

Guidance Material on Fisheries

Project objective

- Preparing guidance material on auditing the government's management of fisheries resources and the related impact of fishing activities on the environment.

Project scope

The Guide will describe:

- Content and structure of the Guide and why audits on fisheries are important.
- Background information on the various sectors (sea and fresh water fisheries and aquaculture) and associated environmental issues.
- Definition of sustainability (considering the focus of possible audits: focusing on all aspects of sustainability (people, planet and profit) and on how to reach equilibrium between these aspects, or focusing on how to avoid/diminish the environmental threats of fisheries).
- Competing concepts of sustainability (e.g. in environmental legislation vs. other legislation).
- Unsustainable development practices.
- Related international environmental agreements.
- Public tools used by governments, such as physical land-use planning, resource management plans, regulatory programs and private sector oversight e.g. fisherman association involvement.
- Commercial/recreational/customary (indigenous rights, fishing, etc) dimension.
- Instruments
 - Legislation.
 - Treaties.
 - International –co-operation.
 - Overseas development assistance.
 - Stakeholder engagement (commercial interest, cultural and social/community based approaches).
 - Economic approaches.
- Importance and limitations of science.

Contact persons

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| Suggested Table of contents | | | |
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| Introduction | | 1.1 | Content and structure of document |
| | | 1.2 | Reasons why the WGEA develop a paper on fisheries (e.g How SAIs can make a difference on fisheries issues: Examples of fisheries audits for an overview from practice. |
| | | 1.3 | Importance of fisheries resources. Overview of the expansion of fishing activities over the years in oceans/seas and in fresh water. |
| | | 1.4 | Role of government in managing fisheries: national and international agreements/policy/goals and instruments; division of tasks government – private sector; Management systems, importance of managing and protecting fisheries. |
| <u>Chapter 1</u> Background on fisheries | | 2.1 | Tragedy of the Commons |
| | | 2.2 | Trends in world fisheries – sea and inland fisheries, aquaculture. |
| | | 2.3 | Challenges in maintaining sustainable fisheries: Subsistence to industrial fishing. Description of problems encountered by countries. |
| | | 2.4 | International, regional and national governance. Sustainable management of fisheries. Risks of sea and fresh water fisheries (overfishing, air and water pollution, destroying food chains/ecosystems, discards, destroying bottom life, threat to biodiversity, Aquaculture, etcetera); Growing international concern about fisheries sustainability and the impact on people. Methods of fishing. Definitions of fisheries. |
| | | 2.5 | Approaches used to managing different types of fisheries. |
| | | 2.6 | Lessons learned from past management approaches. |
| | | 2.7 | The ecosystem approach, understanding the broad ecosystem and socio-economic impacts of fishing decisions. |
| <u>Chapter 2</u> Choosing and designing audits of fisheries | | | (Copying the outline from the IWGEA biodiversity paper). Audit methodology, planning the audit, purpose of the audit of fisheries, etc. Step 1 - Identify the threats. Step 2 - Understand the government's response to these threats and the relevant players. Step 3 - Choose audit topics and priorities. Overview of different types of audits on fisheries that have been carried out. Examples will be collected by a survey among IWGEA members. Examples may include audits of one or more of the following issues, |

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| | | <p>depending on available information:</p> <ul style="list-style-type: none"> ➤ Implementation of the international legal framework, including international agreements (for example, the Law of the Sea, UN Fishing Agreement) ➤ Role played by international regional institutions (where shared resources are important). ➤ National legislative and policy framework, including legislative and fisheries objectives. ➤ National implementing institutions. ➤ Accountability (by fishers and those who manage the fishery) mechanisms. ➤ Socio-economic dynamics and links to social programs. ➤ Acquisition of knowledge through science and from traditional sources. ➤ Fish habitat protection (especially important to inland fisheries). ➤ Resource use decision-making – access and allocation. ➤ Monitoring, control and surveillance. <p>Enforcement</p> <p>A conceptual framework could be developed using a risk-based approach that would allow SAIs to include in the scope of their fisheries-related issues that most make sense for their situation.</p> <p>Step 4 - Decide on audit approaches, audit objectives and lines of enquiry.</p> <p>Step 5 – General considerations (use of experts, etc).</p> |
| Appendix 1 | | Potential methodological tool: Data gathering and analysis tool: This tool could be developed in an electronic format for distribution and use by SAI's. |
| Appendix 2 | | Potential methodological tool: Scoping methodological and tool: This tool could be developed in an electronic format for distribution and use by SAI's. |
| Appendix 3 | | WGEA resources |
| Appendix 4 | | Regional and international agreements and legislation |
| Appendix 5 | | List of audits of fisheries conducted by SAIs |
| Appendix 6 | | Articles |
| Appendix 7 | | Bibliography |
| Appendix 8 | | Acronyms and abbreviations |
| Appendix 9 | | Glossary |

Planned Methodology and participants

Throughout the process, we will seek to benefit from the experiences of relevant countries, projects and associations.

The sub-committee

Because of its wide range, the sub-committee will be an important and representative source of feedback within the INTOSAI organization.

- The following countries volunteered to be members of the sub-committee at the 11th meeting of INTOSAI Working Group on Environmental Auditing (WGEA) in Tanzania in June 2007: Bahamas, Botswana, Canada, Norway, The Netherlands and New Zealand.
- The sub-committee members will be invited to assist in determining the direction of the project and comment on the work plan. An email was sent to all sub committee members on 13 May 2008 requesting them to indicate how they will participate and contribute. The SAIs of Canada and Norway indicated the following:
 - Chapter 1: Canada, Norway and New Zealand.
 - Chapter 2: Canada takes the lead, in consultation with sub-committee members.
 - Appendix 1: Canada.
 - Appendix 2 and rest of appendixes: Canada will take the lead, but can be completed after Chapter 1 & 2 is finalised.
- They will also be asked to review and comment on draft documents and participate.
- SAIs to provide summaries of audits on fisheries.

How will the work be undertaken?

- The SAI of South Africa is the project leader.
- Sub committee members will provide input and support to the project leader based on expertise, availability and interest.
- Information may need to be solicited from other WGEA SAI's in the development of case examples. A survey among SAIs may be held to collect information from practice, suggestions about audit designs, criteria, practical problems that occurred and how they were solved, recommendations, communications, during and after audit, etcetera. One SAI (the leader preferably, in cooperation with the Chair) may distribute the questionnaire and collect the answers.
- Information will be gathered from literature, internet resources and other resources.
- A clear working plan and division of tasks at the beginning of the project is important, including a clear overview/clear appointments of timelines and time/effort during the project.

Responsibilities of different subgroups?

- A sub-group approach dividing the fisheries topic into different areas, with different sub-committee members involved.
- Sub-committee members will be solicited to determine their areas of expertise, availability and interest.
- Subcommittee members can contribute to the writing of chapters.

Communication

- The WGEA secretariat will be contacted informed on progress.

- Guidance material on Fisheries will be discussed in May 2008 when a draft of the Guide material will be presented at the 8th Steering Committee meeting.
- The Guide will be presented at the 13th meeting of the WGEA in June 2010.
- Email is preferred, because it is practical, quick and easy.
- In addition to that, more direct ways of communication are important, in case of complex decisions or complex information. Video conferencing (or other sophisticated means of communication by internet) may be an option when there is a risk of miscommunication or when email will take too much time.

Possible final output

Interim output:

- A rough first draft of the Chapters will be written during 2008/2009.
- Just in order not to re-invent the wheel, previous experiences/papers of the IWGEA are used as much as possible. The guidance paper on biodiversity can serve as an example.

Final output:

- The final output will be a document published under the WGEA in 2010.
- A final updated version will be available on the INTOSAI WGEA website in November 2010.
- The guidance materials will be published in English. It will be translated into other INTOSAI languages only if there are volunteers among the SAIs.

Timelines and key milestones

| Key milestones as indicated by the WGEA secretariat | Suggested additional actions and possible micro dates | Action | Date |
|---|---|--|-------------------------|
| | ✓ | All sub-committee members to provide the following information to the project leader: <ul style="list-style-type: none"> • Names of contact persons, email, telephone • Any information on the topic, such as audit reports, research reports, etc. (First step is to collect data for research) • Inputs on project plan (annexure A) • Suggestions for a framework/table of contents for guidance material on Fisheries. | 15 February 2008 |
| | ✓ | Project leader to consider inputs, clarify uncertainties/consult with sub-committee members, if | 16/2 – 16/3/2008 |

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| | | necessary, and finalise draft plan. | |
| 1 | | Final draft of project plan to Estonian Secretariat | 17 March 2008 |
| 2 | | Receive comments from Steering Committee | April 2008 |
| | ✓ | Project leader to obtain comments and finalise the plan | 20 April 2008 |
| 3 | | 7th Steering Committee meeting, Tallinn, Estonia: review and approve project plan | 6-9 May 2008 |
| | ✓ | Project leader to obtain comments and finalise the plan. | 20 May 2008 |
| 4 | | Final version of the project plan | 30 May 2008 |
| | ✓ | Consultation: Collect data for research, analyse and interpret research data. (Refer to planned methodology and responsibilities of sub-groups) | June to August 2008 |
| | ✓ | Consultation: Summarise and conclude on research. (Refer to planned methodology and responsibilities of sub-groups) | September 2008 |
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| | ✓ | Development: First draft of the guidance material. (Refer to planned methodology and responsibilities of sub-groups) | 1 January 2009 |
| 6 | | 12th WGEA, Doha, Qatar | January 2009 |
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| | ✓ | Progress report to WGEA secretariat | February 2009 |
| 7 | | Draft of the project to the secretariat | August 2009. Next meeting mid October. To confirm. |
| | ✓ | Incorporate inputs, if any. | November 2009 |
| 8 | | 8th Steering Committee meeting: review and approve the draft of the project | October 2009 |
| | ✓ | Development and consultation: Project leader to consider comments from Steering Committee, if any, communicate with sub-committee members, if necessary and finalise the project. | January/March 2010 |
| 9 | | Final draft of the project to the secretariat | April 2010 |
| 10 | | 13th WGEA meeting | June 2010 |
| 11 | | Final version of the project – translation, editing, printing, etc. | September 2010 |
| 12 | | INCOSAI XX | 15-20 November 2010 |