcomes were available for 13 of the cases, and for the remaining three cases (all of which were trips made without the required equipment) the reported action taken was that “after investigating, the government decided that no infraction had occurred but issued a warning to the vessel owner to obtain the required equipment”. Meeting documents provided to the IRP (for IRP Meeting numbers 48–55 from 2009 to 2014) contained 44 cases of potential infractions (Table IRP1). There were seven cases reported for the Mexican fleet including the use of explosives and fishing without an observer. No information on outcomes was provided for any of these cases (note comments in the body of the report in relation to the use of explosives—one incidence was reported for a Mexican purse seine vessel between 2011 and 2016—this vessel was outside the UoA). There were no reported outcomes for 36 of the 44 cases (82%) and only one reported determination of an infraction having occurred. Of particular concern also are the outcomes for the reported cases of potential observer harassment (though none have been reported for the Mexican fishery). Of the 15 cases reported to the IRP (2009–14) there had been 10 for which there had been no outcome concluded, four were found not to be an infraction, and only one for which an infraction had been recorded. The nature of any sanction that was imposed, however, is not recorded. Similarly, compliance information is reviewed at annual IATTC meetings of the Committee for the Review of Implementation of Measures Adopted by the Commission (IATTC-COR 2014). Unfortunately, reports of these meetings do not go into detail on possible infractions and more detailed information discussed at the meetings is treated as confidential. Available information does not allow a conclusion that sanctions to deal with non-compliance are consistently applied. SG 60 is met, but SG 80 and SG 100 are not. Mexico Mexico has a system for taking action in the face of infractions to the AIDCP and has legislation specifying sanctions for infractions. CONAPESCA provided information on the steps that are to be taken when there are violations. Some information was available to the audit team for low level violations. CONAPESCA indicated that there have been no recent serious violations for the tuna fishery. In 2010, a vessel was found guilty of fishing for Bluefin tuna without the appropriate concessions. This offence resulted in a fine and the forfeit of the Bluefin tuna on board at the time of inspection. The majority of the Bluefin catch had been sold alive to fish farms. CONAPESCA determined that the vessel did not need to be decommissioned, citing the fishing company’s cooperation in the proceedings. As indicated above, potential infractions by the Mexican fleet have been reported at AIDCP and IRP meetings. Whether or not sanctions have been applied for any of these potential infractions is not clear from available information. Similarly, reports from meetings of the Committee for the Review of Implementation of Measures Adopted by the Commission do not present detailed information on infractions. Although the team conclude that systematic shark finning is not occurring, it is not evident that potential incidences consistently result in sanctions. In addition, indications were given to the assessment team that fishing by a purse seine vessel had been observed in a protected zone in Mexico’s waters. CONAPESCA supplied the assessment team with GPS tracks showing the path and timing of the incursion to the protected area, and indicated that the vessel in		

	question was in transit through the area. However, observer data viewed by the assessment team suggests that an unassociated set may have been undertaken by the vessel in question at the time of incursion. The balance of the exchanges on this matter did not confirm to the team that the potential breach had been conclusively addressed. Overall, there are sanctions to deal with non-compliance and there is evidence that they are applied, meeting SG60. However, the evidence that sanctions are consistently applied is insufficient at the regional and national levels. SG 80 and SG 100 are not met. Expedited audit findings The new information does not call into question the requirements of SG 60 that sanctions do exist and that there is “some” evidence that they are applied (see sanctioned events listed in Table 3.) It does, however, confirm the findings of the initial assessment that there remain doubts as to whether sanctions to deal with non-compliance are consistently applied as the resolution of 27 of the 29 potential breaches reported to PROFEPA are undefined. The requirements of SG 60 are still considered to be met but not those of SG 80 and the existing condition remains, based on what appears to be further evidence to substantiate the original score. Update at Year 4 The Alliance provided the audit team with reports from IRP from 2016-2021 that indicated there were not any violations reported for the UoA purse seine tuna fishing vessels. During the COVID-19 pandemic Mexico was able to maintain 100% observer coverage on tuna purse seine vessels. As the purse seine fleet in Mexico only operates from domestic ports this enabled the government to closely monitor the placing of observers aboard vessels. During 2021, CONAPESCA maintained 100% VMS coverage of the UoA purse seine vessels during fishing operations. The Alliance members also contracted a global satellite monitoring company, CLS, to track and monitor all UoA vessels fishing trips. A VMS upgrade that was scheduled to be completed by CONAPESCA in 2019 was delayed due to the restructuring of national government agencies after the election of a new government which resulted in the funding for this project being reallocated. Although the national VMS system was not upgraded, CONAPESCA reported that it constantly updates the system to provide an effective and accurate mechanism for tracking of tuna fishing vessels. Federal Fisheries Officials of CONAPESCA conducted random dockside inspections on Alliance vessels (74 in 2019, 6 in 2020, 15 in 2021 and inspections required by Resolution A-04—03, 70-72 in 2019, 68 in 2020 and 68 in 2021); no cases of non-compliance were reported concerning the retention of sharks, rays and shark fins from 2018-2021. CONAPESCA reported that the Navy boarded and inspected a total of 6 UoA purse seine vessels in 2019, while in 15 vessels were boarded and inspected in 2020 and 18 vessels were boarded and inspected in 2021. No infractions were identified by the Navy during these surveillance operations. To raise awareness about Marine Protected Areas (MPAs), located within the Exclusive Economic Zone (EEZ) of Mexico, the Alliance conducted over 40 workshops with 1,141 participants, mainly the captains and crews of UoA vessels, since May 2020. During the expedited audit in 2019, out of a total of 71 potential cases identified, CONAPESCA provided records of 29 cases involving 18 fishing vessels entering MPA waters in 2017. Fourteen (14) of the cases identified in 2017 presented potential irregularities. CONAPESCA and PROFEPA’s investigations into fishing vessel entries into MPA waters confirmed that the tuna fishing vessel AZTECA 6 had illegally fished within MPA boundaries in 2017 and imposed a fine of \$3,623,520 Mexican pesos. As of the first quarter of 2022, the 13 remaining cases of concern that required investigation were yet to be resolved by CONAPESCA and PROFEPA due to COVID-19 restrictions. It was reported that investigations required the authorities to conduct face-to-face interviews with the captains and crew of the vessels as well as the staff from CONANP. Consequently, the investigations into these cases were suspended until the COVID-19 restrictions were eased. In late 2022 investigations into these cases were completed. CONAPESCA reported that with regard to the 13 remaining cases that observer reports from the vessels under investigation indicated that no illegal fishing operations occurred within the MPA waters. Also, according to the VMS data provided by SISMEP, CONAPESCA concluded that for the 5 cases reported in the El Vizcaino Biosphere Reserve, the
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		5 cases reported in the Revillagigedo Archipelago Biosphere Reserve, 2 cases in the Pacific Islands Biosphere Reserve of Baja California Peninsula and 1 case in the Gulf Island Biosphere Reserve, the purse seine vessels were in transit and there was no conclusive evidence that any illegal fishing activities had occurred. On the basis of the above, there is evidence that there are sanctions to deal with non-compliance and there is evidence that they are applied so SG60 and SG80 are met, however, there is insufficient evidence that sanctions to deal with non-compliance demonstrably provide effective deterrence, so SG100 is not met. Overall, SG60 and SG80 are met at both the national and regional levels but SG100 is not met.		
c	Guide post	Fishers are generally thought to comply with the management system for the fishery under assessment, including, when required, providing information of importance to the effective management of the fishery.	Some evidence exists to demonstrate fishers comply with the management system under assessment, including, when required, providing information of importance to the effective management of the fishery.	There is a high degree of confidence that fishers comply with the management system under assessment, including, providing information of importance to the effective management of the fishery.
	Met?	Y	Y	Not scored
	Justification	IATTC The IATTC has a permanent working group on compliance that reviews and monitors compliance with IATTC management measures (IATTC-COR 2014). As well as undertaking analysis of information on compliance and reporting the findings to the IATTC, the working group also recommends measures to promote compatibility among the national fisheries management measures, addressing matters related to compliance with fisheries management measures. Unfortunately, reports of these meetings do not go into detail on possible infractions and more detailed information discussed at the meetings is treated as confidential. As indicated above, meeting documents provided to the IRP (for IRP Meeting numbers 48–55 from 2009 to 2014) contained 44 cases of potential infractions (Table IRP1). There were seven cases reported for the Mexican fleet including the use of explosives and fishing without an observer (note comments in the body of the report in relation to the use of explosives—one incidence was reported for a Mexican purse seine vessel between 2011 and 2016—this vessel was outside the UoA). No information on outcomes was provided for any of these cases. There were no reported outcomes for 36 of the 44 cases (82%) and only one reported determination of an infraction having occurred. Of particular concern also are the outcomes for the reported cases of potential observer harassment (though none have been reported for the Mexican fishery). Of the 15 cases reported to the IRP (2009-14) there had been 10 for which there had been no outcome concluded, four were found not to be an infraction, and only one for which an infraction had been recorded. The nature of any sanction that was imposed, however, is not recorded. In addition, reports of the AIDCP Meeting of Parties provide information on potential infractions fishing vessels or fleets. There were 16 potential infractions for the Mexican fleet reported to the AIDCP Meeting of Parties between 2009 and 2013. These were mostly relatively minor in nature and included trips made without the required equipment (12 cases), trips made without an observer (two cases), and captains not being on the list of approved captains (two cases). No reported outcomes were available for 13 of the cases, and for the remaining three cases (all of which were trips made without the required equipment) the reported action taken was that “after investigating, the government decided that no infraction had occurred but issued a warning to the vessel owner to obtain the required equipment”. Available information suggests there is some evidence to demonstrate fishers comply with the management system. However, the confidential nature of much of the information in		

	relation to this scoring issue means that there is not a high degree of confidence in relation to compliance, preventing SG 100 being met. SG 60 and SG 80 requirements are met. Mexico Mexico reliably meets its data reporting requirements to the Commission. The low level of infractions reported given 100% observer coverage for the purse seine fleet provides a level of confidence that there is compliance with the management system. However, as indicated above, potential infractions by the Mexican fleet have been reported at AIDCP and IRP meetings. There were 16 potential infractions for the Mexican fleet reported to the AIDCP Meeting of Parties between 2009 and 2013, mostly minor in nature. Potential infractions have also been reported to IRP meetings. At least 29 potential infractions were brought to the IRP between October 2011 and October 2014, only one of which involved the Mexican fleet but the nature of the case was not specified. There is a lack of transparency in relation to these matters. In 2008, information was presented at the 46th meeting of the IRP comparing the IATTC observer program, by country, and the national programs of Columbia, Ecuador, Mexico, Nicaragua and Panama, Spain and Venezuela for the years 2000 to 2007. Aspects compared included average mortality per set, average rate of possible observer infractions (based on cases of interference reported by observers), and average rate of procedural infractions (explosives use, night sets, no backdown, sets after reaching the DML, sacking up or brailing live dolphins, unavoided dolphin injury or death, and sets without continued rescue) (IATTC 2008). The report to the IRP found significant differences for some of these aspects for several of the national programs. The IATTC has provided the assessment team with updated information comparing the data from IATTC observers and the Mexico national program (PNAAPD) for subsequent years to 2014. This information is preliminary and has not been discussed at IATTC scientific meetings, however, it suggests ongoing differences between the two programs. Of most concern is that the average reported mortality per set is greater for IATTC observers than PNAAPD observers, suggesting a possible level of underreporting or differences between the two programs which require further investigation. These data also show significant differences in the rate of procedural infractions, with a higher number of infractions being reported by IATTC observers (IATTC pers. comm.). The information above indicates that there are issues to be resolved in relation to MCS for the fishery. These are addressed under other scoring issues for this performance indicator. As with regional management, there is some evidence to demonstrate fishers comply with the local management system. The low level of infractions reported given 100% observer coverage and the cooperation of industry in providing required information indicates that SG 60 and SG 80 requirements are met. However, there is not a high degree of confidence in relation to compliance, preventing SG 100 being met. Overall, SG 60 and SG 80 requirements are met. Expedited audit findings The new information examined about potential incidents of transit/fishing within closed areas shows an apparently increasing trends for such events. The increasing frequency of these reports in the information provided by CONAPESCA as well as the inconsistency in the reported protocols in use, is indicative of a new phenomenon that requires explanation and a response. Nevertheless, we do not view it as being of a sufficient scale to challenge the findings of the initial assessment that there is at least “some” evidence to demonstrate that fishers comply with the management system under assessment via 100% observer coverage on vessels, and general compliance associated with the array of regulations in NOM 001. This is a relatively low bar that we consider the fishery still reaches. Therefore the requirements of SG 60 and SG 80 levels are still considered to be met.
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d	Guide post		There is no evidence of systematic non-compliance.	
	Met?		N Y	
	Justification	IATTC There is some evidence of non-compliance with conservation measures from meetings of the IATTC Committee for the Review of Implementation of Measures Adopted by the Commission (IATTC-COR 2014), however this does not suggest systematic non-compliance. There is a high level of monitoring of the fishery and although there is evidence of potential infractions, there is no evidence of systematic non-compliance, meeting the SG 80 requirements at the international level. Mexico Mexico has systems in place to deal with non-compliance. Although there is a lack of transparency in how infractions are dealt with, there is no evidence of systematic non-compliance. Overall, SG 80 requirements are met. Expedited audit findings The number of media reports of fishing/no movement within closed areas is very concerning but it is difficult for us to evaluate their veracity with the information available to the assessment team, particularly in the face of contradictory information received by SCS between April 2018 and September 2018. Regardless, reports are consistent with the increase in reported incidents of activity in closed areas. Although we are unable to establish the reasons for this increase and the inconsistency in the protocols we received, this information is indicative of a situation that requires a management response. There is no formal definition of what constitutes systematic non-compliance, but we consider that a report of over 29 cases of fishing/no movement (sensu protocol in Box 1) in closed areas does constitute evidence of systematic non-compliance by the fishery or inconsistent internal procedures relevant to MCS systems. Therefore the SG 80 requirements are no longer considered to be met and a new condition is imposed. Update at Year 4 In late 2022 investigations into these cases were completed, CONAPESCA reported that with regard to the 13 remaining cases that observer reports from the vessels under investigation indicated that no illegal fishing operations occurred within the MPA waters. Also, according to the VMS data provided by SISMEP, CONAPESCA concluded that for the 5 cases reported in the El Vizcaino Biosphere Reserve, the 5 cases reported in the Revillagigedo Archipelago Biosphere Reserve, 2 cases in the Pacific Islands Biosphere Reserve of Baja California Peninsula and 1 case in the Gulf Island Biosphere Reserve, the purse seine vessels were in transit and there was no conclusive evidence that any illegal fishing activities had occurred (PROFEPA 2022). On the basis of the above, the team concluded that there is no evidence of systematic non-compliance in the PAST fishery. SG80 is met.		
References		CONAPESCA (2015a); CONAPESCA (2015b); Medley P.A.H. and Powers J.E. (2015); IATTC (2008); IATTC (2009); IATTC-COR (2010); IATTC-COR (2014); IATTC-COR (2013); Lodge, M.W., Anderson, D., Løbach, T., Munro, G., Sainsbury, K., Willock, A. (2010)		
OVERALL PI SCORE:				74 80
CONDITION NUMBER				

4.7 Principle level scores

Table 16 and Table 17, below, respectively show the revised Principle level scores and individual Performance Indicator scores following this Year 4 surveillance audit. Note that the Principle 1 scoring for yellowfin tuna (UoCs 1 and 2) reflects the upgrade to CR v.2.01 (see Appendix 5 of the Year 2 audit report). Skipjack tuna will be upgraded to CR v.2.01 separately as per the MEGVAR requirements in the event that the suspension on UoCs 3 and 4 (skipjack tuna) is lifted.

Table 16. Revised Principle level scores

Principle	UoC 1 (YFT – Dolphin)	UoC 2 (YFT – Unassoc.)	UoC 3 (SKJ – Dolphin)	UoC 4 (SKJ – Unassoc.)
Principle 1 – Target Species	91.7	91.7	N/A (UoAs suspended)	
Principle 2 – Ecosystem Impacts	85.7	92.3	N/A (UoAs suspended)	
Principle 3 – Management System	84.1	84.1	N/A (UoAs suspended)	

Table 17. Performance Indicator scores. Note YFT P1 is scored under FCR2.0, whilst P2 and P3 are FR 1.3.

Principle	Component	Wt	Performance Indicator (PI)			Wt	UoC 1	UoC 2	UoC 3	UoC 4
							P1 CR v.2.01	P1 CR v.1.3		
One	Outcome	0.5	1.1.1	Stock status	0.5	100	100	N/A (UoAs suspended)	N/A (UoAs suspended)	
			1.1.2	Reference points (CR v.1.3 - SKJ) Stock rebuilding (CR v.2.01 -YFT)	0.5	N/A	N/A			
			1.1.3	Stock rebuilding	N/A	N/A	N/A			
	Management	0.5	1.2.1	Harvest strategy	0.25	95	95			
			1.2.2	Harvest control rules & tools	0.25	80	80			
			1.2.3	Information & monitoring	0.25	80	80			
			1.2.4	Assessment of stock status	0.25	95	95			
Two	Retained species	0.2	2.1.1	Outcome	0.33	80	80			
			2.1.2	Management strategy	0.33	85	85			
			2.1.3	Information/Monitoring	0.33	80	85			
	Bycatch species	0.2	2.2.1	Outcome	0.33	80	80			
			2.2.2	Management strategy	0.33	95	95			
			2.2.3	Information/Monitoring	0.33	80	80			
	ETP species	0.2	2.3.1	Outcome	0.33	65	100			
			2.3.2	Management strategy	0.33	75	100			
			2.3.3	Information strategy	0.33	65	100			
	Habitats	0.2	2.4.1	Outcome	0.33	100	100			
			2.4.2	Management strategy	0.33	100	100			
			2.4.3	Information	0.33	100	100			
	Ecosystem	0.2	2.5.1	Outcome	0.33	100	100			
			2.5.2	Management	0.33	85	85			
			2.5.3	Information	0.33	95	95			
Three	Governance and policy	0.5	3.1.1	Legal &/or customary framework	0.33	80	80			
			3.1.2	Consultation, roles & responsibilities	0.33	85	85			
			3.1.3	Long term objectives	0.33	100	100			
			3.1.4	Incentives for sustainable fishing		80	80			
	Fishery specific management system	0.5	3.2.1	Fishery specific objectives	0.2	80	80			
			3.2.2	Decision making processes	0.2	80	80			
			3.2.3	Compliance & enforcement	0.2	80	80			
			3.2.4	Research plan	0.2	90	90			
			3.2.5	Monitoring & management performance evaluation	0.2	80	80			

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6 Appendices

Appendix 1 Evaluation processes and techniques

Appendix 1.1 Site visits

Meetings for the Year 4 audit of the PAST fishery were held as described in Table 18, below. The site visit was held on site in Mazatlan, Mexico, from the 5– 9th September 2022, and then in San Diego, USA, from 12-13th September 2022.

Table 18. Meetings held during the Year 4 audit of the PAST fishery

Date	Attendee	Affiliation	Key subjects covered
5 th September 2022	Rob Blyth-Skyrme	Control Union (CU) - Team Leader (TL) and P2 Assessor	<u>Client Opening</u> • Purpose of audit and meeting • Audit process and confidentiality • Arrangements for meetings and timetable • Questions for Audit Team • Condition milestones and information presented ahead of the site visit
	Carlos Alvarez	Control Union – P1 Assessor	
	Peter Watt	Control Union – P3 Assessor	
	Tristan Southall	Accreditation Services International (ASI)	
	Mariana Ramos	PAST – Client	
	Alvin Suarez	PAST – Client	
	Evaristo Villa Michel	Pesca Azteca (client)	
	Ernesto Escobar	Pesca Azteca	
	José E. Carranza	José E. Carranza	
	Cristina Alvidrez	Procesa Chiapas (client)	
	Alfonso Rosinol De Vecchi	Groupomar (client)	
5 th September	Rob Blyth-Skyrme	CU TL and P2 Assessor	<u>Pesca Azteca Factory and Vessel Tour</u> • Vessel operations • Landing operations • Tuna processing • Crew training facilities
	Carlos Alvarez	P1 Assessor	
	Tristan Southall	ASI	
	Mariana Ramos	PAST – Client	
	Alvin Suarez	PAST – Client	
	Evaristo Villa Michel	Pesca Azteca	
	Ernesto Escobar	Pesca Azteca	
	Cristina Alvidrez	Procesa Chiapas (client)	
	Alfonso Rosinol De Vecchi	Groupomar (client)	

Date	Attendee	Affiliation	Key subjects covered
6th September 2022	Rob Blyth-Skyrme	CU	<u>Skipper Interview</u> • Purpose of audit and meeting • Audit process and confidentiality • Official inspections and observers • VMS use and MPAs • ETP species interactions and mitigation – sharks, turtles, dolphins • Fishing and setting operations
	Carlos Alvarez	CU	
	Tristan Southall	ASI	
	Mariana Ramos	PAST – Client	
	Alvin Suarez	PAST – Client	
	Evaristo Villa Michel	Pesca Azteca	
	Ernesto Escobar	Pesca Azteca	
	Jose Meza	Captain, Acose	
6th September 2022	Rob Blyth-Skyrme	CU	<u>Crew Interview</u> • Purpose of audit and meeting • Audit process and confidentiality • Crew training • ETP species interactions and mitigation – sharks, turtles, dolphins • Fishing and setting operations
	Carlos Alvarez	CU	
	Tristan Southall	ASI	
	Mariana Ramos	PAST – Client	
	Alvin Suarez	PAST – Client	
	Evaristo Villa Michel	Pesca Azteca	
	Ernesto Escobar	Pesca Azteca	
	Jose Cristian Ramos Aguilar	Crew, Pesca Azteca	
7th September 2022	Rob Blyth-Skyrme	CU	<u>CONAPESCA</u> • Purpose of audit and meeting • Audit process and confidentiality • CONAPESCA role • P2 and P3 condition progress • Changes to regulations • Mexico-IATTC processes • Stakeholder processes with Mexican Government • Mexican observer programme • Vessel inspection processes
	Carlos Alvarez	CU	
	Peter Watt	CU	
	Tristan Southall	ASI	
	Mariana Ramos	PAST – Client	
	Alvin Suarez	PAST – Client	
	Evaristo Villa Michel	Pesca Azteca (client)	
	Ernesto Escobar	Pesca Azteca	
	Cristina Alvidrez	Procesa Chiapas (client)	
	Alfonso Rosinol De Vecchi	Groupomar (client)	
	Isabel Cristina Reyes Robles	CONAPESCA	

Date	Attendee	Affiliation	Key subjects covered
	Karla Riviera	CONAPESCA	
	Jesus Dosal	CONAPESCA	
	Marco Antonio	CONAPESCA	
	Jose de Jesus	CONAPESCA	
	Adolpho Mendoza	CONAPESCA	
	Fenando Zatarin	CONAPESCA	
7 th September 2022	Rob Blyth-Skyrme	CU	INAPESCA • Purpose of audit and meeting • Audit process and confidentiality • INAPESCA role • P2 and P3 condition progress
	Carlos Alvarez	CU	
	Tristan Southall	ASI	
	Mariana Ramos	PAST – Client	
	Alvin Suarez	PAST – Client	
	Evaristo Villa Michel	Pesca Azteca (client)	
	Ernesto Escobar	Pesca Azteca	
	Cristina Alvidrez	Procesa Chiapas (client)	
	Alfonso Rosinol De Vecchi	Groupomar (client)	
	Pedro Sierra Rodriguez	INAPESCA	
8 th September 2022	Claudia Moreno	INAPESCA	PROFEPA • Purpose of audit and meeting • Audit process and confidentiality • Prosecution of non-compliance cases • Historic fishing inside MPAs • P3 Conditions
	Michel Dreyfus	FIDEMAR	
	Rob Blyth-Skyrme	CU	
	Carlos Alvarez	CU	
	Peter Watt	CU	
	Tristan Southall	ASI	
	Mariana Ramos	PAST – Client	
	Alvin Suarez	PAST – Client	
	Evaristo Villa Michel	Pesca Azteca	
	Ernesto Escobar	Pesca Azteca	
	Alfonso Rosinol De Vecchi	Groupomar (client)	
	Monica Arciniega	PROFEPA	
	Rob Blyth-Skyrme	CU	

Date	Attendee	Affiliation	Key subjects covered
9th September 2022	Carlos Alvarez	CU	<u>Client Meeting</u> • Update on data requests • Draft progress against conditions
	Virginia Polonio	CU	
	Tristan Southall	ASI	
	Mariana Ramos	PAST – Client	
	Alvin Suarez	PAST – Client	
	Evaristo Villa Michel	Pesca Azteca	
	Ernesto Escobar	Pesca Azteca	
	Alfonso Rosinol De Vecchi	Groupomar (client)	
12th September 2022	Rob Blyth-Skyrme	CU	<u>IATTC</u> • Purpose of audit and meeting • Audit process and confidentiality • SKJ and YFT assessments and stock status • Bycatch management and data • ETP species interactions • First trial survey • Second trial survey situation • Dolphin population survey planning Dolphin population survey • Ecosystem monitoring
	Carlos Alvarez	CU	
	Tristan Southall	ASI	
	Alexandre Aires-da-Silva	Inter-American Tropical Tuna Commission (IATTC)	
	Brad Wiley	IATTC	
	Carolina Minte-Vera	IATTC	
	Cleridy Lennert-Cody	IATTC	
	Ernesto Altamirano Nieto	IATTC	
13th September 2022	Rob Blyth-Skyrme	CU	<u>Client Meeting</u> • Update on data requests • Draft progress against conditions • Timeline for completion
	Carlos Alvarez	CU	
	Virginia Polonio	CU	
	Tristan Southall	ASI	
	Mariana Ramos	PAST – Client	
	Alvin Suarez	PAST – Client	
19th September 2022	Rob Blyth-Skyrme	CU	<u>University of St. Andrews</u> • Purpose of audit and meeting • Audit process and confidentiality • First trial survey • Second trial survey situation • Dolphin population survey planning
	Carlos Alvarez	CU	
	Virginia Polonio	CU	
	Cornelia Oedekoeven	University of St. Andrews	
	Steve Buckland	University of St. Andrews	

Appendix 2 Stakeholder Input

The International Seafood Sustainability Foundation (ISSF) submitted comments at this Year 4 audit / Reassessment site visit.

General comments	Evidence or references	CAB response to stakeholder input	CAB Response Code
Fishery description and FAD operations Although the fishery itself does not deploy FADs it accounts for around 3% of the effort in the region, which is significant and is poorly described in the report. ISSF requests that a more in detailed quantitative and qualitative description of the fishery operations in association with FADs is provided in the next iteration of assessment reports. This would allow for a better understanding of its potential effects on the ecosystem and compliance with existing management measures. General fishery description A complete fishery description section must include information on all fishery's operations in association with FADs. For example, information required to correctly evaluate impacts would include: number of FADs fished upon annually, design and materials of encountered FADs and non-target species caught during FAD sets. FAD management strategy ISSF recommends that the report includes a description of the fishery's FAD management strategy. A comprehensive FAD management plan would comprise data collection and analysis to address FAD impacts on habitat and P2 species, including cumulative effects with other tuna fisheries in the Eastern Pacific Ocean (see comment on cumulative impacts). Such FAD management plan could be informed by, and developed to comply with all best practices identified in, ISSF's Technical Report 2019-11 on Recommended Best Practices for FAD Management in Tropical Tuna Purse Seine Fisheries. Moreover, the fishery's FAD management plan could be further informed by ISSF Technical Report 2018-19A Workshop for the Reduction of the Impact of Fish Aggregating Devices' Structure on the Ecosystem. Please see below elements of FAD management that ISSF considers could be applicable to the PAST fishery, as well as some practical examples the fishery could adopt to implement them. For further examples and recommendations, please see ISSF Technical reports 2019-11 and 2020-11. ISSF recommends that the client fishery develops a public FAD Management Plan in the line of what is required by ISSF Conservation Measure 3.7 Transactions with Vessels or Companies with Vessel-Based FAD Management Policies (entered into force June 2021). (1) Comply with flag state and RFMO reporting requirements for fisheries statistics by set type	https://www.issf-foundation.org/issf-downloads/download-info/issf-2019-11-recommended-best-practices-for-fad-management-in-tropical-tuna-purse-seine-fisheries/ https://www.issf-foundation.org/issf-downloads/download-info/issf-2020-11-recommended-best-practices-for-tropical-tuna-purse-seine-fisheries-in-transition-to-msc-certification-with-an-emphasis-on-fads/ Ref: 'Onandia I, Grande M, Galaz JM, et al (2021) New assessment on accidentally captured silky shark post-release survival in the Indian Ocean tuna purse seine fishery. In: IOTC - 17th Working Party on Ecosystems and Bycatch. IOTC-2021-WPEB17(DP)-13_Rev1, Online	Thank you for the comments. As noted, the object-associated (i.e., FADs, but also including natural items such as logs) has accounted for 2.7% of the PAST fishery catch in the 2017-2021 period, with the remainder being made up of free school (6.8%) and dolphin-associated (90.5%) catches. The PAST fishery does not deploy FADs. Nevertheless, in light of these comments, we will seek more information on the object-associated component of the fishery, and its management, at the site visit. With respect to the bycatch points identified here, we have reported on the approach taken by the fishery to address and minimise mortality,	Accepted (condition on target)

Provision to IATTC of routine FAD fishery statistics (e.g. activity on FADs, etc.) as per IATTC requirements is essential to assess and manage the impacts of FAD fisheries. ISSF suggests that information on FAD fishery statistics as well as information on observer data (100 % coverage) as per IATTC requirements are provided to flag States, IATTC and the Science Provider.

o ISSF encourages incorporating in the FAD management plan actions to reduce and remove entangling FADs from the water, including encountered FADs not owned by the fishery client. Additionally, ISSF has updated CM 3.7 with new requirements for purse seine and supply vessels to participate in FAD recovery programs which will enter into force in 2023. <https://www.iss-foundation.org/vessel-and-company-commitments/conservation-measures-and-auditing/our-conservation-measures/3-bycatch-mitigation/3-7-transactions-with-vessels-or-companies-with-vessel-based-fad-management-policies/>

(2) For silky sharks and elasmobranchs in general (the main bycatch issue in FAD sets) implement further mitigation efforts

ISSF urges the fishery under assessment to adopt of measures to reduce shark bycatch (e.g. developing and implementing a Code of Good Practices for bycatch) and suggests the fishery further develops measures to ensure that silky shark mortality is reduced (e.g. directing more effort to school sets and decrease FAD sets, avoiding small sets or with high bycatch/tuna ratio, releasing sharks from the net when safe and practical, implementing live and safe release of sharks (and rays) from the deck).

ISSF encourages the client fishery to further test and develop shark and rays release techniques from the deck (with a special focus on big individuals) and to identify the tools/tactics used to the safe release of sharks (hoppers, stretchers, release ramps, etc.).

We urge the fishery to place extra effort in reducing post-release mortality rates for all non-retained species, which are ultimately keys elements to determine that the strategy is working and that the fishery does not hinder their rebuilding or recovery of these species. The success of the partial strategy in improving survival rates of accidentally caught non target and ETP species is dependent on well designed and implemented handling and release techniques.

Recent research on silky shark handling and release techniques and post release mortality has been carried out by an MSC certified tuna fishery in the Indian Ocean and similar work could be undertaken by the UoC.

<https://www.iss-foundation.org/issf-downloads/download-info/issf-2019-11-recommended-best-practices-for-fad-management-in-tropical-tuna-purse-seine-fisheries/>

<https://www.iss-foundation.org/issf-downloads/download-info/issf-2020-11-recommended-best-practices-for-tropical-tuna-purse-seine-fisheries-in-transition-to-msc-certification-with-an-emphasis-on-fads/>

including through an extensive bycatch handling training programme, in the ACDR (Sections 6.7.3.1 and 6.7.4.2 in particular). However, we will again review the evidence at the site visit.

Conditions 2-1, 2-12, 2-2, 2-14 (Primary species) At the 3rd surveillance audit the CAB replied to ISSF concerns about the action plan indicating that: “The effectiveness of this approach appears to be clear in the data showing that the percentage of the silky sharks recorded as ‘released alive’ has increased from 50.9% in 2018, to 64.0% in 2019, and then to 76.7% for the latest year”. In absence scientific evidence that this trend results in an increased survival of the released individuals ISSF continues to be concerned about the effectiveness of the action plan to adequately close outcome conditions. We urge the fishery to place extra effort in reducing post-release mortality rates of all non-retained species. Fisher behavior can have a significant impact on ETPs post-release mortality. The success of the partial strategy in improving survival rates of accidentally caught non target and ETP species is dependent on well designed and implemented handling and release techniques. Quantitative estimates of post-release survival rates of sharks reveal handling practices that improve survivorship.	Refs: Onandia I, Grande M, Galaz JM, et al (2021) New assessment on accidentally captured silky shark post-release survival in the Indian Ocean tuna purse seine fishery. In: IOTC - 17th Working Party on Ecosystems and Bycatch. IOTC-2021-WPEB17(DP)-13_Rev1, Online Hutchinson, Melanie. (2015). Post release survival of juvenile silky sharks in a tropical tuna purse seine fishery. Marine Ecology Progress Series. 521. https://www.researchgate.net/publication/272477789_Post_release_survival_of_juvenile_silky_sharks_in_a_tropical_tuna_purse_seine_fishery	Thank you for the comment. As noted above, the fishery has implemented an extensive bycatch handling training programme, and as noted here, the data indicate that there has been a marked improvement in the proportion of the sharks that are 'released alive' since that training programme began. At the site visit we will investigate evidence of the extent to which these data (collected by independent observers) do reflect a real change in the performance of the fishery.	Accepted (condition on target)
Conditions 2-6, 2-7, 2-8, 2-10 and 2-11 ISSF raised its concerns at the last surveillance audit regarding the lack of progress on the above conditions. At the 3rd surveillance audit report the CAB provided the following reply to the ISSF comments: “Conditions 2-10 and 2-11 were assessed this year as behind target, with progress required in the coming year in order for the dolphin-set UoCs (1 and 3) to avoid suspension at the next audit.” We note that the 3rd audit report does not provide any information on the ongoing work to expedite pending actions to bring the client action plan up to date, which indicates there has been no further progress. Taking into account that the fishery has been unable to meet milestones meant to be met 2 years ago, ISSF continues to be deeply concerned about the feasibility that the relevant actions are completed within deadlines, even with the granted extensions and requests that an update on these is provided at the next iteration of assessment reports. Certification should be suspended due to lack of adequate progress against conditions unless evidence of substantial progress is presented as indicated at the 3rd surveillance audit. Also, ISSF requests clarification on whether this suspension would be extended to the reassessment.	None given	Thank you for the comment. Progress against conditions is a key focus for the assessment team at the site visit, and the conditions that are behind target this year are of particular interest. The team will certainly review progress carefully, and will report our findings in the surveillance audit report that will be published following the site visit.	Accepted (condition behind target)

Appendix 3 Revised Surveillance Program

No changes are proposed for the surveillance program at this Year 4 audit.

Appendix 4 Harmonised fishery assessments

No changes to harmonisation have occurred this year. The Eastern Pacific Ocean yellowfin stock overlaps for the following fisheries in the MSC programme:

Table 19. Overlapping fisheries

Fishery name	CAB	Certification status and date	P1 Performance Indicators to harmonise
Northeastern Tropical Pacific Purse Seine yellowfin and skipjack tuna fishery (this fishery)	CU UK	Certified since 7 Sept 2017	All
French Polynesia albacore and yellowfin longline fishery	CU UK	Certified since 19 June 2018	All
AGAC four oceans Integral Purse Seine Tropical Tuna Fishery	Lloyds Register	FDR published 28 October 2021	All
Eastern Pacific Ocean tropical tuna - purse seine (TUNACONS) fishery	SCS	ACDR published 2 October 2020	All

Table 20. Overlapping fisheries

Supporting information	
A harmonisation meeting on EPO YFT scoring was held on the 3rd September 2020 between the following individuals: Carlos Alvarez: Principle 1 assessor, represented CU UK Rob Blyth-Skyrme: Team leader, represented CU UK Hugh Jones: Project manager represented CU UK Mathias Deleau: Project manager represented CU UK Gerard DiNardo: Principle 1 assessor, represented SCS Kevin McLoughlin: Principle 1 assessor, represented Lloyds Register Carola Kirchner: Principle 1 assessor, represented Lloyds Register Jo Akroyd: Team leader, represented Lloyds Register Close communication between this fishery's assessors and Jo Gascoigne and Chrissie Sieben as the team for the CU UK French Polynesia fishery ensured that all views were represented at the meeting. Following discussions, consensus was reached to the extent that no material differences in scoring were identified.	
Was either FCP v2.1 Annex PB1.3.3.4 or PB1.3.4.5 applied when harmonising?	No, see above, consensus was reached following the harmonisation meeting to the extent that no material differences in scoring were identified.
Date of harmonisation meeting	03/09/2020
If applicable, describe the meeting outcome	
Agreement found among teams, there are no scoring differences.	

Appendix 5 Current PAST vessel list

At the time of publishing this Year 3 audit report, the following companies and vessels are certified as part of the PAST fishery. Please note this list has changed since the original certification. To confirm the current list, please contact the CAB.

Table 21. Vessels within the UoC (correct as of December 8th, 2021).

	IATTC Vessel #	Name	Length (M)	Fish Hold Volume (m ³)	Carrying Capacity (t)	Company	Parent Company	Registered Landing Port
1	4084	Maria Delia	56.71	1,118	896	Maratún S.A. de C.V.	Grupomar	Manzanillo, Colima
2	4045	Maria Fernanda	71.01	1,416	1,089	Maratún S.A. de C.V.	Grupomar	Manzanillo, Colima
3	15661	Oaxaca	79.05	1,600	1,143	Maratún S.A. de C.V.	Grupomar	Manzanillo, Colima
4	15578	Gijón	79.05	1,600	1,143	Martuna S.A. de C.V.	Grupomar	Manzanillo, Colima
5	3994	María Luisa	71.01	1,260	1,089	Martuna S.A. de C.V.	Grupomar	Manzanillo, Colima
6	15962	Manzanillo	79.05	1,648	1,177	Maratun S.A. de C.V.	Grupomar	Manzanillo, Colima
7	3328	Mazpesca 2	59.86	1,179	1,089	Mazpesca, S.A. de C.V.	Pesca Azteca	Mazatlan
8	4015	Nair II	68.8	1,161	1,089	Pesca Azteca, S.A. de C.V.	Pesca Azteca	Mazatlán
9	4003	Bonnie	70.1	1,312	1,022	Pesca Azteca, S.A. de C.V.	Pesca Azteca	Mazatlán
10	16113	El Duque	79.5	1,648	1,177	Pesca Azteca, S.A. de C.V.	Pesca Azteca	Mazatlán
11	3958	Azteca 1	59.74	1,147	1,090	Pesca Azteca, S.A. de C.V.	Pesca Azteca	Mazatlan
12	4108	Azteca 10	68.58	1,627	1,246	Pesca Azteca, S.A. de C.V.	Pesca Azteca	Mazatlan
13	4012	Azteca 2	61.26	1,304	1,097	Pesca Azteca, S.A. de C.V.	Pesca Azteca	Mazatlan
14	4090	Azteca 3	63.39	1,520	1,202	Pesca Azteca, S.A. de C.V.	Pesca Azteca	Mazatlan
15	4054	Azteca 4	69.18	1,273	1,080	Pesca Azteca, S.A. de C.V.	Pesca Azteca	Mazatlan
16	4036	Azteca 5	69.49	1,273	1,043	Pesca Azteca, S.A. de C.V.	Pesca Azteca	Mazatlan

	IATTC Vessel #	Name	Length (M)	Fish Hold Volume (m ³)	Carrying Capacity (t)	Company	Parent Company	Registered Landing Port
17	4057	Azteca 6	69.18	1,273	1,089	Pesca Azteca, S.A. de C.V.	Pesca Azteca	Mazatlan
18	3904	Azteca 7	63.39	1,520	1,202	Pesca Azteca, S.A. de C.V.	Pesca Azteca	Mazatlan
19	3988	Azteca 8	60.96	1,358	1,089	Pesca Azteca, S.A. de C.V.	Pesca Azteca	Mazatlan
20	3916	Azteca 9	55.16	806	680	Pesca Azteca, S.A. de C.V.	Pesca Azteca	Mazatlan
21	15641	Camila	79.05	1,648	1,177	Pesca Azteca, S.A. de C.V.	Pesca Azteca	Mazatlan
22	4096	Clipperton	71.01	1,480	1,134	Pesca Azteca, S.A. de C.V.	Pesca Azteca	Mazatlan
23	3577	El Dorado	72.66	1,711	1,542	Pesca Azteca, S.A. de C.V.	Pesca Azteca	Mazatlan
24	12297	Franz	78.33	1,669	1,150	Pesca Azteca, S.A. de C.V.	Pesca Azteca	Mazatlan
25	12355	Hanna	78.33	1,669	1,150	Pesca Azteca, S.A. de C.V.	Pesca Azteca	Mazatlan
26	3928	Mazatun	71.01	1,480	1,134	Pesca Azteca, S.A. de C.V.	Pesca Azteca	Mazatlan
27	15666	Paco C.	79.5	1,648	1,177	Pesca Azteca, S.A. de C.V.	Pesca Azteca	Mazatlan
28	15600	Tamara	79.5	1,648	1,177	Pesca Azteca, S.A. de C.V.	Pesca Azteca	Mazatlan
29	15833	Doña Tere (renamed from 'Titís' as of 20 th Dec. 2019)	79.5	1,648	1,177	Pesca Azteca S.A. de C.V.	Pesca Azteca	Mazatlan
30	3982	Jaguar	50.35	1,062	680	Pesca Chiapas S.A. de C.V.	Procesa Chiapas	Puerto Madero
31	3922	Victoria	60.96	1,160	906	Pesca Chiapas S.A. de C.V.	Procesa Chiapas	Puerto Madero
32	3370	Conquista	59.3	1145	1090	Hersea, S.A. de C.V.	Procesa Chiapas	Puerto Madero
33	4018	Nair	71.93	1398	1199	Hersea, S.A. de C.V.	Procesa Chiapas	Puerto Madero
34	4027	Arkos I Chiapas	79.55	1348	1270	Hersea, S.A. de C.V.	Procesa Chiapas	Puerto Madero