

FIP HANDBOOK

Guidelines for Developing Fishery Improvement Projects



WWF Oceans Program
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Executive Summary

To help fisheries that want to improve their sustainability and seafood buyers that want more sustainable sourcing, World Wildlife Fund (WWF) engages in Fishery Improvement Projects (FIPs).

The ultimate goal of a FIP is to create measurable change and ensure the long-term sustainability of a fishery.

A Three-Step Approach to Sustainability

WWF uses a three-step process to identify sustainability issues in a fishery, implement improvements, and report on results:

- **STEP 1: Scoping**
- **STEP 2: FIP Action Plan Development**
- **STEP 3: Implementation and Tracking Progress**

The *FIP Handbook* details the approach to FIPs developed by WWF in global collaboration with fisheries, governments, academics, private sector partners, consultants, and non-governmental organizations (NGOs).

In the following pages, we present a set of guidelines and a FIP Toolkit to help simplify the approach to establishing FIPs and improving sustainability.

Join the FIP Action

WWF's goal in sharing the *FIP Handbook* is to help fishery stakeholders develop and implement comprehensive FIPs on their own in order to improve the sustainability of fisheries worldwide.

We hope this handbook will help you join these efforts and develop, implement, or participate in a successful FIP.

Let's get started.

Driving Improvements in Fisheries

As seafood businesses around the world publicly commit to sustainable sourcing, more fisheries are striving to meet the Marine Stewardship Council (MSC) environmental standard for sustainable fishing. While many fisheries are working hard to improve their sustainability, for some, significant work is needed before the requirements for MSC certification can be met.

To help fisheries that want to improve their sustainability and seafood buyers that want more sustainable sourcing, WWF engages in Fishery Improvement Projects (FIPs). Fishery Improvement Projects help fisheries increase their sustainability so they can receive the benefits of meeting the MSC standard.



WWF's goal in developing a FIP Handbook is to help fishery stakeholders develop and implement comprehensive FIPs on their own in order to improve the sustainability of fisheries worldwide.

The FIP Advantage

When fisheries become MSC certified, they experience benefits such as

- access to a global marketplace of sustainable products and secures contracts with existing companies that are committed to sourcing MSC certified products
- helping to ensure that fishing-related livelihoods thrive into the future
- improved confidence from seafood buyers and consumers that fish comes from a well-managed and sustainable source that has been verified by an independent third party
- enhanced reputation by meeting a globally recognized, rigorous and comprehensive sustainability standard

About the FIP Handbook

Here we present a set of guidelines and tools to help simplify the approach to establishing FIPs and improving sustainability. This handbook details the approach to FIPs developed by WWF in global collaboration with

- fisheries
- governments
- academics
- private sector partners
- consultants
- NGOs, including our WWF colleagues around the globe

This approach is consistent with the guidelines for FIPs agreed on by the Conservation Alliance for Seafood Solutions, which comprises 18 leading conservation organizations from the U.S. and Canada that wish to pursue a common vision for environmentally sustainable seafood.

Marine Stewardship Council



The Marine Stewardship Council (MSC) is the world's leading certification and ecolabeling program for wild-caught, sustainable seafood. Through its fishery certification program and seafood ecolabel, the MSC seeks to recognize and reward sustainable fishing and to harness consumer and retailer purchasing power to promote environmentally responsible practices.

Together, fisheries already MSC certified or in full assessment represent over 11 percent of the annual global harvest of wild capture fisheries. Worldwide, more than 20,000 seafood products bear the blue MSC ecolabel.

MSC certification confirms that seafood products come from well-managed, sustainable fisheries. The MSC environmental standard for sustainable fishing has three overarching principles, measured by 28 detailed performance indicators.

PRINCIPLE 1: Sustainable fish stocks

The fishery must operate so that fishing can continue indefinitely and is not overexploiting the resource.

PRINCIPLE 2: Minimal environmental impact

Fishing operations should be managed to maintain the structure, productivity, function, and diversity of the ecosystem on which the fishery depends.

PRINCIPLE 3: Effective management

The fishery must meet all local, national, and international laws and must have a management system in place to respond to changing circumstances and maintain sustainability.

For more information, please visit www.msc.org

What Is a Fishery Improvement Project?

A FIP brings together multiple fishery stakeholders—including artisanal and/or industrial fishers, the private sector, fishery managers/authorities, researchers, and NGOs—who will collaborate to improve fishing practices and management, so a fishery can ultimately achieve MSC certification.

The ultimate goal of a FIP is to create measurable change to meet the MSC standard and to ensure the long-term sustainability of a fishery.

Moving Toward Sustainability

For fisheries that do not yet meet the MSC standard, a FIP offers a stepwise approach to achieving more sustainable practices. FIPs are typically multi-year projects that increase levels of sustainability until the fishery meets the MSC standard.

Along the way, FIPs can be a useful tool for bringing stakeholders together to

- improve overall fishing practices
- enhance the way a fishery is managed
- strengthen knowledge about a fishery
- establish critical partnerships
- generate community support
- inspire change in other fisheries in the region

Anyone interested in helping a fishery improve its management and meet the internationally recognized sustainability standard of the MSC can initiate and implement a FIP by following the steps outlined in this handbook.

Ensuring Market Access

FIPs leverage the influence of the private sector to create incentives for positive changes in a fishery. In addition to improving fishing practices, engaging in a FIP may ensure access to key markets, including buyers who are committed to sustainable sourcing.





FIP CASE STUDY

Bahamas Spiny Lobster



BACKGROUND

The Bahamian lobster fishery occurs over 45,000 square miles of the Great Bahama Bank and Little Bahama Bank. These relatively shallow and productive waters provide a valuable lobster fishery to more than 9,000 part- and full-time fishers who target lobster during the fishing season (August 1 - March 31) using wooden traps and casitas.

SPECIES: *Panulirus argus*

SCOPE: Entire Bahamian fishery

PARTNERS: WWF, Department of Marine Resources (DMR), Bahamas Marine Exporters Association, The Nature Conservancy, local NGOs

In 2011, landings reached 6.25 million pounds (tail weight) valued at \$66.3 million, with approximately 90% of all lobster caught exported overseas, mainly to the U.S. and France.

Measuring sustainability against the Marine Stewardship Council standard

In 2009, the Bahamian lobster fishery completed an MSC pre-assessment that compared the current status of the fishery against the MSC standard. The pre-assessment provided an important benchmark to help monitor and evaluate future management strategies and identified important issues that must be addressed before the Bahamian lobster fishery can proceed to an MSC full assessment.

A FIP is being implemented to address the issues raised in the pre-assessment, so that the fishery will perform at a level consistent with the MSC standard.

To help maintain the long-term sustainability of the fishery, the Bahamas Marine Exporters Association (BMEA), the Department of Marine Resources (DMR), The Nature Conservancy (TNC), Friends of the Environment (FRIENDS), The Bahamas National Trust (BNT), the Bahamas Reef Environment Educational Foundation (BREEF), and WWF are working in partnership with lobster fishers to encourage more responsible fishing practices.

Through the implementation of a FIP, these collaborators are working to move the fishery in a step-wise approach towards MSC certification.

Room for improvement

The pre-assessment against the MSC standard indicated that key areas in the Bahamian spiny lobster fishery needed to be improved, including:

- monitoring and enforcement to prevent illegal, unregulated, and unreported (IUU) fishing
- implementation of harvest control rules to manage fishing effort so that lobsters are not overfished

Steps toward progress

To date, FIP activities that have been completed include

- an improved data collection system in collaboration with local processors and the Bahamas Department of Marine Resources, which will facilitate the ease of updating the annual stock assessment
- formation of the Bahamas Spiny Lobster Working Group, a multi-stakeholder group that advises the government on lobster management issues including the establishment of a harvest control rule, a Code of Practice at Sea for fishers, development of fishery management and research plans, and improving compliance
- development and implementation of a communications plan to evaluate the success of FIP activities including outreach to fishers, chefs, and lobster buyers on existing fishing regulations
- implementation of bycatch studies to determine the level of bycatch in the lobster trap fishery
- completion of stock assessments in 2011, 2012, and 2014.

Next steps

FIP review meetings continue to be held annually with fishery stakeholders to assess the progress of the fishery against the MSC standard. Activities to address deficiencies in the fishery are being guided by the FIP Action Plan and implemented in collaboration with local stakeholders. The fishery anticipates entering MSC full assessment in 2015.

For more information and updates on progress, please visit the FIP website: <https://sites.google.com/site/fisheryimprovementprojects/home/bahamas-lobster>.

FIP Characteristics

In our experience, the following characteristics can help ensure that a FIP is efficient and effective:

- Draw upon market forces—including suppliers, retailers, food service, and the fishing industry—to motivate fishery improvements.
- Include active participation by supply chain companies—specifically local processors and exporters.
- Communicate with stakeholders, at the beginning of the FIP, about the need for transparency, and clarify what will be shared publically (e.g., pre-assessments). Consider holding one-on-one meetings with government agencies, fishers, and industry stakeholders separately to discuss the pre-assessment results and the sensitivity of the information.
- Have a scoping document completed by a third-party consultant who is experienced with assessing fisheries against the MSC standard (see Step 1: Scoping, page 23, for more information about scoping documents and hiring a consultant).
- Develop a FIP Action Plan to address deficiencies in the fishery to achieve a level of sustainability consistent with the MSC standard (refer to Step 2: FIP Action Plan Development, page 26, for information about creating a FIP Action Plan, and turn to Appendix VI on page 59 for a FIP Action Plan template).
- Ensure the FIP Action Plan includes measurable performance indicators and an associated budget and is made publicly available (refer to the FIP Action Plan section, page 26, for examples of performance indicators and for information about budgeting).
- Ensure that the FIP Action Plan includes activities to develop a traceability system for verifying that fish identified as coming from the FIP are in fact part of the FIP. This traceability system should be in alignment with the MSC Chain of Custody certification standard for seafood traceability (www.msc.org/about-us/standards/standards/chain-of-custody).
- Gain explicit agreement from FIP participants to make investments in improvements—for example, a signed Memorandum of Understanding (see Appendix X on page 79) or email correspondence stating a commitment.
- Create a system to track progress against the indicators in the FIP Action Plan (see Tracking and Reporting on Progress, page 30, for recommendations).
- Create a formal process for terminating participation in or support for the FIP if adequate process is not being made.

FIP Stakeholders

Developing a FIP is an inclusive process designed to ensure that stakeholders are an integral part of the project from start to finish. Participants will vary depending on the nature of the fishery and the improvement project, but a FIP often includes stakeholders such as

- producers
- other members of the fishery's supply chain
- fishery managers/authorities
- government officials
- academics
- environmental NGOs

Ideally, a diverse group of stakeholders should be brought into the process so that all fishery sectors are represented and can provide as much information about the fishery as possible during the development and implementation of a FIP.

Involving multiple stakeholders with varying perspectives and backgrounds will ensure that the FIP activities are appropriate for the socio-political context of the fishery. For example, the involvement of both fishers and fishery managers can help ensure that any changes to fishing practices suggested during the course of the project will be supported by both parties and can be implemented successfully.



FIP CASE STUDY

Peru Mahi Mahi



BACKGROUND

The Peruvian Mahi Mahi fishery extends along the entire Pacific coast of Peru and more than 200 nautical miles offshore. The fishery constitutes one of the most important artisanal fishing activities in the country, with up to 2,100 artisanal vessels operating during the fishing season, using pelagic longlines as their main gear type. Peru is the number one producer of Mahi Mahi in the Eastern Pacific Ocean. Between 2008 and 2012, landings averaged 52,000 mt. Exports of Mahi Mahi are estimated to vary between 20-30% of total landings, with approximately 74% of exports of frozen fillets going to the United States.

SPECIES: *Coryphaena hippurus*

SCOPE: Entire Peruvian fishery

PARTNERS: Some of the stakeholders in this FIP include: WWF, the Ministry of Production (PRODUCE), the Peruvian Institute of the Sea (IMARPE), the Integration and Unification of Peruvian Artisanal Fishers Federation (FIUPAP), ADEX (Peruvian Exporters Association), and the Artisanal Vessel Owners Association for Direct Human Consumption Paita (AAARCUDIPA). WWF and IMARPE have signed an MOU to work together to advance sustainable fisheries in Peru, including the Mahi Mahi fishery.

Measuring sustainability against the Marine Stewardship Council standard

The Peru Mahi Mahi FIP process began with the completion of a Marine Stewardship Council (MSC) pre-assessment in December 2012. In March 2013, WWF in coordination with PROMPERU (the Peruvian Commission to Promote Exports and Tourism), held a FIP stakeholder meeting in Lima, Peru to develop a FIP Action Plan, which describes the necessary FIP activities, with associated responsible parties and timeframes, required to meet the MSC standard. After an extensive stakeholder consultation process to gather feedback from fishers, government representatives, suppliers, and NGOs on the draft Action Plan, the Peru Mahi Mahi FIP Action Plan was finalized in November 2013, and implementation of the FIP began.

Room for improvement

The pre-assessment against the MSC standard indicated that key areas in the Peruvian Mahi Mahi fishery needed to be improved including:

- uncertainty regarding the health of the Mahi Mahi stock
- lack of an effective management strategy at the national level and lack of an international management system for the Mahi Mahi fishery, which is important, given the highly migratory nature of Mahi Mahi

Steps toward progress

To date, key accomplishments that have been achieved include:

- the establishment in 2014 of an annual closed season for Mahi Mahi from May to September to protect juveniles

- the development of a catch logbook by WWF and IMARPE to record target catch and bycatch that has been distributed to 100 fishermen in three (Paita, Pucusana, & Ilo) of the main Mahi Mahi fishing ports across northern, central, and southern Peru
- the creation of the National Technical Working Group on Mahi Mahi in August 2014 to work towards implementing Peru Mahi Mahi FIP activities
- the first bi-national Mahi Mahi workshop between Peru's and Ecuador's scientific research agencies held in September 2014 to collaborate on data sharing and development of a stock assessment for Mahi Mahi
- the first international scientific workshop on Mahi Mahi held in October 2014 and led by the Inter-American Tropical Tuna Commission (IATTC), which brought together countries across the Eastern Pacific Ocean to develop a regional stock assessment and discuss strategies for joint management of Mahi Mahi

Next steps

Peru will host the second International scientific mahi mahi workshop with the IATTC in October 2015 in Lima, Peru. In addition, FIP review meetings will be held annually with fishery stakeholders to review the progress that the fishery has made against the MSC standard, and identify next steps and high priority activities within the FIP. The fishery is anticipated to enter MSC full assessment by December 2017.

For more information and updates on progress, please visit the FIP website: <https://sites.google.com/site/fisheryimprovementprojects/home/peru-mahi-mahi-fip>.










Roles and Responsibilities

For a FIP to be successful, it is important to engage a wide variety of stakeholders in the FIP at an early stage and throughout the entire FIP process—and to clarify their roles and responsibilities.

It is helpful if the main parties involved in the FIP sign a Memorandum of Understanding (MOU) that defines the specific roles and responsibilities of each entity, so that expectations are clear from the outset about the role that each group plays (refer to Appendix X page 79 for a sample MOU).

Although it is recommended that parties formalize their partnership in this way, it is not absolutely necessary.

Below is a description of roles and responsibilities of some of the key players that might be involved in a FIP. These roles and responsibilities will vary for each FIP, depending on its unique circumstances.

FIP Roles and Responsibilities	
<p> FIP COORDINATOR</p> <ul style="list-style-type: none"> • Serves as local manager • Builds partnerships • Provides local coordination and management • Works with fishery stakeholders • Tracks FIP progress • Creates templates to identify secured funding, fill financial gaps, and track ongoing expenses • Seeks sources of funding to contribute to implementation <p> FIP FACILITATOR</p> <ul style="list-style-type: none"> • Collaborates with the FIP coordinator and FIP stakeholders to develop the FIP • Helps ensure that market connections are leveraged • Helps with fundraising • Works with the FIP coordinator and FIP consultant on implementation of FIP activities • Collaborates with the FIP coordinator to ensure that FIP progress is tracked and monitored on a quarterly basis • Communicates publicly about FIP progress 	<p> FIP CONSULTANT</p> <ul style="list-style-type: none"> • Provides third-party expertise • Leverages knowledge of MSC • Develops scoping document and FIP Action Plan • Monitors and provides progress review <p> PRIVATE SECTOR</p> <ul style="list-style-type: none"> • Contributes to FIP Action Plan • Provides support and resources • Participates in FIP implementation <p> FISHERS</p> <ul style="list-style-type: none"> • Share knowledge of fishery • Participate in meetings • Implement specific FIP activities <p> NGOS, EXPERTS, RESEARCHERS</p> <ul style="list-style-type: none"> • Implement specific FIP activities • Conduct research activities • Provide support and resources <p> FISHERY MANAGERS/AUTHORITIES</p> <ul style="list-style-type: none"> • Provide oversight of certain improvements • Support FIP process • Provide resources • Participate in FIP meetings • Implement specific FIP activities

➔ FIP COORDINATOR

The FIP coordinator serves as the local, day-to-day manager of the improvement project. The FIP coordinator can come from within the fishery industry, environmental NGO, or other stakeholder group. The FIP coordinator should be based in the region where the fishery occurs.

General project activities that the FIP coordinator is responsible for include

- **partnership building**—obtaining commitments from fishing industries and government agencies
- **coordinating and planning**—holding FIP stakeholder meetings to develop the FIP Action Plan, the FIP annual review meetings, and other meetings as necessary
- **fundraising**—seek funding contributions from project partners
- **working with fishery stakeholders**—ensuring progress of FIP implementation

FIP coordinators should engage in regular communications with FIP stakeholders, including monthly check-ins to inquire about progress and challenges. It is also important for

The effectiveness of the FIP coordinator is one of the most important factors contributing to the overall success of the FIP.

FIP coordinators to develop a strategy for informing stakeholders of changes that need to be made—for example to FIP activities or to timelines. Understanding changes is important for stakeholders, especially when there are delays (such as with government research) that may affect their ability to implement activities.

The effectiveness of the FIP coordinator is one of the most important factors contributing to the overall success of the FIP. It is recommended that the FIP coordinator create a succession plan to prevent loss of institutional knowledge.

For a detailed description of the activities performed by FIP coordinators at numerous FIPs developed in collaboration with WWF, please refer to Appendix IX on page 76.





➔ FIP FACILITATOR

The role of the FIP facilitator is to guide the strategic planning and execution of the FIP and to ensure the project stays on track and delivers the desired results. For WWF projects, we typically serve as the FIP facilitator.

The FIP facilitator does not need to be based in the local region where the fishery occurs. The general responsibilities for the FIP facilitator include

- **coordination and management of the FIP**—the FIP facilitator collaborates with the FIP coordinator and FIP stakeholders to develop and implement the FIP.
- **fundraising**—FIPs can last for a few years and be costly over the lifetime of the project. It is, therefore, essential that fundraising occur throughout the life of the FIP to help support
 - implementation of FIP Action Plan activities
 - hiring of a consultant with expertise about the MSC certification requirements to conduct the pre-assessment, develop the scoping document and FIP Action Plan, and monitor and review the progress of the FIP throughout the life of the project
- **tracking progress**—the FIP facilitator collaborates with the FIP coordinator to ensure FIP progress is tracked and monitored according to the process described here.

FIP CONSULTANT

The role of the third-party consultant is to apply deep knowledge of and experience with assessing fisheries against the MSC standard for sustainable fishing.

As an entity that is experienced with assessing fisheries against the MSC standard, the consultant plays a key role in ensuring that the work completed as part of the FIP Action Plan is robust enough for the fishery to meet the MSC standard. The consultant also provides guidance as to how existing deficiencies can be addressed.

Scoping and FIP Action Plan development

The responsibilities of the consultant during the scoping and FIP Action Plan development phase of the FIP can include

- completing the FIP scoping document for the fishery (written in clear language that is not too technical)
- preparing presentations and reviewing the pre-assessment report and the FIP scoping document in preparation for the FIP stakeholder meeting
- facilitating the FIP stakeholder meeting and leading the discussion regarding the activities that should be addressed as part of the FIP
- following the FIP stakeholder meeting, revising the list of activities (drafted at the stakeholder meeting) and using the FIP work plan matrix template to link each activity to the relevant medium and high priority indicators within the pre-assessment (Appendix V page 57)

- in addition to the work plan matrix, drafting a FIP Action Plan using the template (Appendix VI page 59), which includes a written description of each activity and rationale for completing these specific activities

Monitoring and progress review

Once the FIP Action Plan has been finalized and FIP implementation has begun, the consultant is responsible for the following activities related to ensuring that FIP activities are sufficient to help the fishery meet the MSC standard:

- assisting in drafting terms of reference for FIP activities and reviewing terms or proposals that have been drafted by other organizations or individuals
- assisting in the review of FIP deliverables and outputs
- facilitating annual FIP review meetings to assess the progress of the fishery against the MSC standard
- based on the results of the FIP review meeting, developing a revised FIP Action Plan and work plan matrix
- preparing a report that includes reviews of proposals and outputs as requested by the FIP facilitator, a summary of the FIP review meeting, and a description of the relevant FIP outputs and the readiness of the fishery for MSC certification (that is, identifying progress in the fishery at the MSC performance indicator level)





➔ PRIVATE SECTOR

Many FIPs are driven by market demand for products that are MSC certified or sourced from fisheries engaged in FIPs. That market demand for more sustainable sourcing makes the private sector (retailers, food service providers, suppliers, and exporters) a key stakeholder in a FIP—with much to be gained by contributing to the efforts to expand available sources of sustainable seafood.

FIP PARTICIPANT

A FIP participant should be involved in the development of the FIP Action Plan, and is actively involved in carrying out parts of the FIP Action Plan. Public statements (for example, press releases, website updates, newspaper editorials, and letters) provide evidence that a participant is actively involved in a FIP. Activities a FIP participant might undertake include

- participating in FIP meetings and communicating support for the improvement efforts

- signing letters to government representatives that encourage their involvement in a FIP or that request certain actions to advance the FIP
- providing financial resources or in-kind contributions (for example, staff support) for the implementation of the FIP
- encouraging on-the-water changes (in fishing practices, gear types, etc.) by communicating necessary improvement actions to the fishers from which they buy

FIP OBSERVER

If there are already adequate participants in a FIP of interest, industry should monitor progress as a FIP observer. If a FIP is not meeting improvement milestones, then an observer would be required to

- publicly encourage participants to get the FIP back on track
- become a participant and help get the FIP back on track



➔ FISHERS

Fishers are essential stakeholders in a FIP, as they are directly affected by any changes implemented to the fishery as result of the FIP and, therefore, should be involved in the development of the FIP from the beginning.

Fishers have a vast amount of knowledge about the fishery that is useful when preparing and implementing a FIP Action Plan. Fishers can play a key role by participating in FIP-related meetings and implementing specific FIP activities when relevant (for example, gear changes, bringing observers on board their boats, etc.).

➔ NGOS, SCIENTIFIC EXPERTS, AND RESEARCHERS

The role of environmental NGOs, scientific experts, and researchers in a FIP can vary, but is usually related to implementation of FIP activities. NGOs, scientific experts, and researchers help conduct research activities and collect relevant data as identified in the FIP Action Plan and, in some cases, these entities might be able to help provide financial support for the FIP.

➔ FISHERY MANAGERS/AUTHORITIES

In many cases, a FIP may require significant changes related to the management of a fishery that require government involvement and oversight.

Government representatives play a key role by allowing staff to dedicate time to supporting the FIP, providing financial resources, participating in FIP-related meetings, and implementing specific FIP activities.

In order to institutionalize FIP work, it is helpful to build relationships with government staff (especially technical staff) that typically experience less turnover. Government administrators can change at various points throughout the FIP, requiring the FIP coordinator to re-engage with the new high-level government representatives to ensure that they understand and are supportive of the FIP. Consider asking the government to appoint a technical staff person to be involved in the FIP over the long term.

FIP CASE STUDY

Vietnam Yellowfin Tuna



BACKGROUND

Yellowfin tuna is a tropical to sub-tropical species found in the Pacific, Atlantic, and Indian Oceans. In Vietnam, the handline and longline fishery consists of approximately 2,000 vessels operating mainly out of the provinces of Binh Dinh, Phu Yen, and Khanh Hoa harvesting tuna in the South China Sea within the territorial waters of Vietnam. Tuna products are the most economically important marine capture product in Vietnam. The fishery produces approximately 14,000 metric tons in annual landings and exclusively feeds into export markets in the European Union, United States, Japan, Canada, and Australia.

SPECIES: *Thunnus albacares*

SCOPE: Longline and handline vessels within territorial waters fishing in the South China Sea, western and central Pacific Ocean

PARTNERS: WWF, the Vietnam Tuna Association (VinaTuna), the Ministry of Agriculture and Rural Development (MARD), the Department of Agriculture and Rural Development (DARD), the Department of Capture Fisheries and Resource Protection (DECAFIREP), the Research Institute of Marine Fisheries (RIMF), the Vietnam Association of Seafood Exporters and Producers (VASEP), and international exporters, local processors, and fishers.

Measuring sustainability against the Marine Stewardship Council standard

Since 2013, WWF Vietnam and WWF Coral Triangle facilitated the completion of a Marine Stewardship Council (MSC) pre-assessment for the handline and longline tuna fishery. In January 2014, the FIP stakeholders finalized the FIP Action Plan, which addresses the deficiencies identified in the MSC pre-assessment.

The Vietnam yellowfin tuna FIP formally launched in April 2014, finalized the FIP Action Plan, with the commencement of on-the-water activities.

The FIP stakeholders continue to work on priority issues identified in the FIP Action Plan while annually auditing progress and tracking progress made by the fishery against the MSC standard. The goal of the Vietnam yellowfin tuna FIP is to enter into MSC assessment in 2018.

Room for improvement

The pre-assessment against the MSC standard indicated that the Vietnamese yellowfin tuna fishery needs to improve in key areas, including

- creation of a robust harvest strategy
- lack of harvest control rules and tools
- lack of data on species interactions with the fishery – including sharks
- implementation of sufficient bycatch mitigation measures
- enhanced understanding of impacts of the fishery on the ecosystem
- lack of stakeholder involvement in the decision-making process

Steps toward progress

Some of the key activities accomplished thus far in the FIP include

- completing a series of capacity building and training sessions for the at-sea Observer Program, including the initial deployment of observers on 10 vessels

- the signing of FIP Partner Agreements with several international exporters that outline specific commitments from industry to support the FIP Action Plan
- collaborating with several FIP partners working within fishing communities in Phu Yen and Binh Dinh provinces to promote logbook improvements, portside monitoring efforts, and overall FIP awareness raising
- agreement on the objectives and minimum requirements of a FIP traceability system
- outlining of activities to achieve the drafting of a National Plan of Action (NPOA) for sharks and revising the sea turtle NPOA

Next steps

A number of FIP activities still need to be implemented in order for the fishery to meet the MSC standard, including

- setting catch and/or effort limits for bigeye and yellowfin tuna consistent with RFMO measures
- implementing shark and sea turtle conservation and management measures
- establishing and revising the shark and sea turtle NPOA, respectively
- initiating fisher awareness programs related to shark and sea turtle management interventions
- implementing the FIP traceability systems
- completing a FIP sustainable financing plan
- establishing a national tuna advisory committee under VinaTuna

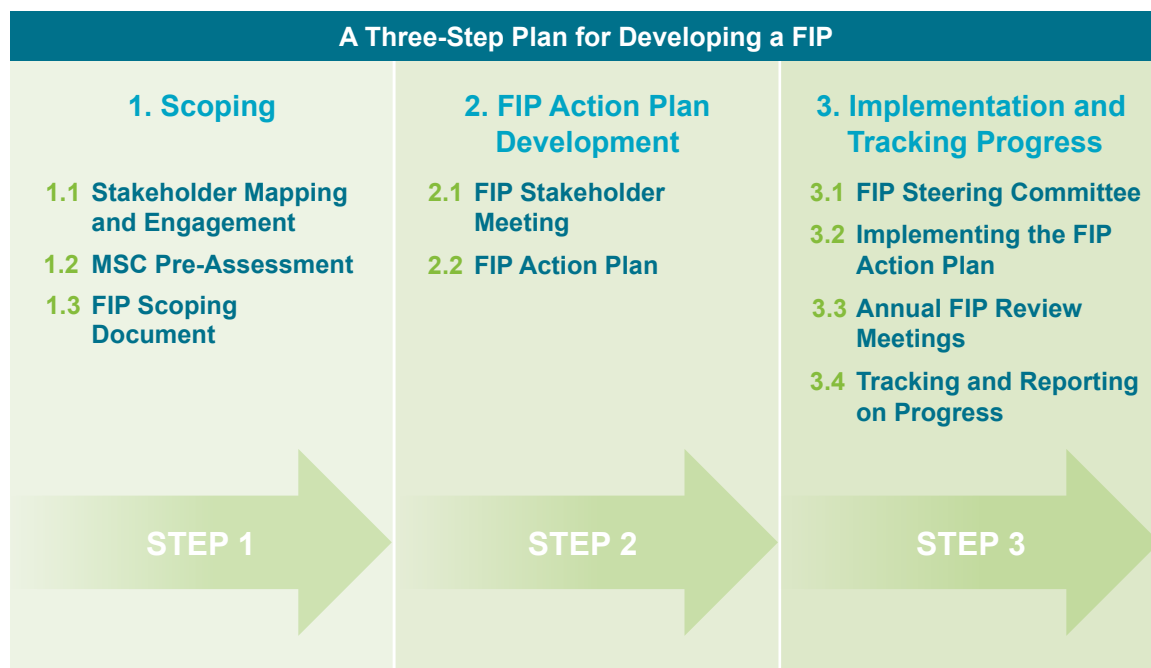
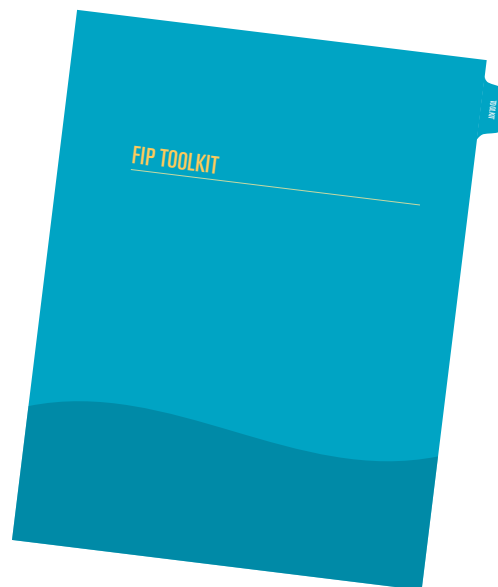
A THREE-STEP PLAN for Developing a FIP

WWF uses a three-step process to identify sustainability issues in a fishery, implement improvements, and report on results:

- **STEP 1: Scoping**
- **STEP 2: FIP Action Plan Development**
- **STEP 3: Implementation and Tracking Progress**

This handbook includes a toolkit with various examples and templates that will guide stakeholders through the FIP process. It is important to note that every FIP is different, and the information here is intended to provide guidance and a framework for stakeholders to develop and implement FIPs that address their unique situations.

Throughout the FIP development process, it is important to translate materials into the local language used by stakeholders and to adapt the materials to local situations. This will increase understanding and support of the FIP.



STEP 1: Scoping

During the scoping phase, stakeholders come together to assess the fishery's performance against the MSC standard, identify potential areas of concern, and document problems to be resolved.

The scoping phase includes the following critical milestones:

1.1 Stakeholder Mapping and Engagement

Stakeholder mapping is the essential first step of FIP development. The stakeholder mapping process identifies key players who can contribute to the project's success and highlights areas of interest and influence. Stakeholder mapping can be performed by a consultant or by the FIP team. Parties who will play an essential role in making improvements in the fishery include government representatives, industry (fishers, processors, exporters, etc.), environmental NGOs, and the scientific community.

It is important to conduct a thorough and comprehensive stakeholder mapping and engagement process during the early stages of the FIP to ensure that all parties who are willing to be involved in the process and are knowledgeable about the fishery are able to participate and provide valuable feedback.

By reaching out to identified stakeholders at the outset, informing them about the FIP, and inviting their participation in subsequent stages, you help ensure the development of a robust FIP that has the support needed from all key parties to ensure its success. It will be necessary to periodically revisit stakeholder mapping to take into account new parties that could contribute to the projects success.

Funding Plan. The FIP process should be initiated with a clear long-term funding plan in place. This long-term funding plan should include a description of how to finance FIPs—from MSC pre-assessment to FIP implementation to MSC full assessment. Funding needs should be communicated to stakeholders early in the process, and stakeholders should commit to cover some initial costs, such as the pre-assessment. This will help establish ownership among partners at the onset of the FIP. The FIP coordinators and FIP facilitators should identify ways to obtain long-term funding from FIP stakeholders.

Supply Chain Analysis. Once stakeholder mapping has been completed, reach out to stakeholders to determine their interest in conducting a supply chain analysis. Understanding the supply chain system—from fisher to consumer—can help identify areas of impact for FIP activities. It may be necessary to hire an external consultant to conduct this analysis.

1.2 MSC Pre-Assessment

Completing an MSC pre-assessment is one of the preliminary steps in the FIP process. The pre-assessment is a confidential report prepared by an independent certifier to assess where the fishery stands in regards to meeting the MSC standard (see detailed information on MSC Scoring below). This initial report tells the fishery if it is ready to enter MSC full assessment and might provide guidance for how to get ready for full assessment. The pre-assessment process is less intensive than the seven step public, detailed process of full assessment. For more information about the full assessment process for MSC certification, visit <http://www.msc.org/get-certified/fisheries/assessment-process/assessment/assessment/?searchterm=full%20assessment>.

This assessment must be completed or audited by a third-party consultant accredited by Accreditation Services International to assess fisheries against the MSC standard for sustainable fishing.

A complete list of accredited Conformity Assessment Bodies can be found at www.msc.org/get-certified/find-a-certifier.

The pre-assessment should be made public so that stakeholders can openly discuss the findings, and it is important that the fishery agree to this disclosure beforehand.

Following completion of the pre-assessment, consider conducting a cost-benefit analysis of developing a FIP and the fishery becoming certified to the MSC standard versus not. The analysis should be conducted by a third-party consultant, involve stakeholders, and if possible, include socioeconomic data to show the position of the fishery in the local economy. The analysis can be used as a tool to engage the private sector, fishers, and government officials in the FIP by describing the economic benefits of developing a FIP that will result in the fishery meeting the MSC standard.

MSC Scoring

The MSC has three principles that contain a total of 28 performance indicators. Each indicator has three scoring guideposts: 60, 80, or 100.

The goal of a FIP is for a fishery to perform at a level consistent with the MSC standard

In order for a fishery to meet the MSC standard, it must score at least 60 on each performance indicator, but achieve an average score of 80 for each principle. This means that while a fishery must score 80 or above for most indicators, some scores are allowed to fall between 60-80.

Fisheries that score between 60-80 on any performance indicator must meet conditions of certification designed to improve the score to 80 or above over the five-year certificate period. Nearly all MSC certified fisheries have passed with conditions.

The ultimate goal of a FIP is to have the fishery performing at a level consistent with the MSC standard.



The goal of the scoping document is not to provide a concrete list of activities that the fishery needs to do, but rather provide suggestions regarding strategies to meet the MSC standard.

1.3 FIP Scoping Document

The scoping document reviews the pre-assessment's analysis of each MSC performance indicator and determines the priority of issues to be addressed:

- High-Priority Indicators (a score less than 60 = would fail MSC)
- Medium-Priority Indicators (a score of 60-80 = likely to pass MSC with conditions)
- Low-Priority Indicators (80-100 = pass MSC)

For each indicator that will not likely earn a passing score under MSC, the scoping document includes potential strategies for what the fishery might do to meet the MSC standard.

A third-party consultant experienced with assessing fisheries against the MSC standard

must complete the FIP scoping document. Working with a consultant who is familiar with the MSC process ensures that the strategies developed will help the fishery meet the MSC standard.

The consultant should ensure that the pre-assessment results and the potential activities that the fishery might implement to meet the MSC standard are written in clear language that is not too technical.

The scoping document should be reviewed by the FIP coordinator (see the Roles and Responsibilities section on page 13) and then shared with fishery stakeholders (after being translated into the appropriate local language).

STEP 2: FIP Action Plan Development

Developing the FIP Action Plan is a key step in the FIP process. The FIP Action Plan lists the activities that will help the fishery meet the deficiencies identified in the MSC pre-assessment and prioritizes activities identified in the FIP scoping document. The FIP Action Plan phase includes the following critical milestones:

2.1 FIP Stakeholder Meeting

Once the FIP scoping document has been shared with fishery stakeholders, it is recommended that a series of small, preliminary stakeholder meetings be held to ensure that the scoping document is accurate, and to validate stakeholder understanding, current activities, and commitments.

After input from these meetings has been considered and addressed, a formal FIP stakeholder meeting should be organized to begin developing the FIP Action Plan.

Attendees at the meeting should include all relevant stakeholders who will play an essential role in making the fishery improvements. These stakeholders can include representatives from

- government
- industry (fishers, processors, exporters, etc.)
- environmental NGOs
- the scientific community

It can be helpful to have the meeting be led by an external meeting facilitator.

Prior to the meeting, the FIP coordinator should distribute to stakeholders an invitation letter, project flyer, and draft agenda that summarize the goals and expectations of the meeting (refer to the templates in Appendices II, III, and IV for examples).

Be sure to choose a consultant with experience applying the MSC standard to fisheries.

Hiring a FIP Consultant

You can hire a FIP consultant through a Conformity Assessment Body or by contracting directly with an individual. The time and costs associated with developing the scoping document and FIP Action Plan and tracking progress vary depending on the consultant and the scope of the fishery.

It can be beneficial to contract with a consultant who was a member of the pre-assessment team because of his or her knowledge of the sustainability issues specific to the fishery. More important, however, is to choose a consultant with experience applying the MSC standard to fisheries.

A list of potential consultants who are familiar with the MSC process can be found at www.msc.org/get-certified/fisheries/technical-assistance/consultants.

It's important to note that the person or organization that plays the consultant role during the FIP process will have a conflict of interest with any future MSC work for the fishery. In other words, whoever conducts the FIP will be ineligible for work on a potential full MSC assessment, should the fishery get to that point.



Agenda for the Stakeholder Meeting

During the FIP stakeholder meeting, it is important to cover the following topics:

- The start of the meeting includes brief presentations on the MSC program and the process of developing and implementing a FIP, and a review of the pre-assessment results.
- The majority of the meeting then focuses on working with fishery stakeholders to develop a list of new or existing activities that will help the fishery meet the MSC standard for each of the medium- and high-priority performance indicators identified in the scoping document. It is important to identify activities for all FIP stakeholders (including the private sector) to implement as all have a role to play.
- Include sessions in the agenda to hear from the private sector (on the importance of the FIP to processors, retailers, exporters, importers), as well as from fishers (for their reactions and recommendations based on past experience and knowledge).

At the initial stakeholder meeting, it is often difficult to determine specific timeframes, the details of the proposed activities, or the costs associated with each activity. These elements can be determined after the stakeholder meeting via communications among fishery stakeholders.

Be sure to allow plenty of time for discussion and interaction during the meeting. The sample agenda included in the Toolkit (page 54) covers a two-day FIP Stakeholder Meeting, but you may want to consider extending the length of the meeting to more than two days, if practical.

As the FIP is developed, costs and funding opportunities should be identified and added to the FIP Action Plan.

2.2 FIP Action Plan

As a follow-up to the stakeholder meeting, the FIP facilitator (see Roles & Responsibilities on page 13) and the FIP coordinator work with the consultant to finalize the FIP Action Plan that was drafted at the stakeholder meeting. It is important that the consultant complete the Action Plan within a few weeks of the FIP Stakeholder Meeting to maintain project momentum. As part of the FIP Action Plan, the consultant develops two critical documents:

- **The Work Plan Matrix** links the medium- and high-priority performance indicators in the scoping document to activities in the FIP Action Plan and identifies the highest priorities to address (for a template of the work plan matrix refer to Appendix V, page 57).
- **The FIP Action Plan** describes the FIP activities in further detail (refer to Appendix VI, page 59 for an example). These documents are then shared with fishery stakeholders after being translated to the appropriate local language, if needed. The FIP Action Plan includes five critical elements:
 - **Activity list:** A brief description of each activity, including background and rationale for completing the activity, as discussed at the FIP stakeholder meeting.
 - **Responsible parties:** Organizations/people responsible for completing the specified activity. The responsible parties may not necessarily have the funding to carry out the activities, but should be involved in developing or reviewing terms of reference for the activities for which they are responsible. Once funding is identified to support an activity, the responsible parties should lead the implementation of the activity and ensure that the activity is completed in a timely manner.
 - **Timeframes:** An estimate of the timeframe needed to complete each activity (for example, less than six months, six to 12 months, more than 12 months). These general timeframes describe the total amount of time it should take to complete an activity once it begins. Often, activities in the FIP Action Plan cannot be started simultaneously and need to be prioritized, so some activities may not begin for several months after the FIP Action Plan is completed. The Action Plan should have a target date of the fishery entering MSC full assessment within five years, but this can vary depending on scope and complexity of the project.
 - **Metrics and key performance indicators:** Milestones to enable the project participants to track progress, or lack thereof, over time and to communicate about the changes in the fishery. Each activity in the FIP Action Plan is linked to one or more of the MSC performance indicators that it affects, and progress of the activities is tracked over time against each indicator.
 - **An associated budget:** Costs and funding opportunities for each activity as appropriate. When possible, costs and funding opportunities are identified during the FIP stakeholder meeting. It is likely, however, that more detailed timeframes, costs, and funding opportunities will be determined after the stakeholder meeting.
 - **Traceability System:** A system for ensuring that fish identified as coming from the FIP is indeed part of the FIP. The traceability system should be in alignment with the MSC Chain of Custody certification standard for seafood traceability (www.msc.org/about-us/standards/standards/chain-of-custody).

It is important that the work plan matrix and Action Plan are translated into the local language in a timely fashion and made publicly available.



STEP 3: Implementation and Tracking Progress

In the final phase, FIP stakeholders begin to implement the FIP Action Plan, track progress against goals, and fine-tune the FIP Action Plan based on specific circumstances and results. The implementation and tracking milestones include:

3.1 FIP Steering Committee

Before beginning the process of implementing the FIP Action Plan, consider establishing a FIP Steering Committee (with no more than 10 members) to make decisions regarding the FIP Action Plan and to determine implementation priorities. The committee should include representatives from government, the supply chain, research agencies, NGOs, and other local stakeholders. It is important for the committee to identify one stakeholder who can serve as the project champion and drive the process forward. The role of the committee and the project champion should be documented to ensure all roles are clearly defined.

3.2 Implementing the FIP Action Plan

Once the FIP Action Plan is complete, the next step is to begin implementing the activities. It is important to coordinate among the fishery stakeholders and the consultant to ensure that each activity is effectively completed.

The organizations/people responsible for the FIP activities, in collaboration with the consultant, develop terms of reference for completing the

proposed FIP activities, which are then reviewed by the consultant and fishery stakeholders.

One of the first implementation activities is to develop a stakeholder communications and engagement strategy for key stakeholder groups (e.g., private sector, government, fishers, and NGOs). The strategy should include

- activities necessary to engage with each stakeholder group
- key topics and messaging that resonate with each group (e.g., producers' socioeconomic development and business needs)
- tactics for disseminating the key messages
- MSC communication resources relevant to specific country needs, translated and adapted to local conditions

It is important to include the development of a traceability system as part of the Action Plan. The system should be developed in alignment with the MSC Chain of Custody certification standard for seafood traceability (www.msc.org/about-us/standards/standards/chain-of-custody).

In addition, it is important to work with the consultant to monitor and review FIP work proposals and outputs throughout the entire FIP process to ensure that the work completed as part of the FIP Action Plan is robust enough for the fishery to meet the MSC standard.



3.3 Annual FIP Review Meetings

As part of the monitoring and review of the FIP, a two-day FIP review meeting with fishery stakeholders is held, which the consultant facilitates, to assess the annual progress of the fishery against the current MSC standard. It is important for the FIP consultant to address any changes that have been made to the MSC standard since the development of the Action Plan or the last review meeting.

The goal of the meeting is to highlight progress in the FIP, evaluate whether scores of particular performance indicators have increased since the pre-assessment, and discuss FIP activities that still need to be addressed. For a FIP Review Meeting Agenda template, refer to Appendix VIII on page 73.

Based on the results of the meeting and the progress made on the FIP Action Plan activities, the consultant then develops a revised FIP Action Plan and work plan matrix, which are shared with fishery stakeholders after the meeting and made publicly available.

In addition to the annual FIP review meeting, it can be useful to conduct small meetings with various stakeholder groups throughout the year to review progress against the Action Plan, refine activities, identify detailed timelines, and confirm responsibilities. It is important to ensure that there is a mechanism for providing updates to stakeholders who do not participate in these meetings.

3.4 Tracking and Reporting on Progress

The key goals of tracking are to verify that the FIP is making progress against the milestones laid out in the FIP Action Plan and ensure the work is as transparent as possible (including making the pre-assessment public).

Organizations managing improvement projects must track progress so that they can credibly and publicly report on

- actions taken by the project to encourage improvements
- the impact of these actions, in terms of changes in fisheries policy, management, and fishing practices
- results on the water

Tracking should be completed on a quarterly basis using a FIP tracking template. For each MSC performance indicator, the tracking template should include

- deficiencies identified during the pre-assessment
- activities developed to address the deficiencies in each performance indicator
- scope of the improvements
- estimated pre-assessment score at each review period
- current stage of progress
- details of quarterly progress (including the source for evidence) for FIP activities not yet started, underway, delivering impacts, and delivering outcomes
- dates for target or actual completion of each activity
- participants responsible for carrying out the activities
- other performance indicators affected by the activities

Progress against the objectives and timeline outlined in the FIP Action Plan should be reported publicly every three to six months. Additional reporting can occur if significant milestones are met in the interim. It is important to have a formal process for terminating participation in or support for the FIP if adequate progress is not being made.

FIP Success Factors

There are several key factors that can help ensure a FIP is developed and implemented successfully:

Stakeholder engagement and commitment to move forward. It is essential that a diverse array of stakeholders is engaged in the FIP early on in the process and committed to ensuring the FIP is completed. Without stakeholder support from all of the sectors described above, it is likely that the FIP will not succeed.

On-the-ground support (FIP coordinator). Having someone coordinate the FIP process at the local level is important. A local coordinator can communicate with FIP stakeholders and monitor progress, as well as build strong relationships with stakeholders and help gain their support and commitment for the FIP.


Managing expectations. It is important that all FIP stakeholders have a common understanding that FIPs are multi-year projects and, depending on the fishery, it is likely to take a number of years until the fishery is ready to enter MSC full assessment. The FIP should have an Action Plan spanning five years to reflect the target date of entering MSC full assessment, but this can vary. It is also important that FIPs are completed before the fishery decides to enter full assessment in order to minimize the risk of the fishery failing a full MSC assessment.

Technical advice as needed. Having a consultant who is knowledgeable of the MSC certification requirements involved in the development, monitoring, and review of the FIP, as well as any outputs or proposals related to the FIP, is essential to ensuring that the activities that are put in place are moving the fishery toward meeting the MSC standard.

Resources. Financial resources are necessary to be able to develop and implement FIP activities. In addition, other resources such as in-kind support (for example, allowing staff to allocate time to work on FIP implementation) are important for ensuring progress of the FIP.

Collaboration and funding. Capitalize on the following best practices to establish clear lines of communication and set expectations

- ensure funding is allocated to project areas where financial gaps are likely
- reinforce the expectation that all stakeholders should contribute financially to the FIP
- be prepared to explain the importance of the FIP and need for funding to potential funders
- seek advice and support from fundraising and communications teams within various organizations involved in the FIP



Building momentum. Early in the FIP process, it is important to complete tasks (such as the scoping document and Action Plan) quickly in order to build momentum for the entire project. Be sure to work with consultants who are available to complete tasks quickly.

Translations. Communicating in local languages can increase the engagement of local stakeholders. Ensure that information about the MSC standard as well as the pre-assessment and full assessment processes are translated into the local language and shared with stakeholders early in the FIP process. It is also important to translate the MSC pre-assessment, scoping document, and Action Plan into the local language within a few weeks of the final English versions. Be sure to budget for translation costs and engage translators in advance of starting the project.

Regular communication. As the FIP process can be lengthy, it is important for the FIP Coordinator to maintain regular communication with stakeholders. Requiring reporting on accomplishments after milestones are met builds trust in the process and ensures engagement from stakeholders. Consider using press releases and newsletters developed by a communications department.

Market incentives. Use a seafood buyer's commitment to source sustainable seafood to help develop and implement FIPs. Seafood buyers can send letters to suppliers and government representatives stating their sustainable seafood sourcing policy and encouraging the implementation of FIP activities. Buyers can also participate in FIP meetings. These actions provide a market incentive for local partners to engage in FIPs.

Review and monitoring. Tracking of FIP progress is essential to ensuring that the FIP is moving the fishery toward the MSC standard and that the activities are meeting the milestones established in the FIP Action Plan.

FIP CASE STUDY

Vietnam Blue Swimming Crab



BACKGROUND

The Vietnamese blue swimming crab fishery is based in Kien Giang province, south of the Mekong Delta and near the southern border with Cambodia. The fishery involves an estimated 20,000 crab fishers, who use boats and gillnets of various sizes. The high season is from May to September with a closed season inshore from April through June. Fishing is banned inside two nautical miles and in or around mangroves and estuaries. Crabs are landed whole, with a volume of approximately 11,399 tons caught (2008). An important fishery for Vietnam, much of the catch is exported around the world.

SPECIES: *Portunus pelagicus*

SCOPE: Kien Giang province (Gulf of Thailand)

PARTNERS: WWF, the Department of Agriculture and Rural Development (DARD), the Vietnam Association of Seafood Exporters and Producers (VASEP) Crab Council, the Department of Capture Fisheries and Resource Protection (DECAFIREP), the Research Institute of Marine Fisheries (RIMF), the Ministry of Agriculture and Rural Development (MARD), the Institute of Oceanography, Kien Giang Provincial People Committee and community fishers

Measuring sustainability against the Marine Stewardship Council standard

In 2009, WWF facilitated the completion of a Marine Stewardship Council (MSC) pre-assessment that compared the current status of the fishery against the MSC standard. WWF, DARD, and the VASEP Crab Council are working in partnership with fishing communities to implement a FIP, so that the fishery will perform at a level consistent with the MSC standard. A FIP stakeholder meeting was held in Kien Giang, Vietnam in June 2010 to discuss the pre-assessment and to develop a FIP Action Plan, which describes the necessary FIP activities, associated responsible parties, and timeframes required to meet the MSC standard. Implementation of FIP activities began in September 2010 following the finalization of the Action Plan.

WWF continues to work closely with public and private sector partners to move the fishery in a step-wise approach towards MSC certification.

Room for improvement

The pre-assessment against the MSC standard indicated the Vietnam blue swimming crab fishery needs to improve in key areas, including

- over-exploitation in some parts of the swimming crab fisheries (inshore)
- a lack of precautionary management measures and law enforcement
- inadequate monitoring and evaluation

Steps toward progress

Because the lack of data was identified as a high-priority deficiency in the pre-assessment, the fishery has been working to develop a stock assessment, establish harvest control rules and

implement a data collection system. The fishery has made progress designing and implementing several data collection processes, including

- catch and effort data collection at the landing site (enumerator program)
- biological data collection at the landing site
- observer data collection at sea
- logbook data collection

Next steps

FIP review meetings continue to be held annually with fishery stakeholders to assess the progress of the fishery against the MSC standard. Activities to address deficiencies in the fishery are being guided by the FIP Action Plan and implemented in collaboration with local stakeholders. The fishery has made progress on key activities, such as various data collection efforts, which will inform the future stock assessment. As a result of activities that have been completed thus far, several of the MSC Performance Indicators (PIs) that were scored as “Fail” (<60) in the pre-assessment, now score as “Pass” (>80).

For more information and updates on progress, please visit the FIP website: <https://sites.google.com/site/fisheryimprovementprojects/home/vietnam-blue-swimming-crab-fip>

FIP Costs

The average cost for developing a FIP largely depends on the complexity of the fishery and region, as well as the activities and timeline for the implementation phase. As the FIP is developed, a sustainable financing plan should be considered and added to the FIP Action Plan.

There are generally two sets of costs associated with a FIP:

- **Process costs**—for example, costs associated with developing the scoping document, holding stakeholder meetings, developing the FIP Action Plan, and translating all materials into local languages

- **Implementation costs**—for example, costs for the fishery to actually make changes

Additional costs can include staff time, travel, and communications associated with managing and coordinating the FIP Action Plan.

A FIP is most successful if all parties involved in implementing the FIP Action Plan contribute financially to the project. By being financially invested in the FIP, organizations and individuals are more likely to take ownership in the effort and effectively and efficiently complete any activities for which they are responsible.

FIP Timeline

The average time needed to develop a FIP depends on the scope and complexity of the fishery, level of stakeholder participation, and the ability and willingness of government entities to make management improvements. The Action Plan should have a target date of the fishery entering MSC full assessment within five years, but this can vary depending on scope and complexity of the project.

Complex fisheries that involve a large number of stakeholders, bureaucratic management systems, multiple species, multiple gear types, and/or a large number of medium- and high-priority indicators can easily take five years to complete the implementation stage.

In some cases, even relatively non-complex fisheries (such as small-scale fisheries targeting a single species and using a single gear type) can involve particularly challenging issues that require a multi-year FIP.

Regardless of size or complexity, it is important to be realistic about timing, to anticipate likely delays wherever possible, and to manage expectations regarding overall project timelines.

As long as progress is being made over time, however, the FIP will result in an improved fishery and management system, even if the process takes several years.

Development of the FIP scoping document and FIP Action Plan typically takes approximately 6-12 months, while FIP implementation generally can take from one to five years.



FIP Communications

Throughout the FIP process, clear communication on the progress and status of the FIP between all parties involved is essential. Consider developing a strategy to ensure regular communication with all stakeholder groups.

The FIP facilitator and FIP coordinator are responsible for ensuring that communication is taking place between all parties involved in the FIP, as needed.

Examples of key communications that should take place throughout the FIP include

- regular communication by email and/or phone among the FIP facilitator, FIP coordinator, and consultant regarding progress and updates related to the FIP
- regular communication among the FIP coordinator and fishery stakeholders, especially those responsible for particular

FIP Action Plan activities, to ensure that work is progressing according to schedule

- communication among the FIP facilitator and buyers that are supporting the FIP to provide updates on progress, identify any issues that need to be addressed, and address any concerns that the buyers may have concerning the FIP
- publically reporting on FIP progress every three to six months as described in Step 3 of the FIP process.

We also recommend setting guidelines for the roles and responsibilities of different stakeholders regarding communications related to the FIP. For example, if stakeholders would like to issue a press release, fact sheet, or other document about the FIP, then it is helpful to identify who is responsible for drafting, reviewing, and finalizing the document.

Next Steps

Once a FIP is completed, the fishery will be able to enter MSC full assessment. For more information on how to enter into MSC full assessment, please contact WWF or see the MSC website (www.msc.org).

While the ultimate goal of a FIP is to achieve MSC certification, we recognize that for some fisheries, performance at this level is a long-term goal and we do not control a fishery's decision to pursue certification.

Conclusions



As seafood businesses around the world commit to sourcing from fisheries that meet the MSC standard or are engaged in a comprehensive FIP, opportunities for fishery improvement work are greater than ever.

By bringing stakeholders together and taking advantage of the benefits provided by the MSC program, FIPs are achieving progress in challenging fisheries around the world.

We hope this handbook will help you join these efforts and develop, implement, or participate in a successful FIP.

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Appendix I: FIP Scoping Document

FIP Scoping Document

The following is an excerpt from a sample FIP Scoping Document. This excerpt includes templates for:

- An introduction
- A table in which each of the performance indicators, priorities, and timelines will be listed
- An example of a detailed description of one performance indicator likely to cause concern

A template for a complete FIP Scoping Document, with examples related to the 28 MSC performance indicators, is available from WWF.

For updated template documents please visit the FIP website: <https://sites.google.com/site/fisheryimprovementprojects/home/fip-process>

Introduction

Following the completion of a MSC assessment for the [name of fishery] fishery in [year], a number of Performance Indicators (PIs) were scored such that the fishery would fail under a full MSC assessment (score below 60), and require conditions for other PIs (score between 60 and 80). The scores awarded to the fishery for all PIs are set out in Table 1.

The definition of the Unit of Assessment (UoA)¹ as outlined in the pre-assessment is:

The target stock(s)	
The fishing method or gear type(s) and/or practice	
The fishing fleet or group of vessels, or individuals fishing operators pursuing that stock	
Other eligible fishers that are outside the Unit of Certification (UoC)²	

The main purpose of this document is to identify and prioritise the PI categories under each of the three MSC Principles such that relevant tasks, or actions, may be developed as part of a Fishery Improvement Project (FIP). The goal of a FIP is to move the fishery toward performing at a level consistent with an unconditional pass of the MSC standard. FIPs are designed to bring the fishery to an 80 score for each performance indicator (PI) to ensure that the fishery could pass full assessment. Scores for each PI are determined by conformance with scoring guideposts, the level of performance established equating to numeric scores of 60, 80 or 100 for each PI.

The following summary table provides general information about each PI that might cause the fishery to either fail (High Priority), pass with conditions (Medium Priority), or likely to pass (Low Priority) (see Table 1). In addition, the likely timeframe for the completion of tasks associated with each PI have been highlighted.

This scoping document is designed to assist in the planning phase of a FIP and provides an example of the likely range of activities or steps that may be considered to reach one or more the MSC scoring guideposts (SG). These have been outlined in the following set of tables to demonstrate what outcome(s) or information is required to prevent a fail (score < 60) and achieve a conditional pass (score > 60 but < 80) or pass (score > 80).

¹The Unit of Assessment (UoA) defines the full scope of what is being assessed. It may include other eligible fishers that may not be covered by the fishery certificate). The UoA is therefore equal or larger than the Unit of Certification (UoC).

²The UoC is defined as what is to be covered by the certificate. MSC certification is specific to the fishery holding the certificate, defined as the UoC. MSC Fishery assessments may be defined as a wider unit, as the UoA, which may include other eligible fisheries. The MSC certification sharing mechanism allows other eligible fisheries assessed under the UoA to join the fishery certificate.

Table 1:

Summary information for Performance Indicators highlighted within the MSC Pre-assessment to be either a high (< SG60), medium priority (score > 60 but < 80), or low priority (> SG80).

Performance Indicator Category		Priority	Timeframe	Linkages
Principle 1				
1.1.1	Stock status			1.1.2, 1.2.2
1.1.2	Stock rebuilding			1.1.1
1.2.1	Performance of the harvest strategy			1.2.2, 1.2.3, 1.2.4, 3.2.1
1.2.2	Harvest control rules and tools			1.1.1, 1.2.1
1.2.3	Information/ monitoring			1.2.1
1.2.4	Assessment of Stock Status			1.2.1
Principle 2				
2.1.1	Primary spp: Outcome Status			2.1.2, 2.1.3
2.1.2	Primary spp: Management Strategy			2.1.1, 2.1.3, 3.2.1
2.1.3	Primary spp: Information/Monitoring			2.1.1, 2.1.2,
2.2.1	Secondary spp: Outcome Status			2.2.2, 2.2.3
2.2.2	Secondary spp: Management Strategy			2.2.1, 2.2.3, 3.2.1
2.2.3	Secondary spp: Information/Monitoring			2.2.1, 2.2.2
2.3.1	ETP spp: Outcome Status			2.3.2, 2.3.3
2.3.2	ETP spp: Management Strategy			2.3.1, 2.3.3, 3.2.1
2.3.3	ETP spp: Information/Monitoring			2.3.1, 2.3.2
2.4.1	Habitat: Outcome Status			2.4.2, 2.4.3
2.4.2	Habitat: Management Strategy			2.4.1, 2.4.3, 3.2.1
2.4.3	Habitat: Information/Monitoring			2.4.1, 2.4.2
2.5.1	Ecosystem: Outcome Status			2.5.2, 2.5.3, 1.1.1, 2.1.1, 2.2.1, 2.3.1, 2.4.1
2.5.2	Ecosystem: Management Strategy			2.5.1, 2.5.3, 1.2.1, 2.1.2, 2.2.2, 2.3.2, 2.4.2, 3.2.1
2.5.3	Ecosystem: Information/Monitoring			2.5.1, 2.5.2, 1.2.3, 2.1.3, 2.2.3, 2.3.3, 2.4.3
Principle 3				
3.1.1	Governance and policy: legal and/or Customary Framework			3.1.2, 3.1.3
3.1.2	Governance and policy: Consultation, Roles and Responsibilities			3.1.1, 3.2.2
3.1.3	Governance and policy: Long Term Objectives			3.1.1, 3.2.1, 3.2.2
3.2.1	Fishery Specific Management System: Fishery-Specific Objectives			1.2.1, 1.2.2, 2.1.2, 2.2.2, 2.3.2, 2.4.2, 2.5.2, 3.1.3, 3.2.2, 3.2.5.
3.2.2	Fishery specific Management System: Decision-Making Processes			3.1.2, 3.2.1
3.2.3	Fishery Specific Management System: Compliance & Enforcement			1.2.3, 2.1.3, 2.2.3, 2.3.3, 2.4.3
3.2.4	Fishery Specific Management System: Monitoring and Management Performance Evaluation			3.2.1

Key MSC Performance Indicators to Inform FIP

The MSC assessment report has highlighted a number of PIs that may cause the [name of fishery] fishery to either fail assessment against some Performance Indicators (PIs) or pass a full assessment with conditions relating to other PIs.

This section provides more detail of each PI likely to cause concern within three major MSC Principles and indicates the current status of the fishery against one or more of the MSC scoring guideposts at 60 and 80.

If the fishery is likely to fail a full assessment based on the PI score, it is given a High Priority, whereas a fishery that might pass with conditions is given a Medium Priority, and likely to pass is given a Low priority.

A short description of the type of information and/or research that might help the fishery attain the standard necessary to reach one or more scoring guidepost is also given to assist in developing a Fishery Improvement Project.

PI 1.1.1 Stock Status		The stock is at a level which maintains high productivity and has a low probability of recruitment overfishing	
Scoring Issue	SG 60	SG 80	SG 100
a Stock status relative to recruitment impairment			
Guidepost	It is likely that the stock is above the point where recruitment would be impaired (PRI).	It is highly likely that the stock is above the PRI.	There is a high degree of certainty that the stock is above the PRI.
b Stock status in relation to achievement of MSY			
Guidepost		The stock is at or fluctuating around a level consistent with MSY.	There is a high degree of certainty that the stock has been fluctuating around a level consistent with MSY or has been above this level over recent years.

INSERT NAME OF FISHERY:	
Scoring Comments	Example: Stock status is not known quantitatively. The Risk Based Framework (RBF) methodology was therefore used to assess stock status. The RBF estimates risk based on the assumption that the risk to a species depends on two characteristics: (1) the extent of the impact due to the fishing activity, which will be determined by the susceptibility to the fishing activities (Susceptibility) and (2) the productivity of mahi mahi (Productivity), which will determine the rate at which recovery can occur after potential depletion or damage by fishing. Mahi mahi is a very productive species; however its high susceptibility to fishing activity determines that the risk would likely be estimated as high under any full assessment.
Priority	High
FIP Comments	Example: The application of the RBF determined that the fishery is likely to pose a high risk on the productivity of the stock. Therefore an important pre-requisite for scoring 60 and above is to develop reference points. Stock biomass (or stock biomass indicators) and fishing mortality should be estimated through stock assessment and the results compared with target and limit reference points. It is necessary to define a target reference point consistent with BMSY to reach an unconditional pass.

Appendix II:
Invitation Letter for FIP Stakeholder Meeting Template

Invitation Letter for FIP Stakeholder Meeting Template

On behalf of [co-client or fishery partner] and [FIP facilitator], we would like to invite you to a meeting regarding the [Fishery name] fishery. The meeting will be held at [meeting location] on [date].

The [name of fishery] fishery has completed a Marine Stewardship Council (MSC) pre-assessment that compares the current status of the fishery against the MSC standard for sustainable fisheries. The MSC uses an ecolabel to reward sustainable fishing practices (see <http://www.msc.org/> for more information).

The MSC has developed a series of performance indicators as part of their ecolabel with which to evaluate a fishery and assess the long-term sustainability of the resource. These indicators fall within three main principles based on:

- Stock status and harvest strategies
- Ecological and environmental impacts
- Management and governance

The [name of fishery] fishery pre-assessment provided an important benchmark to help monitor and evaluate future management strategies and identified important issues that need to be addressed before the [name of fishery] fishery can meet the MSC standard.

In order to move the fishery forward towards the MSC standard, a Fishery Improvement Project (FIP) is being developed; the development of a FIP can be categorized into 3 steps: scoping, project planning, and implementation. A scoping document has been produced to provide information about each MSC performance indicator that might cause the fishery to either fail an assessment (high priority) or pass with conditions (medium priority). Each performance indicator may require a short, medium or long-term timeframe to accomplish.

Project planning requires identification of a range of activities or steps necessary for each performance indicator to reach a pass (MSC score 80 or above), or pass with conditions (between 60 and 80). As part of the FIP planning, each range of activities requires specific information on associated costs and sources of funding, timelines and roles and responsibilities of key stakeholders involved in the process.

The final step in the FIP is to implement the projects and activities outlined in the planning step. These are expected to start in [year]. The long-term goal of the FIP is to increase the sustainability of the [name of fishery] fishery. The FIP work is likely to take a number of years, and will require the participation of fishery stakeholders such as industry, government, scientists, and non-governmental organizations.

Appendix III:
FIP Project Flyer Template

Background

[Insert 1-2 paragraphs on the background of the fishery including information such as: name of fishery, fishing location/area, target species, gear type, volume, market, key partners/stakeholders as applicable.]

To help maintain the long-term sustainability of this valuable natural resource, [key stakeholder group(s)], with support from [FIP Facilitator, if applicable], has initiated a new program to identify and address a range of priority issues within the fishery. This leaflet provides background information on the design and implementation of a Fishery Improvement Project (FIP).

PHOTO

Measuring Sustainability

The Marine Stewardship Council (MSC) uses an ecolabel to reward sustainable fishing practices (see <http://www.msc.org/> for more information). Major seafood buyers from around the world have made commitments to source from MSC certified fisheries, and MSC certification may be required to maintain market access in the future.

The MSC has developed a series of performance indicators as part of their ecolabel with which to evaluate a fishery and assess the long-term sustainability of the resource. These indicators fall within three main principles based on:

- Stock status and harvest strategies
- Ecological and environmental impacts
- Management and governance

In [year], the [name of fishery] fishery completed an MSC pre-assessment that compares the current status of the fishery against the MSC standard for sustainable fisheries.

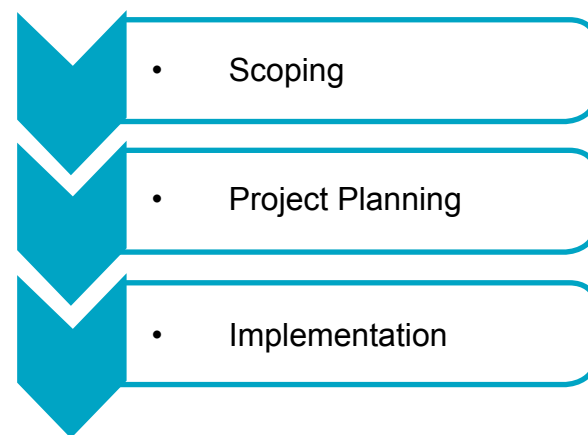
The pre-assessment identified several issues that need improvement or clarification before the fishery can move on to a full MSC assessment. As a result, a fishery improvement project (FIP), as described in the following sections, is underway to help make the necessary changes in the fishery.

Fishery Improvement Project (FIP)

The pre-assessment provided an important benchmark to help monitor and evaluate future management strategies and identified important issues that need to be addressed before the [name of fishery] fishery can meet the MSC standard.

[FIP Facilitator] is working in collaboration with [key stakeholder group(s)], and other stakeholders to maintain the long-term sustainability of the fishery. Through the creation of a fishery improvement project (FIP), [FIP Facilitator] and its collaborators are working to move the fishery in a step-wise approach towards Marine Stewardship Council (MSC) certification.

The development of a FIP can be categorized into 3 steps:



A scoping document has been produced to provide information about each MSC performance indicator that might cause the fishery to either fail an assessment (high priority) or pass with conditions (medium priority). Each performance indicator may require a short, medium or long-term timeframe to accomplish.

Project planning requires identification of a range of activities or steps necessary for each performance indicator to reach a pass (MSC score 80 or above), or pass with conditions (between 60 and 80). As part of the FIP planning, each range of activities requires specific information on associated costs and sources of funding, timelines and roles and responsibilities of key stakeholders involved in the process.

The final step in the FIP is to implement the projects and activities outlined in the planning step. These are expected to start in [year]. The long-term goal of the FIP is to increase the sustainability of the [name of fishery] fishery. The FIP work is likely to take a number of years, and will require the participation of fishery stakeholders such as industry, government, scientists, and non-governmental organizations.

Next Steps

A planning meeting is scheduled to occur in [month year]. The purpose of the meeting is to develop a work plan for a range of activities necessary to:

- Make improvements that will assure sustainability of the fishery;
- Raise the standard of various performance indicators within the fishery to meet MSC scoring guidelines.

The meeting will bring together a wide range of stakeholders and funding agencies to facilitate this process. Finally, implementation of the work plan is scheduled to start in [year].

Contact Us

If you would like further information about this project or would like to become involved, please contact representatives of WWF.

[Name]

[Title]

[Organization]

[Phone number]

[email]

[Name]

[Title]

[Organization]

[Phone number]

[email]

[Name]

[Title]

[Organization]

[Phone number]

[email]

Fishery Improvement Project (FIP)

PHOTO

Developing a Sustainable Future:
[Name of Fishery] Fishery

Appendix IV:
FIP Stakeholder Meeting Agenda Template

FIP Stakeholder Meeting Agenda Template

[NAME OF FISHERY]

Fishery Improvement Project (FIP) Stakeholder Meeting

Day 1: [DATE]

Time	Activity / Topic	Lead
9:00 – 9:10 a.m.	Welcome and Overview	FIP Facilitator
9:10 – 9:30 a.m.	Introductions	All
9:30 – 10:00 a.m.	Marine Stewardship Council overview ¹	MSC or Consultant
10:00 – 10:15 a.m.	<i>Break</i>	
10:15 – 10:45 a.m.	Summary of [FISHERY NAME] pre-assessment report ²	Consultant
10:45 – 11:15 a.m.	Overview of the FIP process ³	FIP Facilitator
11:15 a.m. – 12:00 p.m.	How to address low-scoring indicators for MSC Principle 1: Sustainable fish stocks ⁴	Consultant + All
12:00 – 1:00 p.m.	<i>Lunch</i>	
1:00 – 2:00 p.m.	How to address low-scoring indicators for MSC Principle 1: Sustainable fish stocks (cont.)	Consultant + All
2:00 – 3:00 p.m.	How to address low-scoring indicators for MSC Principle 2: Minimizing environmental impacts	Consultant + All
3:00 – 3:15 p.m.	<i>Break</i>	
3:15 – 4:30 p.m.	How to address low-scoring indicators for MSC Principle 2: Minimizing environmental impacts (cont.)	Consultant + All
4:30 – 4:45 p.m.	Wrap-up of Day 1	

¹ To give background on the MSC certification process and standard, as well as convince the group WHY it is important to be able to meet the MSC standard (sustainability + retailer demand).

² Results and recommendations from the assessment

³ Lays the groundwork for the rest of the workshop

⁴ Review of barriers to certification for each Principle and discussion on how to address them – objective is for the group to come up with specific activities to address the issues.

Day 2: [DATE]

Time	Activity / Topic	Lead
9:00 – 9:15 a.m.	Review of progress made on Day 1	Consultant
9:15 – 10:30 a.m.	How to address low-scoring indicators for MSC Principle 3: Effective management	Consultant + All
10:30 – 10:45 a.m.	<i>Break</i>	
10:45 – 12:00 p.m.	How to address low-scoring indicators for MSC Principle 3: Effective management (cont.)	Consultant + All
12:00 – 1:00 p.m.	<i>Lunch</i>	
1:00 – 2:30 p.m.	Work Plan and Action Steps	Consultant + All
2:30 – 2:45 p.m.	<i>Break</i>	
2:45 – 4:45 p.m.	Work Plan and Action Steps (cont.)	Consultant + All
4:45 – 5:00 p.m.	Wrap-up	

⁵ a) Ensure that the activities identified still make sense given any additional discussions that have happened throughout the course of the meeting;

b) Ensure that stakeholders feel the activities identified can be accomplished and make sense in the context of the fishery;

c) Determine who will be responsible for the activities and general timeframes for completion.

Appendix V:
FIP Work Plan Activity Template

TASK	WORKING GROUP	TIMEFRAME (e.g., < 6 months, 6-12 months, 12 months+)	Links to MSC Performance Indicators																											
			P1. Stock status								P2. Environmental & ecological impacts										P3. Management & governance									
			1.1.1. Stock status	1.1.2. Stock rebuilding	1.2.1. Performance of Harvest Strategy	1.2.2. Harvest control rules and tools	1.2.3. Information and monitoring	1.2.4. Stock Assessment	2.1.1. Primary species: Status	2.1.2. Primary species: Management	2.1.3. Primary species: Information & mon.	2.2.1. Secondary species: Status	2.2.2. Secondary species: Management	2.2.3. Secondary species: Information & mon.	2.3.1. ETP species: Status	2.3.2. ETP species: Management	2.3.3. ETP species: Information & mon.	2.4.1. Habitat: Status	2.4.2. Habitat: Management strategy	2.4.3. Habitat: Information & monitoring	2.5.1. Ecosystem: Status	2.5.2. Ecosystem: Management strategy	2.5.3. Ecosystem: Information & monitoring	3.1.1. Legal customary framework	3.1.2. Consultation, roles & responsibilities	3.1.3. Long-term objectives	3.2.1. Fishery-specific objectives	3.2.2. Decision-making processes	3.2.3. Compliance & enforcement	3.2.4. Management performance evaluation
1. High Level Category Description			(note: H = high priority and M = medium priority according to MSC pre-assessment)																											
1.1. Activity																														
1.2. Activity																														
1.3. Activity																														
1.4. Activity																														
2. High Level Category Description																														
2.1. Activity																														
2.1. Activity																														
2.2.1. Sub-Activity (can be included if needed)																														
2.2.2. Sub-Activity																														
3. High Level Category Description																														
3.1. Activity																														
3.1. Activity																														
3.2.1. Sub-Activity																														
3.2.2. Sub-Activity																														
3.2.3. Sub-Activity																														
3.2.4. Sub-Activity																														
3.3. Activity																														
(continue adding activities as needed for the specific FIP)																														

Appendix VI:
FIP Action Plan Template

**Action Plan for [Name of Fishery]
Fishery Improvement Project (FIP)**

[DRAFT/FINAL] REPORT

[Author]

[Date]

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INTRODUCTION

The purpose of this document is to provide general background information on the number of ongoing and new projects and tasks that were proposed during the Fishery Improvement Project (FIP) planning workshop, held in **Location** from **Dates**. This includes information on the level of priority (high or medium), current status (ongoing or new) and expected timeframe to complete the initial tasks. The priority level for each project was assigned according to the highest level within the FIP scoping document (Appendix 1).

The definition of the Unit of Assessment (UoA)¹ as outlined in the pre-assessment is:

The target stock(s)	
The fishing method or gear type(s) and/or practice	
The fishing fleet or group of vessels, or individuals fishing operators pursuing that stock	
Other eligible fishers that are outside the Unit of Certification (UoC)²	

It is anticipated that **[Name of Lead Organization, if applicable]** will lead the FIP Action Plan and co-ordinate the development of each task. This document serves primarily as a guide to the type and range of tasks required in the Action Plan to reach the Marine Stewardship Council (MSC) standard. The Plan itself must be further developed to include more specific timelines. The results generated from the Action Plan should have periodic internal and external reviews to ensure they will meet the MSC standard.

A summary of all tasks is provided in Table A.

¹The Unit of Assessment (UoA) defines the full scope of what is being assessed. It may include other eligible fishers that may not be covered by the fishery certificate). The UoA is therefore equal or larger than the Unit of Certification (UoC).

²The UoC is defined as what is to be covered by the certificate. MSC certification is specific to the fishery holding the certificate, defined as the UoC. MSC Fishery assessments may be defined as a wider unit, as the UoA, which may include other eligible fisheries. The MSC certification sharing mechanism allows other eligible fisheries assessed under the UoA to join the fishery certificate.

1. High-Level Category Description

1.1 Activity

Description of activity, including background and rationale for completing this activity, as discussed at the FIP stakeholder meeting.

Working Group	List organizations to be involved
Priority	Medium or High
Status	New or Ongoing
Timeframe	Include general timeframe of activity discussed at FIP stakeholder meeting
MSC Performance Indicator(s)	List PIs that will be addressed by this activity

Milestones	Starting date	Ending date
List of significant milestones that are related to this activity	Starting date for each milestones	Ending date for each milestones

Example:

1. The Development of Stock Assessment Procedures

The development of monitoring procedures for the collection of data was suggested as FIP activity with the aim of informing the stock assessment.

1.1 Development of monitoring procedures

Procedures to collect information needed for stock assessments are, to some extent, in place. The biology of the species is generally known and information on fishery statistics is available. However there is not a regular monitoring program for stock assessment purposes.

A program should be developed for the collection of fisheries dependent data for stock assessment purposes including:

- Landings and fishing effort if monitored appropriately can be used to develop a useful stock abundance indicator (i.e. catch per unit effort, CPUE). Logbooks containing information related to the fishing effort (e.g. length of fishing trip, number of hooks used) and associated catch (including target and non-target species) together with latitude and longitude coordinates should be designed and implemented to develop a reliable abundance index.
- Sampling the catch through the use of on-board observer programs could be used to obtain biological data (e.g. population size structure, recruitment indices, growth).

Key Stakeholders	RIMF; National Research Institutes, Relevant Fishermen Organizations.
Priority	High
Status	Ongoing
Timeframe	<12 months for the design of the monitoring protocol (ongoing from thereafter)
MSC Performance Indicator(s)	PI 1.2.3 Information/monitoring. PI 1.2.4 Assessment of Stock Status

Milestones	Starting date	Ending date
Milestone 1: Improving as necessary logbooks' information for the use of CPUE as abundance index	Quarter 3 2014	Quarter 3 2014
Milestone 2: Implementation of logs books for the collection of Catch and Effort Data	Quarter 4 2014	On-going
Milestone 3: Design of a on-board monitoring program for the collection of biological data	Quarter 3 2014	Quarter 3 2014
Milestone 5: Implementation of on-board biological monitoring program	Quarter 4 2014	On-going

1.2 Activity

Description of activity, including background and rationale for completing this activity, as discussed at the FIP stakeholder meeting.

Working Group	
Priority	
Status	
Timeframe	
MSC Performance Indicator(s)	

Milestones	Starting date	Ending date

1.3 Activity

Description of activity, including background and rationale for completing this activity, as discussed at the FIP stakeholder meeting.

Working Group	
Priority	
Status	
Timeframe	
MSC Performance Indicator(s)	

Milestones	Starting date	Ending date

1.4 Activity

Description of activity, including background and rationale for completing this activity, as discussed at the FIP stakeholder meeting.

Working Group	
Priority	
Status	
Timeframe	
MSC Performance Indicator(s)	

Milestones	Starting date	Ending date

2. High-Level Category Description

2.1 Activity

Description of activity, including background and rationale for completing this activity, as discussed at the FIP stakeholder meeting.

Working Group	
Priority	
Status	
Timeframe	
MSC Performance Indicator(s)	

Milestones	Starting date	Ending date

2.2 Activity

Description of activity, including background and rationale for completing this activity, as discussed at the FIP stakeholder meeting.

Working Group	
Priority	
Status	
Timeframe	
MSC Performance Indicator(s)	

Milestones	Starting date	Ending date

2.2.1 Sub-Activity (if needed)

Description of activity, including background and rationale for completing this activity, as discussed at the FIP stakeholder meeting.

Working Group	
Priority	
Status	
Timeframe	
MSC Performance Indicator(s)	

Milestones	Starting date	Ending date

3. High-Level Category Description

3.1 Activity

Description of activity, including background and rationale for completing this activity, as discussed at the FIP stakeholder meeting.

Working Group	
Priority	
Status	
Timeframe	
MSC Performance Indicator(s)	

Milestones	Starting date	Ending date

3.2 Activity

Description of activity, including background and rationale for completing this activity, as discussed at the FIP stakeholder meeting.

3.2.1 Sub-Activity

3.2.2 Sub-Activity

3.2.3 Sub-Activity

3.2.4 Sub-Activity

Working Group	
Priority	
Status	
Timeframe	
MSC Performance Indicator(s)	

Milestones	Starting date	Ending date

3.3 Activity

Description of activity, including background and rationale for completing this activity, as discussed at the FIP stakeholder meeting.

Working Group	
Priority	
Status	
Timeframe	
MSC Performance Indicator(s)	

Milestones	Starting date	Ending date

Table A. Log Frame for FIP activities.

Template:

Goal:					
Results	Objectively Verifiable Indications	Timeline	Responsible Organizations	Means of Verification	Assumptions
Outcome:					
Activity:					
Activity:					
Activity:					
Activity:					

Example:

Goal 2: To ensure the implementation of a monitoring system with the aim of providing information about the impact of the fishery on P2 species and on the effectiveness of the management strategy in minimizing any impact.					
Results	Objectively Verifiable Indications	Timeline	Responsible Organizations	Means of Verification	Assumptions
Outcome 2.1: Implementation of a long-term observer program to monitor fishery interaction with ETPs, Primary and Secondary species.					
Activity 2.1.1 Review of available information/bibliography on interaction of ETP species with the fishery	Meetings with responsible Stakeholders to carry out activity	6 months	RIMF/Research Institute, Fishermen Organizations	Review of available information report	Adequacy of data collection design and process
Activity 2.1.2 Design of an observer program to monitor fishery related mortality of Primary, Secondary and ETP species.	The design of the program by relevant stakeholder.	1 year	RIMF/Research Institute, Fishermen Organizations	Interview with relevant stakeholders	Relevant stakeholders capacity to undertake monitoring program
Activity 2.1.3: Implementation of observer program	Employment of observers for the implementation of the program.	2-3 years	RIMF/Research Institute, Fishermen Organizations	Data collected through verifiable means (e.g. logbooks)	Relevant stakeholders capacity to undertake monitoring program
Activity 2.1.4: Providing results regarding fishery impact on Primary, Secondary and ETP species with the aim of changing the management strategy as necessary.	Workshop between relevant stakeholders to present information collected on fishery interactions on P2 species.	Ongoing	RIMF/Research Institute, Fishermen Organizations	Introducing management measures with the aim to minimize the impact of the fishery on P2 species	Willingness of stakeholders to engage Adequate resourcing by Institutions

Appendix VII:
FIP Reporting Templates:
Development and Implementation

FIP Reporting Template: Development

NAME OF FIP IN DEVELOPMENT

Updated DATE

		Progress Report			
Steps	Planned Activities	Expected Date of Completion	Details of Progress	Date Completed	Source (e.g., website URL that provides evidence)
Step 1 - Scoping	Fishery evaluation (MSC - PA) conducted and made publicly available		e.g., completed, unknown, in progress, not started		e.g., completed, unknown, in progress, not started
	Improvement needs/ recommendations made publicly available				
	Stakeholder mapping and engagement				
Step 2 - Workplan development	Step 1 materials (fishery evaluation, scoping document, etc.) shared with stakeholders				
	Stakeholder meeting to review documents and develop workplan				
	Formal workplan developed and made public				
	FIP budget adopted				
	Explicit commitment of stakeholders				

FIP Reporting Template: Implementation

NAME OF FIP Workplan Tracking
Updated DATE

LEGEND FOR QUARTERLY ACTIVITY TRACKING¹																														
Green=expected progress being made (i.e., activity has begun, and expected milestones, deliverables and specified timeline are being met as planned).																														
Yellow=progress is below expectation (i.e., activity has begun, but expected milestones and deliverables have been delayed by 6 - 12 months, and specified timeline is not being met).																														
Red= inadequate progress (activity has begun, but expected milestones and deliverables have been delayed by > 12 months, and specified timeline is not being met.)																														
X	Milestone / Deliverable Due																													
/	Activity not started																													
U	Unknown																													
STEP 3 - IMPLEMENTATION AND TRACKING PROGRESS																														
2011				2012				add years as needed				FIP PROCESSES UNDERWAY (FIP workplan is being implemented)						FIP DELIVERING IMPACTS (e.g., policies changed, fishing practices changed)						FIP DELIVERING OUTCOMES (e.g., biomass increases, by catch reduced)						
												DETAILS OF PROGRESS (include source, e.g., website URL that provides evidence.)				Target Due Date	Date completed or reported	DETAILS OF PROGRESS (include source, e.g., website URL that provides evidence)				DETAILS OF PROGRESS (include source, e.g., website URL that provides evidence)								
Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1 2011	Q2 2011	Q3 2011	Q4 2011			Q1 2011	Q2 2011	Q3 2011	Q4 2011	Q1 2011	Q2 2011	Q3 2011	Q4 2011	Q1 2011	Q2 2011	Q3 2011	Q4 2011	
													Meeting held with Fishery managers to review stock assessment and new reference points to be used to set TAC																	
													Science-based rebuilding plan drafted																	

¹Prior to March 2012: green = expected progress being made (i.e., meeting specified timeline for this activity); yellow = progress is below expectation (i.e., not meeting specified timeline for this activity); and red = inadequate progress.

Appendix VIII:
FIP Review Meeting Agenda Template

FIP Review Meeting Agenda Template

[NAME OF FISHERY]

Fishery Improvement Project (FIP) Review Meeting

[LOCATION]

Day 1: [DATE]

Time	Activity / Topic	Lead
9:00 – 9:15 a.m.	Welcome and Overview	FIP Facilitator
9:15 – 9:30 a.m.	Introductions	All
9:30 – 9:50 a.m.	Marine Stewardship Council overview ¹	MSC or Consultant
9:50 – 10:15 a.m.	Overview of the FIP process ²	FIP Facilitator
10:15 – 10:25 a.m.	Break	
10:25 – 10:45 a.m.	FIP Action Plan MSC Principle 1: Stock Status ³	Consultant
10:45 – 12:00 p.m.	Presentations on activities conducted related to Principle 1 and progress achieved to date	Various
12:00 – 1:00 p.m.	Lunch	
1:00 – 2:45 p.m.	Presentations on activities conducted related to Principle 1 and progress achieved to date (cont.)	Various
2:45 – 3:00 p.m.	Break	
3:00 – 4:45 p.m.	Discussion on FIP Action Plan MSC Principle 1	Consultant
4:45 – 5:00 p.m.	Wrap-up of Day 1	

¹ To give background on the MSC certification process and standard, as well as convince the group WHY it is important to be able to meet the MSC standard (sustainability + retailer demand).

² Lays the groundwork for the meeting

³ Review of P1 performance indicators and estimation of whether pre-assessment scores have changed based on progress of FIP activities and reports/outputs completed.

Day 2: [DATE]

Time	Activity / Topic	Lead
9:00 – 9:15 a.m.	Review of progress	Consultant
9:15 – 9:45 a.m.	FIP Action Plan MSC Principle 2: Ecosystem Impact ⁴	Consultant
9:45 – 10:15 a.m.	Presentations on activities conducted related to Principle 2 and progress achieved to date	Various
10:15 – 10:25 a.m.	Break	
10:25 – 11:00 p.m.	Presentations on activities conducted related to Principle 2 and progress achieved to date (cont.)	Various
11:00 – 12:00 p.m.	Discussion on FIP Action Plan MSC Principle 2	Consultant
12:00 – 1:00 p.m.	Lunch	
1:00 – 1:30 p.m.	FIP Action Plan MSC Principle 3: Management and Governance ⁵	Consultant
1:30 – 2:30 p.m.	Presentations on activities conducted related to Principle 3 and progress achieved to date	Various
2:30 – 2:45 p.m.	Break	
2:45 – 3:45 p.m.	Discussion on FIP Action Plan MSC Principle 3	Consultant
3:45 – 4:45 p.m.	Review Work Plan and Next Steps for Action Plan	Consultant
4:45 - 5:00 p.m.	Wrap-up of Day 2	

⁴ Review of P2 performance indicators and estimation of whether pre-assessment scores have changed based on progress of FIP activities and reports/outputs completed.

⁵ Review of P3 performance indicators and estimation of whether pre-assessment scores have changed based on progress of FIP activities and reports/outputs completed.

Appendix IX:
Sample Activities List for FIP Coordinators

Sample Activities List for FIP Coordinators

Based on the experience WWF has gained from working on numerous FIPs, we have developed a list of activities typically performed by the FIP coordinator throughout the duration of a FIP:

- Coordinates with fishery stakeholders to ensure that FIP activities are being implemented as described in the FIP action plan, and meeting expected timelines:
 - Initiates regular communication with FIP stakeholders to ensure collaboration on the project
 - Shares information among and coordinate with other individuals/organizations involved in the FIP
 - Provides mentoring to various stakeholders, as required
 - Manages the budget on behalf of the local coordination office and monitors program expenditure
 - Participate in workshops and meetings, as required
 - Reports to and serves as liaison with the FIP facilitator and consultant (responsible for monitoring and evaluating progress of the fishery against the MSC standard)
- Conducts outreach as needed to stakeholders to garner and maintain support for the FIP:
 - Maintains regular contact with fishery stakeholders, including government, industry, and other NGOs to maintain a positive dialogue regarding funding for the FIP
 - Works to develop a Memorandum of Understanding (see Appendix IX) between the relevant stakeholders to ensure a funding and implementation commitment from stakeholders
- Works with stakeholders on implementation of specific activities, as needed
- Tracks progress of FIP activities:
 - Provides quarterly updates of FIP activities and related meetings to the FIP Manager using the FIP Tracking template (Appendix VII)
- Assumes responsibility for sub-granting or sub-contracting funds to the relevant organizations to support the implementation of FIP action plan activities

For the FIP stakeholder meeting and FIP review meeting, the FIP coordinator:

- Shares any relevant documents (for example, the FIP scoping document and current FIP Action Plan) with stakeholders before the meeting to prepare them for the meeting and to get them thinking about potential FIP strategies or new activities.
- Works with the FIP facilitator and other stakeholders to draft a list of participants as a means to ensure that all relevant stakeholders are included in FIP planning and implementation.
- Reviews and contributes to the agenda for the meeting so that participants have a clear understanding of what FIP meeting will address (see Appendix IV for a template agenda). The FIP facilitator should provide the first draft of the meeting agenda to the FIP coordinator.
- In coordination with the FIP facilitator, uses the existing FIP project flyer template (Appendix III) to develop an informational brochure for the FIP stakeholder meeting, and translate it into the local language. This will provide summary information on the FIP and ensure that participants have a clear understanding of the purpose and goals of the FIP stakeholder meeting.

- After the FIP facilitator and FIP coordinator have agreed on the participants for the meeting, the FIP coordinator will work with other fishery stakeholders to ensure that participants are invited and materials are sent to invitees.
- Translate presentations (if needed) in order to ensure all participants can contribute to the FIP meeting. Those who are presenting at the meeting (likely the FIP facilitator and the consultant) will send presentations in advance to the FIP coordinator, if presentations need to be translated.
- Print materials for the FIP meeting (translated, if needed). Materials for the FIP stakeholder meeting include the agenda, summary FIP scoping document, and FIP project flyer. Materials for the FIP review meeting include the agenda and the FIP Action Plan. Printouts of the presentation slides can be provided at meetings, as needed.
- Arrange logistics for the meetings, including meeting venue, hotel accommodations, travel arrangement for participants, etc.

Appendix X: MOU Template

Memorandum of Understanding for FIP Facilitator, FIP Coordinator, Government Entity, and Company

1) The Project. The Parties agree that the Project is a long-term endeavor that aims to result in the Marine Stewardship Council (“MSC”) certification of the [NAME OF FISHERY] fishery, and which consists of implementing environmental improvements in the [NAME OF FISHERY] fishery as outlined in the action plan that will be developed as part of the process outlined below (“The Action Plan”). Once the action plan is completed, each party to the MOU agrees to play a role in implementing the FIP as provided in the action plan, which is hereby incorporated into this MOU and which may be amended from time to time by written agreement by all the Parties. In carrying out their responsibilities, each Party may collaborate with consultants and fishery stakeholders as needed. [FIP FACILITATOR AND FIP COORDINATOR] will coordinate and manage the implementation of the FIP in collaboration with each party to the MOU. The Parties agree to attend in-person meetings as needed to ensure that the FIP is progressing in a timely and effective manner, and to ensure that deliverables are helping the fishery move towards the MSC standard.

The FIP for the [NAME OF FISHERY] fishery will be completed according to the following process:

STEP ONE – Scoping

During the scoping phase, the fishery’s performance is reviewed against the MSC standard and any other potential areas of concern in the fishery that have been identified. The scoping phase includes:

- A stakeholder mapping and engagement process: Use the stakeholder map to identify which parties make most sense to bring into the process. Who are the parties who will play an essential role in making improvements in the fishery (e.g. government representatives, industry (fishers, processors, exporters, etc.), environmental NGOs, the scientific community)?
- An MSC pre-assessment: To determine where the fishery falls short of the MSC standard. This assessment must be completed or audited by an individual who is familiar with the MSC’s Certification Requirements.
- A scoping document/white paper: A synthesis of the above-mentioned assessment and potential strategies the fishery could implement to increase its sustainability.

STEP TWO – Action Plan Development

Based on the scoping document, an action plan is developed that lists the activities that will help the fishery meet the deficiencies identified in the MSC pre-assessment. Action plans include:

- A list of activities
- Responsible parties: Organizations/people responsible for completing the specified activity.
- Timeframes: An estimate of the timeframe needed to complete each activity (e.g., < 6 months, 6 – 12 months, 12 months+).
- Metrics and Key Performance Indicators: to enable the FIP participants to track progress, or lack thereof, over time and to communicate about the changes.
- An associated budget: In which costs and funding opportunities are identified as appropriate. There are generally two sets of costs: (1) process costs (e.g. costs associated with developing the scoping document, holding stakeholder meetings, developing the action plan), and (2) implementation costs (e.g. costs for the fishery to actually make changes).

STEP THREE – Implementation and Tracking Progress

The implementation phase includes:

- Implementing the action plan.
- Tracking and reporting on progress. Progress should be reported publically every three to six months according to the objectives and timeline outlined in the action plan. Additional reporting may occur if significant milestones are met in the interim.
- Tracking of implementation is a work in progress. Our goal with regard to tracking is to ensure FIPs adhere to the definition above, is consistent with the milestones laid out in the action plan, and the work is as transparent as possible. This will include a move to make pre-assessment public moving forward. Further we will aim to track progress so that we can credibly and publicly report:
 - o The actions taken by the FIP to encourage improvements;
 - o The impact of these actions, in terms of changes in fisheries policy, management or fishing practices;
 - o The results on the water.

2) The Parties' Roles and Responsibilities.

- i. [FIP FACILITATOR AND FIP COORDINATOR] shall:
 - (a) manage the implementation of the Action Plan, the Project, and the FIP; and
 - (b) monitor and review FIP progress and how the fishery is advancing towards being able to meet the MSC standard. [FIP FACILITATOR AND FIP COORDINATOR] may choose to engage one or more consultants familiar with the MSC Certification Requirements to aid in the annual review of progress and deliverables.
- ii. [COMPANY NAME] shall:
 - (a) within the timeframe specified in the Action Plan, take a leadership role in organizing and implementing activities and roles assigned to "Industry" in the Action Plan, and any activity assigned specifically to it should the Action Plan be amended;
 - (b) cooperate in good faith with the other Parties' efforts and activities under this MOU, including but not limited to providing such documents, information, and materials as they may reasonably request to further the purposes of this MOU; and
 - (c) provide financial support as specified below.
- iii. [GOVERNMENT ENTITY] will:
 - (a) within the timeframe specified in the Action Plan, implement all activities assigned to [GOVERNMENT ENTITY] in the Action Plan;
 - (b) reasonably cooperate with, and engage as appropriate and as specified in the Action Plan, the other Parties in carrying out the purposes of this MOU; and
 - (c) allocate resources to the Project as specified below.

3) Agreed-Upon Principles. The Parties agree to the following principles in carrying out their respective roles under this MOU: a FIP is defined as a multi-stakeholder effort to improve a fishery. FIPs are unique because they utilize the power of the private sector to incentivize positive changes in the fishery towards sustainability. FIP participants may vary depending on the nature of the fishery and the FIP, and may include stakeholders such as producers, NGOs, fishery managers, government, and members of the fishery's supply chain. The ultimate goal of a FIP is to have the fishery performing at a level consistent with an unconditional pass of the MSC standard. Additionally [FIP FACILITATOR AND FIP COORDINATOR] will encourage the fishery to become MSC certified once they are performing at a level consistent with the standard, but recognize that we will not always be able to control this outcome. Additionally we recognize that for some fisheries performance at a level consistent with the MSC standard is a long-term goal.

Characteristics of a FIP must include:

- A FIP must draw upon market forces, which might include suppliers, retailers, food service, fishing industry etc., to motivate fishery improvements.
- An action plan with an associated budget (see description above and action plan template attached)
- Explicit willingness from FIP participants to make improvements (e.g., a signed MOU, email correspondence stating a commitment, etc.).
- Willingness from FIP participants to make the investments required to make improvements as outlined in the work plan and budget.
- A system for tracking progress (see above).

In order to gain public recognition for moving towards sustainability, a FIP must also:

- Aim to improve a fishery so it will meet or exceed the MSC standard.
- A completed scoping document (see description above) completed by a third party familiar with the MSC Certification Requirements.
- A system for tracking progress against MSC standard at the indicator level (see above).
- Include active participation by supply chain companies, at a minimum local processors and exporters.

Contributors

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WWF Mesoamerican Reef	WWF Vietnam
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