

Towards consistent standards for Australian fisheries management

FRDC Project 2015-203

Update No. 1
February 2016

This two year project will run until October 2017. The project was developed in consultation with the Australian Fisheries Management Authority and State fisheries agencies. The idea of a standard for fishery management has been under discussion within fisheries agencies for some time and is consistent with broader directions in government and expectations in the community.

Project Team: Alistair Hobday, Rich Little, Cathy Bulman, Tony Smith, Shijie Zhou, Linda Thomas, David Smith (CSIRO); Caleb Gardner, Emily Ogier (IMAS); Nick Rayns (AFMA); Sevaly Sen (Consultant); Sean Sloan (PIRSA)

Steering Committee: Neil MacDonald (NMAC), Heather Brayford (WA Fisheries), JoAnne McCrea (WWF), Ilona Stobutzki (ABARES)

Project Objectives (updated Dec 2015)

1. Review existing and emerging guidelines and standards as they relate to fisheries management agencies
2. Compare current management systems including regulatory frameworks, policies and guidelines across all Australian fishery management jurisdictions
3. Identify options and develop a national set of guidelines for fisheries management in Australia
 - Test these guidelines for the Commonwealth (AFMA) and two states (South Australia, Tasmania)

Progress to date

At the first project meeting held in November, the team scoped the landscape of related projects to identify synergy (see Figure 1); worked to understand and develop definitions of standards, benchmarks and guidelines; reviewed market place trends and discussed the implications of all of these on Australian fisheries. The meeting brought out differing views on project scope and on what type of standard would be developed.

One of the main discussion points was the difference between a *product* standard, and a *process* standard. There was broad agreement that there are many fishery product standards, applicable to a range of fisheries (less so for small-scale, low-value, data-deficient fisheries), but there are fewer process standards relating to how fisheries are managed.

Further clarification also resulted in the definition of terms where

A **standard** is a published document established by consensus and approved by a recognized body that provides for a common and repeated use rules aimed at achieving optimal order.

- Standards can be audited, may be voluntary or legislated.
- Developing a Standard is a two – five year major consultative process.
- A Publicly Available Specification (PAS) is a fast track process and may be a precursor to establishing a standard.

A **guideline** is a “weak” standard, that cannot be independently audited.

A **benchmark** defines equivalence between standards, and is not audited against.

An **assessment tool**: is a way to assess the fishery/fishery management system and is based on standards and guidelines

As a result of this first meeting, the project team has reformulated the project need, objectives and deliverables. The project will focus on development of process guidelines for fisheries management.

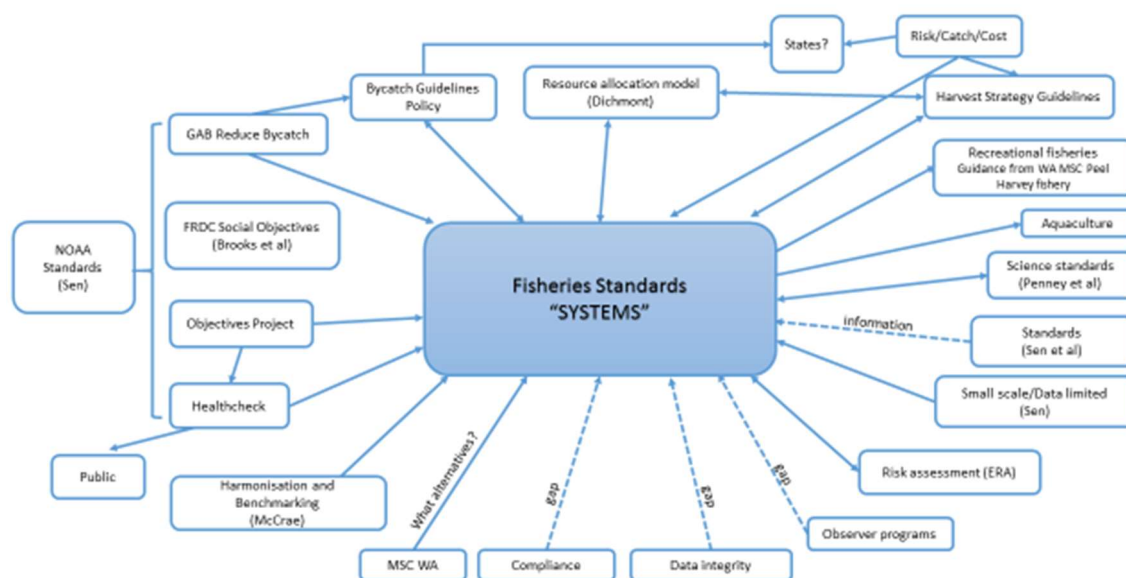


Figure 1 Project interactions identified to date – standards, assessments, and guidelines intersect with many existing projects, and understanding these synergies is critical.

Current focus of the project team

The next steps in the project are:

- Review relevant international and national practices, plans, guidelines and standards
- Develop a framework reflecting key elements of fisheries management - these are the potential areas of focus for a future set of guidelines
- Develop the project extension and communication plan
- Plan discussions with states and commonwealth senior managers

For further information, please contact Alistair Hobday, Alistair.hobday@csiro.au

Towards consistent standards for Australian fisheries management

FRDC Project 2015-203

Update No. 2
April 2016

This two year project will run until October 2017. The project was developed in consultation with the Australian Fisheries Management Authority and State fisheries agencies. The idea of a standard for fishery management has been under discussion within fisheries agencies for some time and is consistent with broader directions in government and expectations in the community.

Project Team: Alistair Hobday, Rich Little, Cathy Bulman, Tony Smith, Shijie Zhou, Linda Thomas, David Smith (CSIRO); Caleb Gardner, Emily Ogier (IMAS); Nick Rayns (AFMA); Sevaly Sen (Consultant); Sean Sloan (PIRSA)

Steering Committee: Neil MacDonald (NMAC), Heather Brayford (WA Fisheries), JoAnne McCrea (WWF), Ilona Stobutzki (ABARES)

Project Objectives (updated Dec 2015)

1. Review existing and emerging guidelines and standards as they relate to fisheries management agencies
2. Compare current management systems including regulatory frameworks, policies and guidelines across all Australian fishery management jurisdictions
3. Identify options and develop a national set of guidelines for fisheries management in Australia
 - o Test these guidelines for the Commonwealth (AFMA) and two states (South Australia, Tasmania)

Progress to date

Since the last update, we have been focused on the first objective: Review relevant international and national practices, plans, guidelines and standards and evaluate matches to management functions. The team has drafted descriptions of management functions, which also address a range of **compulsory and discretionary external conditions** or drivers:

- Compulsory – legislation (jurisdiction-specific fishery legislation, EPBC, safety, HSE, biosecurity), international obligations; and
- Discretionary – external seafood supply, technological changes, business structures, certification processes, industry expectations, social expectations, international trade, other marine uses, fishery-aquaculture blurring/stocking/enhancement, cultural practices

The **core management functions**¹ of fishery management agencies have been divided into four broad categories. In brief, these functions² are:

1. **Strategy and policy development (pre-operational; management design).** Policy development – These are the formal principals, which include objectives of fisheries management and access to fish, which guide State, Territory and Commonwealth governments with their Acts of Parliament and high level policies, and can include.

- 1.1 Resource sharing – The direct and deliberate distribution of a specified fisheries resource between identifiable, discrete user groups.

- 1.2 Research planning – Commissioned research by fisheries management authorities to support evidenced-based management.

- 1.3 Cost-recovery – An agreed proportion of the costs associated with fishery management, stock assessment, compliance and monitoring are recovered by government agencies from those who benefit directly.

2. Operational management

- 2.1 Compliance with regulations – Programs that seek to ensure that regulations are observed and illegal activity is minimised, community expectations are met and habitats are preserved.

- 2.2 Levying – Setting of levies and collection of funds from those who harvest the resource to help support management, research, compliance, prosecution, membership fees, access fees and special projects.

- 2.3 Implementation – Legal management plans, regulations, determinations and directions that dictate fishery wide measures.

- 2.4 Development of new fisheries – Commercial potential of previously unexploited fisheries through special management plans.

- 2.5 Data management – Identification, collection, storage and retrieval of relevant and useful information to support fisheries management.

- 2.6 Licencing – Authorisation of fishers to access the resource (fish/stock) consistent with relevant fisheries legislation, including issuing scientific permits, foreign fishing licences, permits under foreign fishing agreements and treaties.

- 2.7 Research delivery – Role of management agencies and stakeholders in planning and checking research into fisheries.

- 2.8 Management plans – Plans for management agencies that follow State, Territory and Commonwealth legislative requirements and international obligations.

- 2.9 Workforce management – The recruitment and retention of staff in a work environment that allows them to achieve their potential.

3 Performance management

- 3.1 Monitoring – Checking that the fishery, those who fish, managers and legislation are performing to expectations.

- 3.2 Review & improvement processes – The means of providing feedback on how the fishery, stakeholders and legislation are operating against various expectations.

¹ These functions are more fully described in a companion project summary.

² We recognise there are a number of cross-function processes that are explicit or implicit in each of the management functions, including, risk management, stakeholder engagement, trade-offs in decision making, processes of decision making, and development of performance indicators. It is likely that these processes will be relevant in many functions.

4 Communication

- 4.1 Reporting – Undertaken by agencies for the purposes of accounting for the status of fisheries resources, the performance of fisheries management, and for corporate governance requirements.
- 4.2 Communication – Undertaken by fisheries agencies to inform public and stakeholders of specific information.

Current focus of the project team

The next steps in the project are:

- Receive feedback from Steering Committee on the management functions document
- Review relevant international and national practices, plans, guidelines and standards and match these to the management functions
- Schedule discussions with state and commonwealth senior fishery managers

For further information, please contact Alistair Hobday, alistair.hobday@csiro.au

Towards consistent standards for Australian fisheries management agencies

FRDC Project 2015-203

Update No. 3
February 2017

This two year project will run until October 2017. The project was developed in consultation with the Australian Fisheries Management Authority and State fisheries agencies. The idea of a standard for fishery management has been under discussion within fisheries agencies for some time and is consistent with broader directions in government and expectations in the community.

Project Team: Alistair Hobday, Rich Little, Cathy Bulman, Tony Smith, Shijie Zhou, Linda Thomas, David Smith (CSIRO); Caleb Gardner, Emily Ogier (IMAS); Nick Rayns (AFMA); Sevaly Sen (Consultant); Sean Sloan (PIRSA)

Steering Committee: Neil MacDonald (NMAC), Heather Brayford (WA Fisheries), JoAnne McCrea (WWF), Ilona Stobutzki (ABARES – seeking replacement)

Project Objectives

1. Review existing and emerging guidelines and standards as they relate to fisheries management agencies
2. Compare current management systems including regulatory frameworks, policies and guidelines across all Australian fishery management jurisdictions
3. Identify options and develop a national set of guidelines for fisheries management in Australia
 - o Test these guidelines for the Commonwealth (AFMA) and two states (South Australia, Tasmania)

Progress to date

Objective 1: The project team has now finished the review of relevant international and national practices, plans, guidelines and standards. The goal of this review was to seek example descriptions of the management functions for fisheries agencies. These functions were listed in Project Update 2, and revised following feedback from our steering committee following this last update. The list of functions can be considered 90% “complete”, and the groupings and inclusion of functions will be revisited again as Objective 2 and 3 are completed.

Objective 2: We have identified an extensive set of regulatory frameworks, policies and guidelines relevant to Australian fishery management jurisdictions – some 90 documents. We are in the process of matching these to the management functions identified in Objective 1, in order to determine the degree to which Australian fisheries agencies already have guidance or a requirement to address each of the functions. The next step is to discuss our matching with fishery managers in our test jurisdictions (Tasmania, Commonwealth, South Australia).

Objective 3: We have not yet developed a draft national set of guidelines for fisheries management in Australia. When this draft is complete, we test these guidelines for the selected Commonwealth (AFMA) and state (South Australia, Tasmania) fisheries. This test will be a desktop evaluation of how the agency guidelines would apply to each fishery. The Northern Prawn fishery is one nominated test case.

Current focus of the project team

The next steps in the project are:

- Schedule discussions with state and commonwealth senior fishery managers to complete objective 2.
- Select the test fisheries in discussion with fishery managers.

For further information, please contact Alistair Hobday, alistair.hobday@csiro.au

Towards consistent standards for Australian fisheries management agencies

FRDC Project 2015-203

Update No. 4

June 2017

This two year project will run until October 2017. The project was developed in consultation with the Australian Fisheries Management Authority and State fisheries agencies. The idea of a standard for fishery management has been under discussion within fisheries agencies for some time and is consistent with broader directions in government and expectations in the community.

Project Team: Alistair Hobday, Rich Little, Cathy Bulman, Tony Smith, Linda Thomas (CSIRO); Caleb Gardner, Emily Ogier (IMAS); Nick Rayns (AFMA); Sevaly Sen (Consultant); Sean Sloan (PIRSA)

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Project Objectives

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2. Compare current management systems including regulatory frameworks, policies and guidelines across all Australian fishery management jurisdictions
3. Identify options and develop a national set of guidelines for fisheries management in Australia, and test these guidelines for the Commonwealth (AFMA) and two states (South Australia, Tasmania)

Progress to date

Milestone Report 2 was delivered June 20, 2017. We summarise that progress here:

Objective 1 (achieved): Our international review of existing standards and guidelines against the 23 management functions has focused on guidelines and standards such as the FAO Code of Conduct and the Marine Stewardship Council standard. We completed an extensive compilation of more than 100 potentially relevant documents and undertook in-depth analysis of nine documents. Each document had relevance for between 10 and 20 of the 23 draft management functions. Each function was identified in between zero and 9 documents (**Table 1**). For example, no document contained guidance on Levying, while all nine addressed Stakeholder Engagement.

Objective 2 (achieved): We have completed a review of national fishery management documents that are used to guide fishery management agencies in Australia. We considered some 83 documents for each state and the Northern Territory. We then reviewed most of these documents (n=76) as many seemed potentially relevant to the 23 management functions. Of the 76 documents reviewed, each of the 23 functions was identified in between 5% (communication; workforce management) and 49% (licencing) of documents (**Table 1**). Individual documents identified fewer functions than the International documents, with between 1 and 17 of the 23 functions identified in single documents. Some states had particular gaps and we will discuss these at upcoming stakeholder meetings. The lower number of functions in each domestic document reflects the more specific nature of jurisdictional documents.

Table 1. Frequency of management functions identified in each of nine International fisheries management and 76 Australian jurisdictional management documents.

Category of Function	Management Function	Domestic	International
Cross cutting	Risk management	13%	67%
	Stakeholder engagement	17%	100%
	Trade-offs in decision making	9%	78%
	Process of decision making	16%	100%
	Development of performance indicators	12%	78%
	Uncertainty	9%	44%
Strategy & policy development	Legislation and policy development	13%	67%
	Resource sharing	12%	78%
	Research planning	13%	56%
	Cost-recovery	12%	44%
Operational management	Compliance with regulations	22%	67%
	Levying	17%	0%
	Implementation	16%	44%
	Development of new fisheries	8%	22%
	Data management	12%	67%
	Licencing	49%	22%
	Research delivery	8%	33%
	Management plans	12%	56%
Performance management	Workforce management	5%	11%
	Monitoring	9%	78%
Communication	Review and improvement processes	5%	56%
	Reporting	8%	44%
	Communication	5%	44%

Current focus of the project team

The next stage in the project is to address steps required for Objective 3. We will develop exemplars for each of the management functions, as represented in the International and Jurisdictional documents, and plan the structure and content of the Guidance Document (our main output for the project). These 23 functions may still be refined following synthesis and review by stakeholders and our steering committee.

We have scheduled initial discussions with fishery managers and policy experts responsible for management in Tasmania, South Australia, and Commonwealth fisheries (Project Step 4). Additional meetings will follow these three separate meetings scheduled for July, which will seek to:

- Describe the project and the draft 23 management functions and discuss their relative importance
- Review State/Commonwealth documents that we think reflect the importance of many of these the management functions and identify overlooked documents for the project team to consider.
- Determine if gaps in recognition of the functions (where they exist) are because they are not relevant, have been deliberately being ignored, are being addressed, or are considered issues for the future.
- Develop the design of the Australian guidelines (Project Step 5).
- Discuss how the case studies will be selected that will be used to test the use of the Guidelines (Project Step 6).

For further information, please contact Alistair Hobday, alistair.hobday@csiro.au

Best practice guidelines for Australian fisheries management agencies

[The project formerly known as: *Towards consistent standards for Australian fisheries management agencies*]

FRDC Project 2015-203

Update No. 5

Sept 2017

This two year project will run until December 2017. The project was developed in consultation with the Australian Fisheries Management Authority and State fisheries agencies. The idea of consistent guidelines for fishery management agencies has been under discussion within fisheries agencies for some time and is consistent with broader directions in government and community expectations.

Project Team: Alistair Hobday, Rich Little, Cathy Bulman, Tony Smith, Linda Thomas (CSIRO); Caleb Gardner, Emily Ogier (IMAS); Nick Rayns (AFMA); Sevaly Sen (Consultant); Sean Sloan, Belinda McGrath-Steer (PIRSA)

Steering Committee: Neil MacDonald (NMAC), Heather Brayford (WA Fisheries), JoAnne McCrea (WWF), Simon Nicol (ABARES)

Project Objectives

1. Review existing and emerging guidelines and standards as they relate to fisheries management agencies
2. Compare current management systems including regulatory frameworks, policies and guidelines across all Australian fishery management jurisdictions
3. Identify options and develop a national set of guidelines for fisheries management in Australia, and test these guidelines for the Commonwealth and States (August 2017: revised to include all states and the NT)

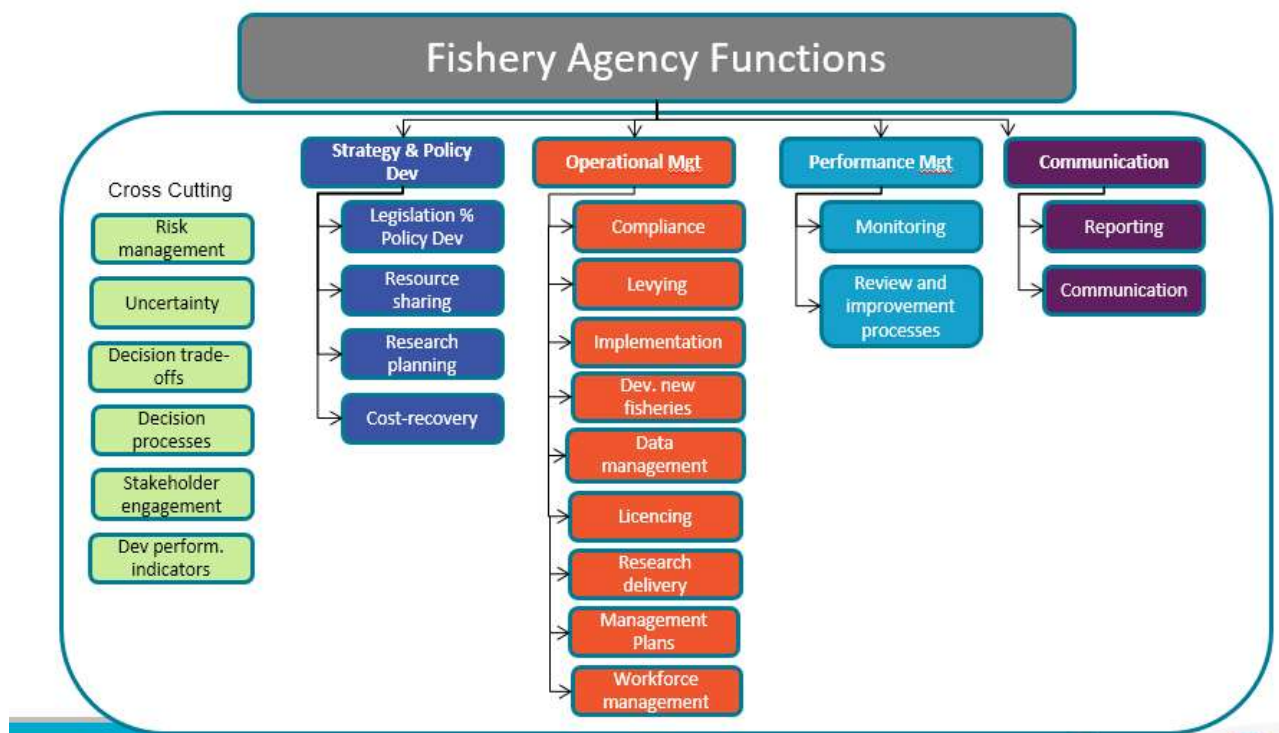
Progress to date

Milestone Report 3 was delivered September 6, 2017. Detailed progress against Objective 1 and 2 have been covered in previous Project Updates. We summarise recent progress here, focusing on Objective 3:

Objective 1 (achieved): Our international review of existing standards and guidelines against the 23 management functions has focused on guidelines and standards such as the FAO Code of Conduct and the Marine Stewardship Council standard. We completed an extensive compilation of more than 100 potentially relevant documents and undertook in-depth analysis of nine documents.

Objective 2 (achieved): We have completed a review of national fishery management documents that are used to guide fishery management agencies in Australia. We considered some 83 documents for each state and the Northern Territory. In discussion with agency staff, we have identified some additional documents to consider that will be included as part of case study activity (Objective 3).

As a result of project discussion and reviews as part of Objective 1 and 2, we propose that fishery management agencies consider the following as relevant functions (**Figure below**)



Objective 3 (underway): We have developed examples of exemplars for each of the management functions, as represented in the International and Jurisdictional documents, and are now discussing the structure and content of the Guidance Document (our main output for the project). These 23 management functions may still be refined following synthesis and review by stakeholders and our steering committee. During July and August, we held workshops with managers representing the Commonwealth, South Australia and Tasmania to discuss these functions, development of the Guidelines, and possible case study fisheries.

Current focus of the project team

In discussion with the jurisdictions, FRDC, and the steering committee, we have agreed to expand the coverage of the case studies (Objective 3) to include all Australian fishery jurisdictions. We are selecting the case studies to evaluate the Guideline functions, in partnership with the jurisdictions. These case studies will reveal the suitability of the functions we have identified. Methods for this evaluation are being developed by the project team. We also continue to:

- Review State/Commonwealth documents that we think reflect the importance of many of these the management functions and identify overlooked documents for the project team to consider.
- Determine if gaps in recognition of the functions (where they exist) are because they are not relevant, have been deliberately being ignored, are being addressed, or are considered issues for the future.
- Undertake workshops with additional jurisdictions to check and finalise each case study.
- Develop the design of the Australian guidelines (Project Step 5).
- Discuss the project with a range of stakeholders, including the AFMF and at Seafood Directions.

For further information, please contact Alistair Hobday, alistair.hobday@csiro.au

Best practice guidelines for Australian fisheries management agencies

[The project formerly known as: *Towards consistent standards for Australian fisheries management agencies*]

FRDC Project 2015-203

Update No. 6

May 2018

The project was developed in consultation with the Australian Fisheries Management Authority and State fisheries agencies. The idea of consistent guidelines for fishery management agencies has been under discussion within fisheries agencies for some time and is consistent with broader directions in government and community expectations.

Project Team: Alistair Hobday, Rich Little, Cathy Bulman, Tony Smith, Linda Thomas (CSIRO); Caleb Gardner, Emily Ogier (IMAS); Nick Rayns (AFMA); Sevaly Sen (Consultant); Sean Sloan, Belinda McGrath-Steer (PIRSA)

Steering Committee: Neil MacDonald (NMAC), Heather Brayford (WA Fisheries), JoAnne McCrea (WWF), Simon Nicol (ABARES)

Project Objectives

1. Review existing and emerging guidelines and standards as they relate to fisheries management agencies
2. Compare current management systems including regulatory frameworks, policies and guidelines across all Australian fishery management jurisdictions
3. Identify options and develop a national set of guidelines for fisheries management in Australia, and test these guidelines for the Commonwealth and States (August 2017: revised to include all states and the NT)

Progress to date

This two year project has now entered the final stage – consideration of the Draft Guidelines document by jurisdictions. A draft of this report was delivered to FRDC in December 2017, and has since been reviewed by our steering committee, as part of a six month process of improvement and revision.

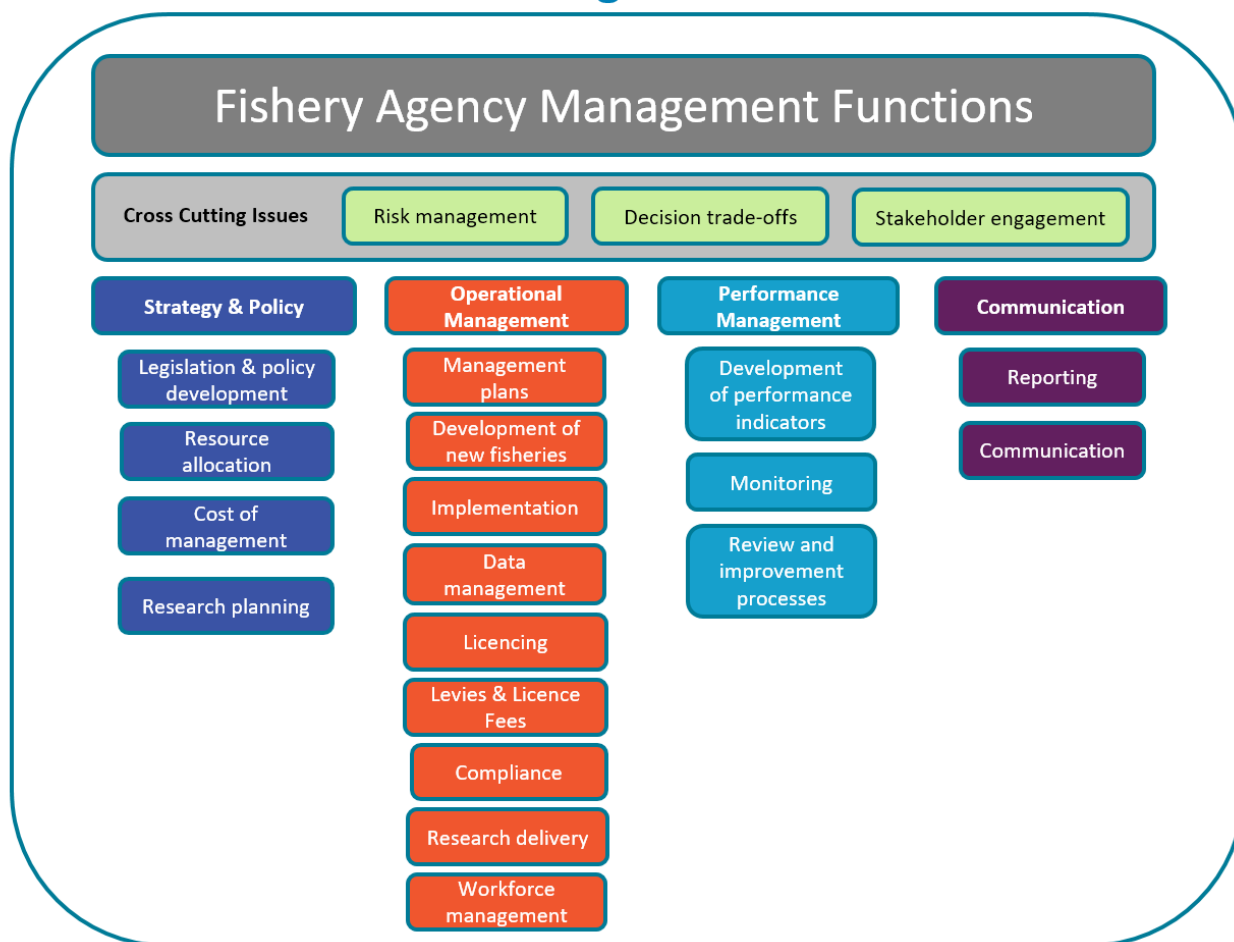
Objective 1 (achieved): Our international review of existing standards and guidelines against the proposed management functions (initially 23) focused on guidelines and standards such as the FAO Code of Conduct and the Marine Stewardship Council standard. We completed an extensive compilation of more than 100 potentially relevant documents and undertook in-depth analysis of nine documents.

Objective 2 (achieved): We completed a review of national fishery management documents that are used to guide fishery management agencies in Australia. We considered some 83 documents for each state and the Northern Territory. In discussion with agency staff, additional documents were included as part of case study activity (Objective 3).

Objective 3 (completed): We illustrate each of the management functions with representative exemplars, taken from the International and Jurisdictional documents. During July and August, we held workshops with managers representing the Commonwealth, South Australia and Tasmania to discuss these functions, development of the Guidelines, and identify possible case study fisheries. In October we held a workshop with representatives of Australian fisheries management jurisdictions and tested the Guidelines on one or two fisheries for each (total of 10 case studies). The functions were relevant to each of the jurisdictional case studies, regardless of attributes such as size, gear type, species or sector with between 14 and 20 applicable (summarised in the draft Guidelines). We have produced a draft Guidance Document (our main output for the project), which has now been reviewed by the steering committee and is ready for wider jurisdictional consideration.

As a result of project discussion and reviews, we propose that fishery management agencies consider the following 21 as relevant functions (**Figure below**).

Fisheries Management Guidelines



Current focus of the project team

- Offer the draft Guidelines for wider review, until November 2018.
- Agencies and the AFMF consider endorsement of these Guidelines

For further information, please contact Alistair Hobday, alistair.hobday@csiro.au