Friend of the Sea Standard

FOS - Wild Sustainable Fishing Requirements

Friend of the Sea
www.friendofthesea.org

REV	DATE	REASON	VALIDATION	APPROVAL
1	18/01/2013	First issue	Paolo Bray	
2	01/07/2015	Update	Paolo Bray	
3	30/09/2016	Standard update	Paolo Bray	
3.1	18/10/2017	Definitions and guidance to standard	Paolo Bray	

REV	DATE	REASON	APPROVED	VALIDATED	RATIFIED
4	18/03/2020	Standard update	Friend of the Sea Technical Committee	Accredia	Friend of the Sea Board of Directors

Valid from: 18/03/2020

Compulsory from: 18/03/2023

Foreword

Friend of the Sea is a non-governmental organisation established in 2008. Its objective is to safeguard the marine environment and its resources, encouraging a sustainable market and implementing specific conservation projects.

The Friend of the Sea certification program allows for the assessment of fisheries and aquaculture products according to sustainability criteria and requirements. The certification, granted following an audit by independent certification bodies, ensures that a product complies with the sustainability requirements.

Requirements are classified as Essential, Important or Recommendations, according to their level of importance.

Essential Requirements: The unit of certification shall be 100% compliant with essential requirements to be recommended for certification by the Certification Body (CB). Failure to comply with essential requirements is a major non-conformity. To achieve certification, corrective actions shall be implemented within three months from the date of assessment of non-conformities. Exclusively for the correction of requirements 2.1, 2.2, 3.1.1, 5.1.1b and 5.10.2 due to their more complex nature, six months are allowed. The unit of certification shall provide the CB with satisfactory evidence of correction of all major non-conformities, if necessary, with additional audits.

Important Requirements: Failure to comply with important requirements is a minor non-conformity. To achieve certification, the unit of certification shall first propose a corrective action plan within maximum three weeks from the date of assessment of the non-conformities - to the satisfaction of the CB. In the proposal, the unit of certification shall include the timeframe for the implementation of each corrective action, considering that all minor non-conformities must be closed before the surveillance audit. The proposal shall be analysed by the CB regarding its consistency and feasibility. If accepted, the certificate can be granted. Then, in the surveillance audit, the unit of certification shall be able to demonstrate that all minor non-conformities reported in the approved proposal were solved. If the approved proposal has not been fully implemented, the certificate is suspended until the resolution of any remaining minor non-conformities.

Recommendations: It is not compulsory for the unit of certification to comply with recommendations to achieve certification. Nonetheless, compliance with recommendations shall be verified during the audit and any non-conformities shall be highlighted in the audit report as a "recommendation". The unit of certification shall inform the CB, during the following audit, regarding any corrective measures implemented.

Requirements that are not applicable to the audited unit of certification will be marked with "N.A."

Description of the unit of certification

This document shall only be filled out by personnel of the CB in charge of the audit. It shall be filled out in English, if spoken fluently.

a) NAME OF THE UNIT OF CERTIFICATION TO BE AUDITED:

ALEX SEA FOOD (PVT) LTD

b) NAME OF THE UNIT OF CERTIFICATION REQUESTING THE AUDIT:

ALEX SEA FOOD (PVT) LTD

c) IS THE UNIT OF CERTIFICATION TO BE AUDITED PART OF A GROUP? IF SO, PLEASE SPECIFY THE NAME OF THE GROUP AND LIST ALL MEMBERS:

NO

d) ADDRESS OF THE UNIT OF CERTIFICATION TO BE AUDITED:

No. 100, Don David Mawatha, Kadirana (North) Kadirana, Sri Lanka

e) NAME AND CONTACT DETAILS OF THE PERSON AT THE UNIT OF CERTIFICATION RESPONSIBLE FOR THE AUDIT AND CONTACTS WITH THE AUDITOR:

Ms. Rashini Fernando +94 763 46 2338 (Executive – Quality Assurance)

f) FLEET TO BE AUDITED:

Name of the fishing vessel	*Registration number*	*Vessel's flag*	*Fishing method*	*Capacity (MT)*	*Unloading harbour*	*Ship owner, if different from "a)"*

Attach Approved vessel list.

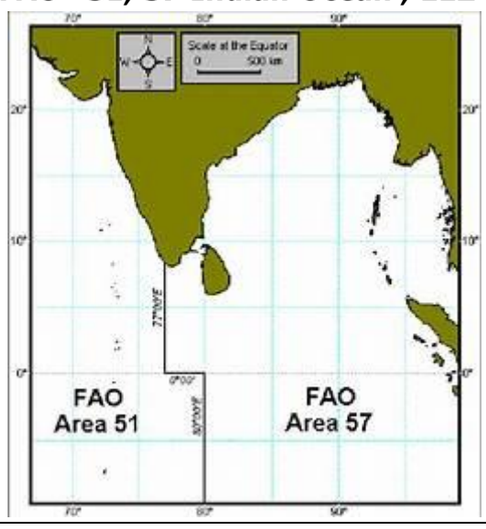
Alex Sea FOS BOAT LIST 2025 -PDF.pdf

g) VESSELS AUDITED ON SITE (the auditor shall list the vessels which have actually been audited on site as a sample representing the fleet)**:**

Name of the fishing vessel	Registration number	Unloading harbour
IMUL-A-0732 CHW	IMUL-A-0732 CHW	Dikowita
IMUL-A-0750 NBO	IMUL-A-0750 NBO	Negombo
IMUL-A-0758 NBO	IMUL-A-0758 NBO	Dikowita
IMUL-A-0974 CHW	IMUL-A-0974 CHW	Negombo
IMUL-A-0804 CHW	IMUL-A-0804 CHW	Dikowita

h)* FISHING ZONE** *(Coordinates and/or FAO area and/or subarea and/or ICES area and/or EEZ. If available, please include a map.)**:

FAO *–51, 57 Indian Ocean , EEZ Sri Lanka*



i) COMMON AND SCIENTIFIC NAME OF THE SPECIES TO BE AUDITED, WITH THE RESPECTIVE FISHING METHODS:

Common Name	Scientific Name	Fishing method
Yellow Fin Tuna	*Thunnus albacares*	Long Line
Swordfish	*Xiphias gladius*	Long Line

j) TOTAL NUMBER OF EMPLOYEES: 24

k) ENVIRONMENTAL CERTIFICATIONS AND AWARDS:

REQUESTED ENVIRONMENTAL PROTECTION LICENSE FROM THE CENTRAL ENVIRONMENTAL AUTHORITY, SRI LANKA
License requested on: 11.11.2025

l) STAKEHOLDERS INPUT:

i). The competent fishery management organisation (e.g. RFMO, national fishery management authority, etc.).

To. Ms. Sandamali Herath, Director – Quality Assurance, Department of Fisheries and Aquatic Resources,, Colombo, Sri Lanka, www.fisheriesdept.gov.lk +94112472192

ii). Fishing industry associations (e.g. shipowners or fishermen representatives, national or state seafood industry association);

To. Mr. Dilan Fernando, President of Seafood Exporter's Association, Sri Lanka www.seas.lk, +94777580371

iii). local NGOs with a focus on ocean conservation.": Not found.

m) ADDITIONAL INFORMATION:

Please specify the type of audit (initial, surveillance, additional, unannounced or recertification). In the case of multi-site audits, please specify also the method for calculation of sites inspected.

Initial *Audit conducted on site*

Registrar General of Companies of Democratic Socialist Republic of Sri Lanka incorporated **Alex Sea Food Pvt Limited** as a Private Limited Company (PV 18776) having complied with the requirements under the company's act # 7 of 2007 on 24th Juny 2010.

Department of Fisheries and Aquatic Resources of Sri Lanka licensed the Organization to operate as fish processing establishment under Gazette Extraordinary No. 1320/ 17 of 24.12.2003 on 27th March 2025 for one-year validity period. License No. DFAR/FPE/98/33

☑ **The Friend of the Sea project was introduced** *(If not, the auditor shall provide a short description).*

☑ **The unit of certification and the ship owners were informed of the opportunity, in case of approval, of using the Friend of the Sea logo on the certified products.**

☑ **The unit of certification has a document qualifying and confirming the roles of the staff carrying out the audit.**

☑ **The duration of the audit was agreed upon.**

☑ **The information included in the Preliminary Information Form (PIF) was confirmed** (in the case of changes to the PIF, an updated version has to be promptly provided).

<table>
<tr><td>CERTIFICATION BODY:
Bamber and Bruce Pvt. Ltd.</td><td>AUDIT TEAM:
Gamunu Wickramasekara</td><td>AUDIT START AND END DATE:
12.12.2025
15.12.2025
20.12.2025
25.12.2025
26.12.2025
27.12.2025</td></tr>
<tr><td rowspan="2">SIGNATURE OF AUDITOR:
 </td><td rowspan="2">NAME OF THE PERSON IN CHARGE OF THE UNIT OF CERTIFICATION AND ACCOMPANYING THE AUDITOR DURING THE AUDIT:
Ms. Rashini Fernando
+94 763 46 2338
(Executive – Quality Assurance)</td><td>AUDIT CODE:
BB/FOS/2025/088</td></tr>
<tr><td>TYPE OF AUDIT:
Initial audit</td></tr>
</table>

NOTES TO THE AUDITOR

1) The auditor shall fill out all fields in the checklist.

2) Checklist compilation guidelines are highlighted in the blue boxes.

3) The Auditor shall provide an explanation when requirements are not applicable.

4) The Auditor shall write YES when the unit of certification complies with a requirement and NO when it does not.

5) The Auditor shall comment and explain the positive or negative answers. Simple "YES," "NO," or "N.A." are insufficient.

6) Each relevant document shall be added to the final audit report in a separate and numbered attachment.

7) Photographic evidence added to the checklist or attached are appreciated.

8) After a revised standard come into effect, a transitional period of three years is given to the certified companies to come into compliance. After this transitional period, the revised standard is considered compulsory.

9) The application process is NOT discriminatory on size, scale, management, minimum number of operators and number of vessels involved.

10) Enhanced fisheries and enhancement activities are not applicable to this standard. Friend of the Sea has excluded enhanced fisheries and enhancement activities from its Wild Standard because, among other reasons, these practices imply human intervention in the natural biological cycles of aquatic species. Due to the lack of knowledge on the consequences of these practices on the environment, Friend of the Sea has decided to adopt a responsible approach.

11) The FOS Audit Guidance Version 2 provides guidance on the content of this document. Please review the following definitions: "*best scientific evidence available", "legal framework", "management objectives", "precautionary approach", "irreversible or very slowly reversible", "enhanced fisheries", "enhancement activities" "essential habitat", "ecosystem (structure, processes and function)", "recruitment overfishing", "resilience", "fishery management plan", "participatory",* "data (information): adequate, reliable, current", *"stock under consideration" and "management system".*

1 – STOCK STATUS

No.	Requirement	Level	Parameters and information	Y/N/ N.A.	Comments
1.1.1	The fisheries management organization or arrangement shall coordinate the collection and analysis of adequate, reliable and current data and/or other information necessary to assess the state and trends of the stock under consideration taking into account the structure and composition of that stock which contribute to its resilience. Management decisions made by the fisheries management organization or arrangement shall be based on this assessment. In data limited situations, with special regards to the deep-sea fisheries stocks in the high seas, a precautionary approach shall be applied. In these cases, it is required to the fishery to acknowledge and explain challenges in data collection and maintenance to cover all stages of fishery development, in accordance with applicable international standards and practices.	Essential	The fishery shall demonstrate it collects adequate, reliable and current data and /or information in accordance with applicable international standards (e.g. Coordinating Working Party on Fishery Statistics, the FAO Guidelines for the routine collection of capture fishery data, FAO Fisheries Technical Paper No. 382).	Yes	The stock of the species under the scope of certifications: Yellow Fin Tuna (Thunnus albacores), Sword Fish (Xiphias gladius), are managed by i). IOTC Stock Assessment, web site address: www.iotc.org ii). Department of Fisheries and Aquatic Resources, DFAR Sri Lanka. www.fisheriesdept.gov.lk Ministry of Fisheries and Aquatic Resources Development, Sri Lanka MFARD. www.fisheries.gov.lk & National Aquatic Resources Research and Development Agency (NARA) The Fishing area is FAO Zone 051 and 057. SCHEDULE OF STOCK ASSESSMENTS FOR IOTC SPECIES AND SPECIES OF INTEREST FROM 2024–2028, AND FOR OTHER WORKING PARTY PRIORITIES, and for other working party priorities available in IOTC web site. The latest Indian Ocean Tuna Commission (IOTC) yellowfin tuna stock assessment, released in 2024, indicates the stock is no longer overfished and is no longer subject to overfishing, a shift from previous assessments. This "green" status is a result of a 2021 rebuilding plan and a new assessment model, though the IOTC Scientific Committee advises caution and has postponed decisions on catch limits until further review. The latest Indian Ocean Tuna Commission (IOTC) swordfish stock assessment from 2023 concluded that the stock is not overfished and not subject to overfishing. It indicated that fishing mortality is below the level associated with maximum sustainable yield (MSY), and the stock is likely to remain in its current state if recent catches are maintained. A new assessment was conducted in 2023 using updated data up to 2023, with the Stock Synthesis model being selected for the scientific advice. **Alex Sea** also reviews the published data on all the species in the scope.
The fisheries management organization is an institution responsible for fisheries management, including the formulation of rules governing fishing activities. The fishery management organization may also be responsible for collection of information, its analysis stock assessment, monitoring, control and surveillance. ***FAO 1997: FAO Technical Guidelines for Responsible Fisheries.***					

1.1.2	The stock under consideration shall NOT be overexploited.	Essential	F ≤ Fmsy within probability range of available stock assessments or at least F ≤ Flim (limit reference point – or its proxy). If overfishing of a stock under consideration of a certified fishery occurs, the certification of this fishery is suspended or revoked.	Yes	 IOTC-2024-SC27-ES16_SWOE.pdf No new stock assessment was carried out for swordfish in 2024, thus the stock status is determined on basis of the 2022 assessment. Two models were applied to the swordfish stock (ASPIC and Stock Synthesis (SS3)), with the SS3 stock assessment selected to provide scientific advice (as done previously). An update of the JABBA model was also conducted during the WPB meeting. The reported SS3 stock status is based on a grid of 48 model configurations designed to capture the uncertainty relating to steepness of the stock recruitment relationship (0.7, 0.8, and 0.9), recruitment variability (two levels), CPUE series (2 options), growth (2 options) and weighting of length composition data (two options). A number of the options included in the final grid were selected from a range of additional sensitivity runs that were conducted to explore uncertainties. In considering the assessment results, the WPB has expressed concern over whether the Japanese longline CPUE index accurately represents the change in abundance in the north-western region, which may require further investigation. Further, the south-western region, which is one of the sub-regions used in the model, exhibits a declining biomass trend which indicates higher depletion in this region, compared to other regions. Overall, median spawning biomass in 2021 was estimated to be 35% (80% CI: 32-37%) of the unfished levels and 1.39 times (80% CI: 1.01-1.77) the level required to support MSY. Median fishing mortality in 2021 was estimated to be 60% (80% CI 43%-77%) of the FMSY level, and catch in 2021 (23,237 t) was well below the estimated MSY level of 29,856 t (80% CI: 26,319-33,393t). Taking into account the characterized uncertainty, and on the weight-of-evidence available in 2023, **the swordfish stock is determined to be not overfished and not subject to overfishing.** IOTC-2024-SC27-ES04_YFTE.pdf A new stock assessment was carried out for yellowfin tuna in 2024. The 2024 stock assessment was carried out using Stock Synthesis III (SS3), a fully integrated model that is currently used to provide scientific advice for the three tropical tunas stocks in the Indian Ocean. The model used in 2024 is based on the model developed in 2021 with a

					series of revisions that were discussed during the WPTT in 2024. The new model represents a marked improvement over the previous model available in 2021, as demonstrated using a number of statistical diagnostic analyses. These revisions addressed many of the recommendations of the independent review of the yellowfin stock assessment carried out in 2023. The model uses four types of data: catch, size frequency, tagging and CPUE indices. The proposed final assessment model options correspond to a combination of model configurations, including alternative assumptions about the selectivity of longline fisheries (2 options on size frequency data prior and post 2000), longline catchability (effort creep (0% and 0.5% per year)) and steepness values (0.7, 0.8, and 0.9). The model ensemble (a total of 12 models) encompasses a range of plausible hypotheses about stock and fisheries dynamics. A November 2024 assessment by the Indian Ocean Tuna Commission (IOTC) indicated that the stock's spawning biomass moved from "orange" to "yellow," and fishing mortality moved from "orange" to "green," which means the stock is no longer subject to overfishing and is no longer overfished. The latest available scientific reports from the Indian Ocean Tuna Commission (IOTC) estimate the Maximum Sustainable Yield (MSY) for yellowfin tuna (YFT) to be approximately 394,000 tonnes (with a confidence interval of 325,000–463,000 tonnes). The stock is currently considered to be no longer overfished and is experiencing a sustainable level of exploitation. provisional allocated catch limits for Sri Lanka 33,245MT. Sri Lanka YFT export quantity Approx. 2454MT in 2023. Sri Lanka Fresh or chilled yellowfin tunas exports by country | 2022 | Data (worldbank.org)

1.1.3	The stock under consideration shall NOT be overfished.	Essential	B ≥ Bmsy within probability range of available stock assessments or at least B>Blim (limit reference point – or its proxy). If the stock under consideration of a certified fishery becomes overfished, the certification of this fishery is suspended or revoked.	Yes	Yellow fin Tuna and Sword fish stocks are not overfished in Indian ocean. Sri Lanka fishery has implemented sustainability measures and fishery improvement plan as per IOTC resolution 20/01. The latest (2024) Indian Ocean Tuna Commission (IOTC) stock assessment for yellowfin tuna (YFT) determined the stock is no longer overfished and not subject to overfishing, with an 89% probability of being in a healthy state relative to the Bmsy (biomass at Maximum Sustainable Yield) and Fmsy (fishing mortality at MSY) reference points. Biomass (SB/SBMSY): The spawning stock biomass (SB) is estimated to be above the biomass level that can produce the maximum sustainable yield (SBMSY). The median estimate of the current relative biomass (SB2022/SBMSY) was 1.37 (with an 80% confidence interval of 0.91-2.15), indicating the stock was not overfished in 2022. There is an 89% probability that the stock is in the "green" zone of the Kobe plot (not overfished and not subject to overfishing). Indian Ocean swordfish stock is not overfished and not subject to overfishing. B/BMSY: The median spawning biomass in 2021 was estimated to be 1.39 times higher than the level required to support Maximum Sustainable Yield (MSY) (80% confidence interval (CI): 1.01-1.77). A ratio greater than 1 indicates the stock is not overfished.
The auditor shall take into account the best scientific evidence available and, in the case of data limited fisheries, shall consider the Precautionary Approach.					
1.1.4	The current status and management measures for the stock under consideration shall include data of bycatch, discards, unobserved mortality, incidental mortality, unreported catch, and catch of all the fisheries over the entire area of the distribution of the stock under consideration.	Essential	Documented evidence	Yes	**Sword fish** As 2023 executive summary, The 2021 catches (23,237t at the time of the assessment) were significantly lower than the estimated MSY level (29,856 t). Under those levels of catches, the spawning biomass was projected to likely increase, with a high probability of maintaining at or above the SBMSY for the longer term. There is a very low risk of exceeding MSY-based reference points by 2031 if catches are maintained at 2021 levels (<1% risk that SB2031< SBMSY, and <1% risk that F2021> FMSY). The projections indicate that an increase of 40% or more from 2021 catch levels will not likely result in the biomass dropping below the SBMSY level for the longer term (with a 15% probability). Catches in 2022 (23,597t) were still lower than the estimated MSY. Nevertheless, the Commission should consider monitoring the catches to ensure that the probability of exceeding the SBMSY target reference points in the long term remains minimal. Taking into account the differential CPUE and biomass trends between regions, the WPB noted that there is recurring evidence for localised depletion in the South Western region (which appears to be more depleted than other regions) and suggests this should be further monitored. Bycatch and Discards in Tuna fishing.pdf
1.1.5	The methodology, the results and the trends of the stock status assessment under consideration shall be made publicly available in a timely manner and based on the best scientific evidence available, respecting confidentiality where appropriate.	Essential	Documented evidence	Yes	The Indian Ocean Tuna Commission (IOTC) is the fishery organization responsible for the Stock Status assessment: Updates of Stock status data publicly available. Shedule_of_Assessme ntE.pdf Department of Fisheries and Aquatic Resources (DFAR) of Sri Lanka is the competent authority to submit reports and date to IOTC.

					IOTC-2022-SC25-NR25E_Sri_Lanka.pdf IOTC-2022-SC25-NR25E_Sri_Lanka.pdf

2 – ECOSYSTEM AND HABITAT IMPACT

No.	Requirement	Level	Parameters and information	Y/ N/ N. A.	Comments
2.1	Adequate, reliable and current data and/or other information are collected and updated at the level of the Fishery Management System, taking into account the best scientific evidence available, in order to make an assessment of the effects of the unit of certification on the ecosystem structure, function, processes and essential habitats for the stock under consideration and for habitats that are vulnerable to damage by the fishing gear of the unit of certification (with special consideration to deep-sea fisheries in the high seas and vulnerable marine ecosystems). This includes knowledge of the full spatial range of the relevant habitat, not just that part of the spatial range that is potentially affected by fishing and an assessment on non-target stocks, Endangered, Threatened and Protected (ETP) species, habitats and ecosystem services. The methodology and results of the likelihood and magnitude of adverse impacts of the unit of certification on the ecosystem shall be made publicly available in a timely manner, respecting confidentiality where appropriate. In order to assess severe adverse impacts[1] on dependent predators, data and information shall be collected considering the role of the stock in the food web, including all sources of fishing.	Essential	Data collection shall be in accordance with international standards (e.g. CWP and DSF in the High Seas, FAO Programme). The data and analysis may include any traditional, fisher or community knowledge used within the management system. [1]Severe adverse impacts can be regarded as those that are likely to be irreversible or very slowly reversible.	Yes	The Indian Ocean Tuna Commission (IOTC) is an intergovernmental organization that is responsible for the conservation and management of highly migratory fish stocks, such as tuna, in the Indian Ocean. The IOTC was established in 1996 and has four key functions and responsibilities, which are to keep under review the conditions and trends of the stocks, to gather, analyze, and disseminate scientific information, catch and effort statistics, and other data relevant to the conservation and management of the stocks and to fisheries based on them. The IOTC also cooperates with other organizations to promote sustainable development of fisheries based on such stocks . The IOTC has a number of measures in place to ensure the sustainable management of fish stocks. These include monitoring compliance with regulations, implementing port state measures, and establishing regional observer programs on transshipments. The IOTC also works with other organizations to improve the conservation of tuna and the management of fisheries. CONSIDERING the objectives of the Commission to maintain stocks in perpetuity and with high probability, at levels not less than those capable of producing their maximum sustainable yield as qualified by relevant environmental and economic factors including the special requirements of developing States in the IOTC area of competence; BEING MINDFUL of Article XVI of the IOTC Agreement regarding the rights of Coastal States and of Article 87 and 116 of the UN Convention of the Law of the Sea regarding the right to fish on the high seas; RECOGNIZING the special requirements of the developing States, particularly Small Island developing States in Article 24(b), of the Agreement for the Implementation of the Provisions of the United Nations Convention of the Law of the Sea of December 1982, relating to the Conservation and Management of Straddling Fish Stocks and Highly Migratory Fish Stocks (UNFSA); RECOGNIZING that, in accordance with the UNFSA, FADs under the competence of IOTC must be managed to ensure the sustainability of fishing operations and to avoid adverse impacts on the marine environment, preserve biodiversity, maintain the integrity of marine ecosystems and minimize the risk of long-term or irreversible effects of fishing operations; FURTHER RECOGNIZING the need to ensure that conservation and management measures do not result in transferring, directly or indirectly, a disproportionate burden of conservation action onto developing States, Article 24(c) of UNFSA; RECALLING that Article 5, of UNFSA entitles the conservation and management of highly migratory fish stocks are based on best scientific evidence available and with special reference to IOTC Resolution 15/10 for a stock where the assessed status places it within the red quadrant, and with an aim to end overfishing with a high probability and to rebuild the biomass of the stock in as short time as possible; FURTHER RECALLING that Article 6, of

					UNFSA and IOTC Resolution 12/01 “On the implementation of the precautionary approach”, requires the States to be cautious during the application of the precautionary approach when information is uncertain, unreliable or inadequate and this should not be a reason for postponing or failing to take conservation and management measures; CONSIDERING the recommendations adopted by the KOBE II, held in San Sebastian, Spain, June 23 – July 3 2009; implementing where appropriate a freeze on fishing capacity on a fishery by fishery basis and such a freeze should not constrain the access to, development of, and benefit from sustainable tuna fisheries by developing coastal States; FURTHER CONSIDERING the recommendations adopted by the KOBE III, held in La Jolla, California, 12- 14 Jul 2011; considering the status of the stocks, each RFMO should consider a scheme for reduction of overcapacity in a way that does not constrain the access to, development of, and benefit from sustainable tuna fisheries, including on the high seas, by developing coastal States, in particular Small Island Developing States, territories, and States with small and vulnerable economies; and Transfer of capacity from developed fishing members to developing coastal fishing members within its area of competence where appropriate; FURTHER CONSIDERING the concern of the 20th Session of the Working Party for Tropical Tuna held in Seychelles, 29 October – 3 November 2018, the change in strategy by increase of usage of FADs by the purse seine vessels to maintain catch level targets has led to a substantial increase of juvenile yellowfin tuna and bigeye tuna; NOTING THAT supply vessels contribute to the increase in effort and capacity of purse seiners and that the number of supply vessels has increased significantly over the years; https://iotc.org/sites/default/files/documents/compliance/cmm/iotc_cmm_2303.pdf SRI LANKA - The Sustainable Fisheries Partnership (SFP), a non-governmental organization committed to maintaining healthy ocean and aquatic ecosystems, has announced the formal launch of the Sri Lanka Fisheries Improvement Partnership (FIP). The FIP brings together resources and expertise to support the Seafood Exporters Association of Sri Lanka in their efforts to meet the international market sustainability requirements. Sri Lanka is a major exporter of tuna for European markets. However, some of the Indian Ocean tuna stocks are declining as a consequence of high fishing pressure. Companies are working together in the FIP to assure long term supplies of tuna and to maintain the health of the stocks and ecosystems. This is the first of several future FIPs on yellowfin and bigeye tuna in the Indian Ocean region that together will yield stock level improvements with a common set of expectations and rules for fisheries and markets alike. Commenting on the launch of the FIP, Seafood Exporters Association of Sri Lanka said: "The Seafood Exporters Association of Sri Lanka in collaboration with the importers of yellowfin tuna in the UK are commencing a FIP initiative with the guidance of SFP to enhance the management efforts of the Sri Lankan tuna fishery in order to ensure the sustainability of its resources for the

					benefit of Sri Lanka's future generations. "The Ministry of Fisheries and Aquatic Resources of Sri Lanka has expressed support for improvements via regulations such as banning all forms of purse seining restricting trawling, and adopting measures to curb IUU fishery within its EEZ" https://thefishsite.com/articles/new-sri-lanka-tuna-fip The Marine Pollution Prevention Authority (MPPA), was established in 1991 under the provisions of Marine Pollution Prevention (MPP) Act No 59 of 1981. It remained under the purview of the Ministry of Port and Shipping until 1994. The Act was repealed by the Marine Pollution Prevention Act No. 35 of 2008, which took into account the growing challenges in marine pollution prevention in Sri Lanka, due to global advancements and an increase in economic development activities. The act came into effect on the 1st of January 2009 and saw the change in the name of the Authority to the Marine Environment Protection Authority (MEPA) and is now under the purview of the State Minister of Coast Conservation and Low-Lying Lands Development. This act has strengthened the law enforcement capabilities of the Authority to deal with any act of marine environment pollution more effectively and efficiently.
2.2	The unit of certification complies with the Marine Protected Areas regulations.	Essential	Verify compliance also by use of Vessel Monitoring System (VMS) and plotters tracking and World database.	Yes	Ministry of fisheries issues the log sheets for each vessel. The log sheets have the latitude and longitude point. Location gets through the GPS. Fisheries Monitoring center (FMC) is a subdivision of the fisheries ministry. Live alerts 100% of vessels in Sri Lanka is having Vessel Monitoring Equipment (VME). If any crossing the EEZ and terming with VME. The auto generated emails about the Ministry audit is done once in two months for compliance of rules and regulations. The marine protected areas (MPA) are checked by the department of Fisheries and Ministries of Fisheries by VMS and FMC regularly. The list of protected areas mentioned on the website of the Ministry Department of Fisheries Aquatic Resource. **Key Marine Protected Areas in Sri Lanka** Hikkaduwa National Park: One of the first declared, protecting coral reefs and biodiversity. Pigeon Island National Park: Famous for its coral reefs and marine life. Kalpitiya (Bar Reef Marine Sanctuary): A large sanctuary important for dolphins and other marine megafauna. Ruumassala Sanctuary: Protects unique reef and coastal habitats. Adam's Bridge National Park: Protects unique marine ecosystems in the Mannar District. Wedithalathivu Nature Reserve: Another key protected marine area
The auditor, through random sampling, using the Satellite Control System on the vessels or valid alternative evidence, shall verify that the fishing activity is not carried out in infringement of Marine Protected Areas (MPA). Alternatively, an official declaration from local Control Authorities shall be produced. The Auditor shall provide a list of Protected Marine Areas in the area (refer to http://www.mpatlas.org/map/mpas/, where applicable).					

2.3	The unit of certification shall use fishing gears that do not affect the seabed, unless it is proved that such impact is negligible.	Essential	The auditor shall list all the gear types used by the applicant unit of certification and assess their impact on the specific type of seabed and its benthic communities.	Yes	Fishing is done by using the long line method. Using gill nets is also control by the department of Agriculture. The organization has a policy to buy only from long line vessel caught fish. Organization verify the fishing gears by random inspections of their registered boats. As known fact, no significant impact to the sea bed from high sea long line fishery. When consider about the impact of long line fishery on Sri Lanka's ocean, There is a fishery improvement project (FIP) for Sri Lanka's longline fishery that was launched in April 2017 to improve the biological and ecological status of the fishery. The FIP aims to maintain the status of the fishery at a level consistent with a sustainably managed fishery by implementing fishery-specific management measures in conformity with local, national, and international laws and regulations.
The Auditor shall collect conformity evidence.					

3 - GEAR SELECTIVITY

No.	Requirement	Level	Parameters and information	Y/N/N.A.	Comments
3.1	Accidental catches (bycatch) coming from the unit of certification shall not include species listed in the IUCN red list of endangered species as Vulnerable or higher risk. The IUCN assessment shall have been carried out no more than 10 years before.	Essential	Bycatch studies shall have been carried out by the relevant bodies (FAO or RFMOs or National Authorities or Universities) and they shall provide information regarding level of bycatch and bycaught species. These studies shall not indicate the presence of species vulnerable or higher risk among the regularly caught (over 0.25% of total weight) species according to www.iucnredlist.org.	Yes	Log sheets have all the details about the caught Now the department of fisheries has a dedicated wing for IUCN coordination with relevant govt. departments as well as updating the IUCN. The studies/monitoring and analysis is done department of Fisheries and publish data and submit to IOTC. Copies of log sheets were collected during harbor audits. IUCN red listed species were not evident in bycatch as accidental catch. Bycatch species / IUCN classificati Blue Shark (Prionace glauca) / LC Shortfin mako Shark / Endangered Manta Rays / LC Sail fish (Istiophorus platypterus) / LC Mahi Mahi (Coryphaena hippurus) / LC Marlin (Makaira spp.) / LC Escolar (Lepidocybium flavobrunneum) / LC The report titled "Review of the statistical data available for bycatch species" prepared by the IOTC Secretariat1. The report provides a review of the status of information available on non-targeted, associated, and dependent species of IOTC fisheries ('Bycatch') defined by the IOTC Scientific Committee as: "All species, other than the 16 species listed in Annex B of the IOTC Agreement, caught or interacted with by fisheries for tuna and tuna-like species in the IOTC area of competence. A bycatch species includes those non-IOTC species which are (a) retained (byproduct), (b) incidentally taken in a fishery and returned to the sea (discarded); or © incidentally affected by interacting with fishing equipment in the fishery, but not taken." The report summarizes the current information received for species or species groups other than the 16 IOTC species listed in the IOTC Agreement, in accordance with relevant Resolutions adopted by the Commission. It provides an overview of the data available in the IOTC Secretariat databases as of August 2021 for sharks, rays,

					seabirds, marine turtles, cetaceans, and other bycatch species. The document describes the progress achieved in relation to the collection and verification of data, identifies problem areas and proposes actions that could be undertaken to improve them. Another report titled “Report of the 17th Session of the IOTC Working Party on Ecosystems and Bycatch” which was held online from 6-10 September 2021 2. The report contains information on various topics including but not limited to: Review of the status of information available on non-targeted, associated and dependent species from IOTC fisheries Review of progress made in implementing conservation and management measures for sharks Review of progress made in implementing conservation and management measures for seabirds Review of progress made in implementing conservation and management measures for marine turtles Review of progress made in implementing conservation and management measures for cetaceans Review of progress made in implementing conservation and management measures for billfishes Review of progress made in implementing conservation and management measures for elasmobranchs Review of progress made in implementing conservation and management measures for deep-sea fisheries

3.2	The unit of certification collects and maintains adequate, reliable and current data and/or other information about its effects on endangered species, non-target catches and discards in accordance with applicable international standards and practices. It is required the monitoring and subsequent assessment of the extent to which non-target catches and discards by the unit of certification of stocks other than the stock under consideration threaten those non-target stocks with recruitment overfishing or other impacts that are likely to be irreversible or very slowly reversible.	Essential	Evidence of conformity	Yes	Log sheet is collected at the time of fish receiving to factory. Log sheet contains all accidental by catch details. Log sheets evident at the audit. Sri Lankan fisheries regulation (1996) is prohibited the caught of endangered species, non- target catch and discards. 02-1996_S - Fisheries act.pdf 27 of 2023 Fisheries act.pdf **Alex Sea** Quality Manager is reviewing relevant information published in FAO, IUCN, IOTC, and Sri Lankan official sites. https://iuufishingindex.net/ The Fisheries and Aquatic Resources Act No 2 of 1996 was the fisheries legislation limited for the Sri Lankan waters. This provided the legal basis for management, conservation regulation and development of fisheries and aquatic resources of Sri Lanka. This local legislation was strengthened by a series of regulations framed under the same Act. In a background of around 1600 multiday fishing boats engaging in high seas fishery it is very imperative to have local legislation compatible to international standards. However Sri Lanka is a signatory and have ratified a number of international conventions and agreements which pave the way to the legislation of fisheries in high seas, since 1982. it had not been brought them down to the local legislation. Instead, it was taken administrative measures to control and manage its high seas fleet. On the other hand, the international community with a view to ensuring the long-term sustainability of fisheries has adopted several international fisheries management agreements based on a new management measure called "Responsible fishing". Under these agreements a number of conservation and management measures have been adopted including measures to combat illegal, unreported and unregulated fishing (IUU fishing) in high seas. Sri Lanka being a Party to these agreements is bound to implement these conservation and management measures. Meanwhile in 2008 EU issued a Regulation (EC Regulation 1005/2008) requiring all countries exporting fishery products to EU to implement the conservation and management measures prescribed under the international agreements, particularly by the Indian Ocean Tuna Commission (IOTC) from January 2010. Considering the above situation and to fill the legal vacuum and comply with international obligation in high seas fishery an amendment to the Fisheries and Aquatic Resources Act No.2 of 1996 was introduced. Amendment Act No. 35 of 2013 (to incorporate international obligations) was approved by Parliament on November 2013 and 2nd amendment was incorporated to provide for enhanced sanctions (fines) in February 2015. Regulation empowering authority by the Minister under section 61 of the Fisheries Act allows to introduce regulations on following aspects to strength the legal provisions related to "Responsible Fishing" On the management of; 1. High sea fishing operations 2. Fish catch data collection 3. Fishing Gear Marking 4. Managing Vessel Monitoring and Fisheries Management Centre 5. Regulation on Port State Measures 6. Prohibition on vulnerable shark species. Currently Sri Lanka is fulfilled main legal requirements to a greater degree on "Responsible fishing" at high seas through the legal adoption.

					However it is an accepted fact that awareness is the key factor for implementing any management tool. Therefore, this publication by the Department of Fisheries and Aquatic Resources is prepared and distributed as a part of the Road Map to Revoke the EU fish Export Ban-2015, focusing on educating the stakeholders on available legal provisions and management measures on High Sea Fishing in Sri Lanka.
The auditor shall obtain records kept by the unit of certification of the species that are caught accidentally, and an assessment of the effects of the fishery on non-target stocks. The information included in the list shall be compared with the accidental catches actually occurred on site at the time of unloading. The list shall also be compared with the database of the IUCN red list www.redlist.org. The Auditor shall provide a final document that shows if any of the accidentally caught species is included in the IUCN list.					
3.3	The level of discard shall not be over 8% of total catch (in weight).	Essential	Discards are bycaught species, which are not used for human consumption nor for fishmeal or fish oil production.	Yes	Bycatch are used for human consumption in the form of either processed, Fish meal, fresh, dry fish, Fish oil. As per the witnessed Log sheets during the harbor audit and as reviewed records, no discarding species observed. As Casa Botas analysis, the % of discards are very lesser than 8% of total catch.
3.4.1	The unit of certification shall provide a census of the number of all fish aggregating devices (FADs) deployed per vessel during the previous 12 months. **Only applicable to fisheries and fleet targeting tuna. N/A to fisheries targeting any other species.**	Important	Auditor shall collect the data provided by the fleet or fishery and attach it to the audit report.	NA	No FADs used As per the rules and regulations described in the fish license, FADs are prohibited in the long line fishery. There is legal ban on use of FADs for Longline. This information is available at the DFAR website. The Sri Lankan govt. regulation is also listed country-wise at FAO website with regulations including on FAD. This is being monitored by the Sri Lankan coast guard. www.coastguard.gov.lk. Conditions for high seas fishing.docx

3.4.2	The unit of certification shall use non-entangling FADs only, to avoid entanglement of sharks, turtles and other non-target species. **Only applicable to fisheries and fleet targeting tuna. N/A to fisheries targeting any other species.**	Important	Auditor shall collect evidence including pictures of FADs, purchase invoices with technical specifications to prove compliance.	Yes	No FADs used in **Sri Lanka** long line fishery. Fish aggregating device (FAD) is an artificial object used to attract ocean-going pelagic fish such as marlin, tuna and dolphin fish when used with purse seine and pole and line fishing. Vessel skippers confirmed that they are not using FADs. Skippers were interviewed in this regard during the harbour audits.
3.4.3	Marking FADs and FAD components with ownership details, consistent with the Voluntary Guidelines for the Marking of Fishing Gear, adopted at the FAO's Committee on Fisheries (COFI 33). **Only applicable to fisheries and fleet targeting tuna. N/A to fisheries targeting any other species.**	Important	More information about Voluntary Guidelines for the Marking of Fishing Gear at this link: https://www.wcpfc.int/system/files/WCPFC_Gear%20Marking_FAO.pdf The auditor shall attach to the report at least one picture of markers as example.	Yes	No FADs used in Sri Lankan long line fishery. Conditions for high seas fishing.docx
3.4.4	Equipping all FADs with a tracking device and sharing real-time FAD location with relevant authorities. **Only applicable to fisheriesand fleet targeting tuna. N/A to fisheries targeting any other species.**	Important	Evidence of compliance, such as purchase invoices with technical specifications and maintenance records. If possible, the auditor can include pictures of tracking devices.	Yes	No FADs used in Sri Lankan long line fishery.
3.4.5	Recovering all deployed FADs and avoiding their deliberate abandonment. **Only applicable to fisheries and fleet targeting tuna. N/A to fisheries targeting any other species.**	Important	Evidence of recovering all deployed FADs, e.g. logbook.	Yes	No FADs used in Sri Lankan long line fishery.

3.4.6	Ensuring there is adequate storage space on boats/vessels for recovered FADs. **Only applicable to fisheries and fleet targeting tuna. N/A to fisheries targeting any other species.**	Essential	Verify that there is adequate storage space on boat/vessels for recovered FADs, collecting evidence through pictures that have to be attached to the audit report.	Yes	No FADs used in Sri Lankan long line fishery.
3.4.7	Reporting of lost FADs with date, time and last known position to relevant authorities. **Only applicable to fisheries and fleet targeting tuna. N/A to fisheries targeting any other species.**	Essential	Verify the existence of a logbook where reported cases of loss and attach to the audit report at least one example.	Yes	No FADs used in Sri Lankan long line fishery.
3.5	Shark finning is prohibited.	Essential	Procedure and evidence of conformity: site inspection and interview. The unit of certification shall declare that they do not practice shark finning.	Yes	Shark finning is the practice of removing a shark's fins and dumping the rest of the body at sea. It's important to remember that shark finning happens at sea. Fishermen or dealers who remove fins after bringing the whole shark to shore are not "finning" sharks. They are sustainably selling all parts of the shark. The Shark Fisheries Management Regulations, 2015, prohibit removing the fins of any shark caught by a local fishing boat and discarding the carcass of such shark of which fins have been removed. Additionally, no person engaged in fishing operations in Sri Lanka waters shall catch any shark of the species specified in the Schedule hereto except for the collection of museum, biological sampling for taxonomic study, and research purposes Shark Fisheries Management Regulations, 2015. | UNEP Law and Environment Assistance Platform

3.6	Turtle excluder devices (TEDs) are in place and subjected to periodic maintenance. **Only applicable to trawler fisheries and fleets targeting shrimps.**	Important	The unit of certification shall have appointed at least one employee to monitor the functioning and maintenance of TEDs. The auditor shall collect evidence of compliance, such as purchase invoices with technical specifications and maintenance records. If possible, the auditor can include pictures of TEDs.	NA	Not Applicable **Alex Sea** is not in shrimp targeting.
3.7	The unit of certification shall use circle hooks. **Only applicable to fisheries and fleet using pole and line and long line fishing methods.**	Recommendation	Evidence of conformity	Yes	The Indian Ocean Tuna Commission (IOTC) has established rules and regulations for the use of circle hooks in tuna fisheries. The IOTC defines a circle hook as a hook with the point being at least 90° from the shank. The IOTC has also published revised compliance assessment criteria for its rules of procedure in 2023. Supply vessels use circular hooks only. In Sri Lanka, circle hooks are essential for longline tuna fishing, especially for big game and conservation, as their design (inline, non-offset) catches fish in the jaw corner, preventing deep gut-hooking, reducing bycatch, and making them great for catch-and-release of species like tuna and marlin.

4 - LEGAL CONFORMITY

No.	Requirement	Level	Parameters and information	Y/N/ N.A.	Comments
4.1	All fishing vessels shall be officially registered.	Essential	Vessel registration and fishing license inspection.	Yes	All fishing Vessels are registration under the department of fisheries and Aquatic resources in Sri Lanka. Department of fisheries issues a list of IUU vessels to all processors and exporters. Website link: www.fisheriesdept.gov.lk Documents witnessed during harbor audit.
The Auditor shall request a list of all the fishing boats and the respective registration number. The Auditor shall collect on site all the documents concerning the registration of at least 10%of the audited boats (copies of photos of the documents).					
4.2	The fleet does not include vessels with a flag of convenience.	Essential	The auditor shall verify that each vessel is not registered to another Nation identified as Flag of Convenience. Please refer to: https://www.itfseafarers.org/foc-registries.cfm	Yes	Verified all the vessels from where the fish is purchased are not present in the list as per, http://www.itfseafarers.org/foc-registries.cfm The Master list of vessels is available. There are daily updates also as per the IUU list conveyed by DFAR. Sri Lanka has been declared FOCs by the ITF's Fair Practices Committee (a joint committee of ITF seafarers' and dockers' unions), which runs the ITF campaign against FOCs: https://www.itfseafarers.org/en/focs/current-registries-listed-as-focs

4.3	The fleet does not include illegal, unreported, unregulated (IUU) fishing vessels.	Essential	The auditor shall verify that the vessels are not listed in EU IUU vessel list (https://eur-lex.europa.eu/legal-content/EN/TXT/?uri=uriserv%3AOJ.L_.2015.199.01.0012.01.ENG), or in the IUU vessel list made available by the competent RFMO.	Yes	The FAO International Plan of Action to Prevent, Deter and Eliminate Illegal, Unreported and Unregulated Fishing (IPOA-IUU) defines IUU fishing as foreign vessels fishing without permission in waters under the jurisdiction of another state, violating national and/or international laws and regulations of the relevant fishery or of a regional fisheries management organization (RFMO), or vessels flying the flags of states violating the conservation and management measures of a fishery. Sri Lanka has prepared and implemented a national plan of action in line with the FAO's international plan of action to prevent, deter, and eliminate IUU fishing. The country has also launched a vessel monitoring system project to improve international compliance and strengthen maritime security. Recently, Sri Lanka brought in new legislation to tackle IUU fishing. The new law allows for the skipper of a boat and any person onboard to be charged for IUU fishing in addition to the boat owner. Department of fisheries issues a list of IUU vessels to all processors and exporters twice a day by email. **Alex Sea Food Pvt Ltd** verifies the list with their boat list before receiving fish
4.4	The fleet shall be "Dolphin Safe" approved by the Earth Island Institute. **Only applicable to fisheries and fleet targeting tuna. N/A to fisheries targeting any other species.**	Essential	The unit of certification shall be included in the Dolphin-Safe list of the Earth Island Institute: www.dolphinsafetuna.org	Yes	**Alex Sea** is connected to having communications with Earth Island Institute to renew the certificate.
The Auditor shall verify conformity on the latest list of approved Dolphin Safe companies and/or importers, brokers, and retailers. A copy of the signed EII DS Policy shall be included in the audit report.					
4.5	The unit of certification complies with local, national and international fisheries regulations. In particular, based on the best scientific evidence available, compliance with the following regulations has to be confirmed and verified:	Essential	Countries' fisheries laws are available on the FAO website: http://www.fao.org/faolex/en/ **The auditor shall specify applicable indicators.**	Yes	The organization complies with national fisheries regulations. The organization also audited by department of fisheries for compliance of fisheries regulations. The organization also has been approved and license by department of fisheries for seafood processing.

4.5.1	Total Allowable Catches (TAC).	Essential	Countries' fisheries laws are available on the FAO website: http://www.fao.org/faolex/en/ **The auditor shall specify applicable limits.**	Yes	2023 Sri Lanka allocated catch limit for yellowfin tuna calculated in accordance with Resolution 21/01 – 33,245 MT As available data in world bank below link; Sri Lanka Fish; yellowfin tunas (thunnus albacares), fresh or chilled (excluding fillets, livers, roes and other fish meat of heading no. 0304) exports by country | 2022 | Data (worldbank.org) Sri Lanka Fish; yellowfin tunas (thunnus albacares), fresh or chilled (excluding fillets, livers, roes and other fish meat of heading no. 0304) exports by country in 2022 Sri Lanka exports of Fish; yellowfin tunas (thunnus albacares), fresh or chilled (excluding fillets, livers, roes and other fish meat of heading no. 0304) was $41,317.86K and quantity 2,453,920Kg. Sri Lanka exported Fish; yellowfin tunas (thunnus albacares), fresh or chilled (excluding fillets, livers, roes and other fish meat of heading no. 0304) to France ($9,540.27K , 678,768 Kg), Israel ($8,437.03K , 399,001 Kg), United States ($6,455.04K , 419,611 Kg), Italy ($4,055.43K , 218,699 Kg), Germany ($2,594.97K , 118,912 Kg). Export to Other countries: 612 MT TOTAL EXPORT QUANTITY = 4,897MT Further; as Ministry of fisheries Annual statistical data report page 56; Table 6.8: Quantity of Tuna Exported by Countries; 2021 – Total quantity 9,936MT https://www.fisheries.gov.lk/web/images/statistics/annual_report/Fisheries_statistics_2022_compressed.pdf Fisheries_statistics_2022_compressed.pdf
4.5.2	Use of a logbook.	Essential	Countries' fisheries laws are available on the FAO website: http://www.fao.org/faolex/en/ **The auditor shall specify applicable indicators.**	Yes	Department of fisheries and aquatic resources of Sri Lanka issues the logbooks. The logbooks were verified during the audit. The fisheries logbook is one of the most vital parts of the fisheries management all over the world. The project aims at developing and demonstrating an operational, cost-effective and secure electronic transfer system that will convey logbook information to and between authority agencies in order to facilitate improved monitoring and control. The development and demonstration of the system involve the integration of existing on board and onshore systems, the testing of a common format for exchanging fisheries information between vessels and authorities, a security mechanism for transferring the data on shore as well as inspection facilities for performing a cost-effective on-board check. The system, in its final form, encompasses all the existing manually treated reports that the skipper has to fill in today, so as to facilitate their work by respecting the existing legislation on fisheries management.

4.5.3	Minimum net mesh size.	Essential	Countries' fisheries laws are available on the FAO website: http://www.fao.org/faolex/en/ **The auditor shall specify applicable indicators.**	NA	No nets used in fishing gears, using long line only.
4.5.4	Net size.	Essential	Countries' fisheries laws are available on the FAO website: http://www.fao.org/faolex/en/ **The auditor shall specify applicable indicators.**	NA	Gill nets are not being used as fishing gear, all are long line only.

4.5.5	Minimum legal size of the target species.	Essential	Countries' fisheries laws are available on the FAO website: http://www.fao.org/faolex/en/ **The auditor shall specify applicable indicators.**	Yes	Department of fisheries and aquatic resources technology has controlled the fishing methods and gear size to regulate the Size of the fish The same has been mentioned in the Fisheries license issued to the boat. There is no minimum legal size of the catch for species. However, the organization has company's internal policy to buy more than 18 kg Fish only. Factory Tuna >20kg, sword fish >20kg
4.5.6	Distance from the shore.	Essential	Countries' fisheries laws are available on the FAO website: http://www.fao.org/faolex/en/	Yes	The distance from the shore is 12 nautical mile-territorial and coastal fishing till the EEZ. The same has been mentioned in the Fisheries rule of the Sri Lanka. Vessels are having operating licenses according to the fishing areas. (i.e: EEZ license and High Seas license) Sri Lanka Exclusive Economic Zone (EEZ)-FAO 57. EEZ : 200 nm (Source: UNCLOS). Marine Environmental Protection Authority (Marine Pollution Prevention Act 35 of 2008)-Sri Lanka
4.5.7	Measures that minimize unwanted catch and discards, where appropriate.	Essential	Countries' fisheries laws are available on the FAO website: http://www.fao.org/faolex/en/ **The auditor shall specify applicable measures.**	Yes	Fishing method is deep sea long line and the depth is around 70m. **Alex Sea** is conducting training for skippers and boat owners regarding by catch reduction measures. Training records witnessed. **Last training was conducted on 23.05.2025.**
4.5.8	No fishing in protected habitats.	Essential	Countries' fisheries laws are available on the FAO website: http://www.fao.org/faolex/en/ **The auditor shall specify applicable indicators.**	Yes	Fishing in protected areas are being controlled by VMS at DFAR monitoring center.
4.5.9	Use of forbidden gear, chemical substances and explosives.	Essential	Countries' fisheries laws are available on the FAO website: http://www.fao.org/faolex/en/ **The auditor shall specify applicable indicators.**	Yes	Using long line only. Chemicals and explosives are prohibited by department of fisheries and aquatic resources. Before unloading coast guards are inspecting for these items.

The auditor shall verify, according to fisheries national and international regulations, that the aforementioned legal requirements are met and provide an exhaustive report with reference to the law. Where possible, the auditor shall provide documents and photographs. A detailed description of the fishing regulation concerning each Country is available on FAO's website http://www.fao.org/faolex/en/.

5 – FISHERY MANAGEMENT

No.	Requirement	Level	Parameters and information	Y/N/ N.A.	Comments
5.1.1a	The fishery management system of which the unit of certification is a part is managed under an effective legal framework according to a regularly updated Fishery Management Plan (FMP), at the appropriate level, and complies with local, national and international laws and regulations.	Essential	The Unit of Certification shall provide a copy of the FMP according to the Fishery Management System (FMS). In addition, national fishery ministries and authorities can be considered, e.g. Fisheries Management Organisations (FMOs). A map of existing RFMOs is available at http://www.fao.org/figis/geoserver/factsheets/rfbs.html	Yes	The Indian Ocean Tuna Commission (IOTC) is an intergovernmental organization that manages highly migratory (tuna and tuna-like) fisheries resources in the Indian Ocean. The primary objective of the IOTC is to promote cooperation among contracting members to ensure through appropriate management, the sustainable use of fishery resources. The Indian Ocean is the second-largest tuna fishery in the world, and the resources significantly contribute to food security and economic growth throughout the region1. The IOTC is responsible for reviewing the conditions and trends of the stocks of tuna and tuna-like fish, encouraging, recommending, and coordinating research and development activities, adopting conservation and management measures to ensure conservation of the stocks, reviewing the economic and social aspects of fisheries, bearing in mind the interests of developing coastal states. The IOTC has implemented species conservation and management measures to maintain and protect the sustainability of both target and non-target species, including Yellowfin tuna (Thunnus albacares), Skipjack (Katsuwonus pelamis), Southern Bluefin tuna (Thunnus maccoyii), Bigeye tuna (Thunnus obesus), Albacore (Thunnus alalunga), Striped marlin (Kajikia audax), Temperate and tropical tunas targeted by large scale industrial vessels and artisanal vessels throughout the Indian Ocean. The IOTC Area of Competence covers 45° south to 0° along the equator, and 80° to 150° east. It extends further throughout the Western Indian Ocean. Australia is a major coastal state within the IOTC Area of Competence. Australian fisheries target tuna and billfish in the IOTC Area of Competence Sri Lanka Fishery management is done by Department of fisheries and aquaculture resources. Which is the government authority for fishery management. Fishery regulations are updated by DFAR and organizations are alerted once published. COASTAL ZONE AND **FISHERIES MANAGEMENT** IN **SRI LANKA** www.fao.org › docrep › pdf http://www.fao.org/3/ad899e/AD899E10.pdf

5.1.1b	If the stock under consideration is a transboundary fish stock, straddling fish stock, highly migratory fish stock or high seas fish stock, a bilateral, sub regional or regional fisheries organization or arrangement is in place. States and entities in the arrangement shall collaborate in the management of the whole stock unit and bycaught or discarded species, over their entire area of distribution, with clear roles and responsibilities. The arrangement shall ensure the rights of the small-scale fishing communities are granted. In order to find out the potential effects of bycatch management and discard reduction measures, States shall also provide an assessment on livelihoods to ascertain the potential effects of their implementation and the support necessary to facilitate their uptake.	Essential	Evidence of conformity. In case this is not applicable, provide justification.	Yes	The IOTC-Indian Ocean Tuna commissioned at head quarter at Seychelles with 32 members including Sri Lanka and is mandated for sustainability of tuna in the Indian ocean. All the members gives input to IOTC on regular on Fisheries Management. Sri Lanka is involved in tuna resource management the establishment of the Indian Ocean Fishery Commission (IOFC) for the Management of Indian Ocean Tuna in 1968. Sri Lanka further strengthened its involvement in tuna management and scientific data collection with the shifting of the Indo-Pacific Tuna Project (IPTP) of the United Nations Development Programme (UNDP) from the Philippines to Colombo in 1982. Sri Lanka hosted the Project, with the Project Office located in the building of the National Aquatic Resources Agency (NARA), until it was wound up in 1990. Sri Lanka joined IOTC soon after the Draft Agreement for the Establishment of the Indian Ocean Tuna Commission was adopted by FAO in 1993, thus becoming a founder Member of IOTC by joining it in 1994. News from https://www.news.lk/news/business/item/974-18th-indian-ocean-tuna-commission-from-june-1-5

5.1.1c	The fishery management organization or arrangement convenes to update its management advice according to the most updated data and in a timely manner, with special consideration to deep-sea fisheries, adverse impacts on vulnerable marine ecosystems, bycatch management, reduction of discards and ecosystem structure, function and processes.	Essential	Evidence of meeting frequency.	Yes	Indian Ocean Tuna Commission (IOTC) updating its management advice. The link to the upcoming meetings page on the IOTC website https://iotc.org/meetings Upcoming meetings | IOTC The website provides information on the commission's upcoming meetings, including the dates and agendas. he IOTC has adopted a number of Conservation and Management Measures (CMMs), supporting the conservation of vulnerable species interacting with IOTC fisheries as bycatch. The adoption of a CMM represents the first step in management, however, it is vital to subsequently evaluate the effectiveness of these following implementation. The main overall aim of the bycatch CMMs is to minimize the fishery impacts on the species of concern, while the specific objectives are typically threefold, involving; (i) a direct reduction in mortality (often in the form of a retention ban or modification of gear/practices to reduce harmful interactions), (ii) improvements to data quality and (iii) research-related objectives. Mortality reduction Despite the lack of objectives for bycatch management in the IOTC Agreement, the IOTC has adopted a number of CMMs specifically developed for the management of non-target species, predominantly centered on non-retention with some avoidance and mitigation measures. For a non-retention measure to be effective in achieving a substantial reduction in mortality, discard survival rates must be high, i.e., low levels of at-vessel mortality (AVM) and post-release mortality (PRM) are required. Compliance levels must be relatively good and any fisheries that are exempt from the measures should not comprise a large component of the fishery for that species. This report attempts to estimate the likely level of mortality reduction achieved by the IOTC retention bans for bycatch species based on the information currently available. A literature review was undertaken to collate estimates of AVM, PRM and the proportion of landings taken by the artisanal fisheries. While AVM (0.12; 0.11-0.13 95% CI) and PRM (0.09; 0.02-0.17 95% CI) estimates are generally low for oceanic whitetip shark, the estimated overall reduction in mortality due to the retention ban is still fairly low due to the extremely high estimated proportion (59 %-65 %) of captures by artisanal fisheries (Murua et al. 2013; Garcia and Herrera, 2018) which are exempt from the CMM (Res. 13/06). For bigeye thresher shark the retention ban is expected to have even less impact due to higher AVM (0.21; 0.2-0.22 95% CI) and PRM (0.24; 0.13-0.37 95% CI) rates combined with similarly high proportion of captures by the artisanal fleets (57 %-64 %). This highlights the importance of considering all the factors contributing to the mortality of a population when evaluating a management measure. There are clear species-specific differences in survival rates which may make retention bans more appropriate for species such as oceanic whitetip, whereas for species with lower survival rates such as bigeye thresher, further work needs to be undertaken to sufficiently mitigate impacts. Nevertheless, when non-

					compliance and fishery exemptions are also taken into account, the overall estimated reduction in mortality due to non-retention measures for both oceanic whitetip (28-33 %) and bigeye thresher sharks (22-26 %) are low. https://www.researchgate.net/publication/356537418_Bycatch_management_in_IOTC_Fisheries (PDF) Bycatch management in IOTC Fisheries (researchgate.net)
The Auditor shall verify and describe briefly the legal and administrative structure of the fishery management system in force and provide the evidence of compliance with local laws and regulations. ***Small-scale fisheries are here intended as those using fishing craft with size < 24 m and engine <375 kW.*** ***Large-scale fisheries are intended as those using fishing craft with size ≥ 24 m, engine ≥375 kW, vessels with freezing facilities and/or factory vessels (i.e. ocean-going vessels with on-board facilities for processing and freezing).***					
5.1.2	The fisheries management system (FMS) under which the fishery or fleet under audit is managed shall be **both** participatory and transparent, including consultation with "responsible" deep-sea fishers, to the extent permitted by national laws and regulations.	Essential	Information and advice used in FMS decision- making is publicly available. A consultation process regularly seeks and considers relevant information. Consultation with Deep Sea fishers shall be carried out when applicable.	Yes	According to Recommendation 23/11 of the IOTC, the Commission promotes cooperation among its members with a view to ensuring, through appropriate management, the conservation and optimum utilization of stocks and encouraging sustainable development of fisheries based on such stocks. The IOTC Members can make decisions concerning the management of tuna and tuna-like resources, and their associated environment, binding on all Members and Cooperating non-Contracting Parties. The decision-making process of the IOTC is based on consensus among Member States or Parties. The Commission takes into account different views of Contracting Parties and Cooperating Non-Contracting Parties (CPCs) who must put all their efforts to find room for mutually satisfactory compromise and thus eventually reach consensus, including when adopting conservation and management measures. Regarding consultation with deep-sea fishers, it is carried out when applicable NOTING that it is a well-known and established practice for Regional Fisheries Management Organizations (RFMOs) that all decisions must be made by consensus of Member States or Parties; ACKNOWLEDGING that consensus is also an invaluable aspect of the decision-making process of the IOTC; ACKNOWLEDGING that any decisions by the Commission should fully take into account different views of Contracting Parties and Cooperating Non-Contracting Parties (CPCs) who must put all their efforts to find room for mutually satisfactory compromise and thus eventually reach consensus, including when adopting conservation and management measures; GRAVELY CONCERNED by the growing polarization shown in recent years among CPCs regarding some of the issues of great importance; FURTHER CONCERNED that continuation of this worrying trend has been seriously undermining work of the Commission and that it is being accelerated rather than slowing down; RECALLING that Article 8 of United Nations Fish Stock Agreement (UNFSA) provides that States should enter into consultations in good faith and without delay, particularly where

					there is evidence that the straddling fish stocks and highly migratory fish stocks concerned may be under threat of over-exploitation; Noting that the United the United Nations Food and Agricultural Organization (FAO) Code of Conduct for Responsible Fishing provides that States should cooperate in order to prevent disputes and all disputes relating to fishing activities and practices should be resolved in a timely, peaceful and cooperative manner; DESIRING to strengthen the cooperative spirit which CPCs have all been committed to since the commencement of the IOTC as well as their joining of the Commission to achieve conservation and optimum utilization of tuna and tuna-like species in the Indian Ocean; RECOMMENDS, in accordance with the provisions of Article IX, paragraph 8 of the IOTC Agreement, that: 1. CPCs are urged to cooperate and consult with each other in good faith and the spirit of cooperation to meet the objectives of the Commission as provided in Article V, paragraph 1 of the IOTC Agreement, recognizing the established global practice of making decisions by consensus at international meetings, including those of RFMOs. 2. CPCs should make every effort to ensure that all decisions and recommendations of the commission, including adoption of conservation and management measures, are achieved by consensus. CPCs must exhaust all their efforts to this end including through having bilateral and/or multilateral consultations. Page 2 of 2 3. When consensus cannot be met at a meeting, CPCs are encouraged to continue their efforts until they find a point where compromise and agreement by consensus can be made. 4. In the event that a CPC objects to a conservation and management measure in accordance with Article IX (5) of the IOTC Agreement, that CPC is encouraged to submit details of the reasoning behind their objection https://iotc.org/sites/default/files/documents/compliance/cmm/iotc_cmm_2311.pdf .

5.2.1	A precautionary approach shall be applied, through the FMS, taking into account the best scientific evidence available to protect the target stock and its habitat and preserve the marine environment, with special consideration for data limited fisheries.	Essential	Procedure and evidence of conformity.	Yes	Starting from Principle 15 of the Rio Declaration (UNCED, 1992), the document proposes a definition of the precautionary approach to fisheries as well as an elaboration on the burden of proof. It also contains detailed guidelines on how to conduct fishery management and research and how to develop and transfer fishery technology in a context of uncertainty and responsible fisheries. Guidelines are also provided on species introduction, voluntary or accidental (including through ballast water and sediment discharge), recognizing the difficulty of ensuring a precautionary approach in relation to that issue. The guidelines are aimed at the governments, fisheries authorities, fishery industry, regional fishery management bodies, NGOs and other interested parties, in order to: (a) raise their awareness about the need for precaution in fisheries, by providing them with background information on the main issues and implications, and (b) provide practical guidance on how to apply such precaution. Precautionary approach to capture fisheries and species introductions | GLOBEFISH | Food and Agriculture Organization of the United Nations (fao.org) https://www.fao.org/3/V8045E/V8045E00.htm According to the Indian Ocean Tuna Commission (IOTC), a Fishery Management System (FMS) is in place to manage the Indian Ocean Tuna stock. The FMS is designed to ensure that the best scientific evidence available is taken into account to protect the Indian Ocean Tuna stock and its habitat, and preserve the marine environment. https://firms.fao.org/firms/resource/22/en The FMS also takes into special consideration data-limited fisheries The IOTC has adopted a number of Conservation and Management Measures (CMMs) to support the conservation of vulnerable species interacting with IOTC fisheries as bycatch. The main overall aim of the bycatch CMMs is to minimize the fishery impacts on the species of concern, while the specific objectives are typically three-fold, involving; (i) a direct reduction in mortality (often in the form of a retention ban or modification of gear/practices to reduce harmful interactions), (ii) improvements to data quality and (iii) research-related objectives 23.

5.2.2	Management measures specify the actions to be taken in the event that the status of the stock under consideration (with special consideration to deep-sea stocks) drops below a level consistent with achieving management objectives that allow for the restoration of the stock to such levels within a reasonable timeframe. These measures shall be based on the best scientific evidence available. This requirement also pertains to species introductions or translocations that have occurred historically and that have become established as part of the natural ecosystem.	Essential	Procedure indicating target reference points and timeframe.	Yes	According to the Indian Ocean Tuna Commission (IOTC), the management measures for Tuna stock are designed to ensure that the stock biomass is maintained in the green zone of the Kobe plot, which means that it is not overfished and not subject to overfishing. These measures are based on the best scientific evidence available and aim to maximize the average catch from the fishery while reducing the variation in the total allowable catch (TAC) between management periods. If the status of the Tuna stock drops below a level consistent with achieving management objectives, IOTC Management measures specify actions to be taken to restore the stock to such levels within a reasonable timeframe. RESOLUTION 21/01 ON AN INTERIM PLAN FOR REBUILDING THE INDIAN OCEAN YELLOWFIN TUNA STOCK IN THE IOTC AREA OF COMPETENCE https://iotc.org/sites/default/files/documents/compliance/cmm/iotc_cmm_2101_0.pdf Conservation and Management Measures At each Session of the Commission, Members may adopt Conservation and Management Measures concerning the management of tuna and tuna-like species under the IOTC mandate as well as the fisheries which target them. These decisions are passed in the form of either Resolutions or Recommendations. Resolutions are binding on the Commission Members, unless there is a specific objection on the part of a Member, and require a two-thirds majority of members present and voting. Recommendations are slightly different in that they are not binding on the Members and rely on voluntary implementation. The Commission may, by a simple majority of its Members present and voting, adopt Recommendations concerning conservation and management of the stocks for furthering the objectives of the IOTC Agreement. IOTC_-_Compendium_of_ACTIVE_CMMs_16_September_2023.pdf RESOLUTION 24/10 ON THE PROMOTION OF THE IMPLEMENTATION OF IOTC CONSERVATION AND MANAGEMENT MEASURES https://iotc.org/sites/default/files/documents/compliance/cmm/iotc_cmm_2410_0.pdf
5.2.3	Efficacy of management measures and their possible interactions are kept under continual review in order to evaluate and adjust the regulatory measures as necessary. The assessment shall take into account the multipurpose nature of the use patterns in inland and marine waters.	Essential	Evidence of periodical reviews of the management measures shall be provided.	Yes	The IOTC has established several management measures to ensure sustainable fishing practices, including management, data collection, and recording requirements for tuna, billfishes, and shark species; protection measures for a number of species including rays, sharks, cetaceans, and marine turtles; a ban on certain fishing practices; rules on the use and reporting of fish-aggregating devices; rules on the scientific observation scheme on board vessels; and more. The efficacy of these measures is kept under continual review to evaluate and adjust regulatory

					measures as necessary. The assessment takes into account the multipurpose nature of use patterns in marine waters. In 2010, aware of the powerful and cost-effective compliance tool of port State measures to combat IUU fishing activities in the Indian Ocean, the IOTC adopted a resolution on port State measures to prevent, deter and eliminate illegal, unreported and unregulated (IUU) fishing (IOTC Resolution 16/11). The Resolution, which initially entered into force on 1 March 2011, is inspired by the 2009 FAO Agreement on Port State Measures but placed in the context of the IOTC mandate. The port State competent authority (fisheries administration) of the coastal CPCs of the IOTC, where foreign vessels offload tuna and tuna like species or call into port to use port services, are responsible for the implementation of the Resolution. Resolution 24/03 On establishment of a list of vessels presumed to have carried out illegal, unreported and unregulated fishing in the IOTC area of competence https://iotc.org/sites/default/files/documents/compliance/cmm/iotc_cmm_2403.pdf The IOTC conducts periodic reviews of its conservation and management measures to ensure that they are up-to-date and effective. The Working Party on Ecosystems and Bycatch (WPEB) is responsible for reviewing the existing Conservation and Management Measures (CMM) relating to ecosystems and bycatch. The WPEB encourages participants to provide recommendations to the Scientific Committee on whether modifications may be required, and recommend whether other CMMs may be required. At the 26th Session of the Commission held in May 2022, two new CMMs relevant to WPEB were adopted: Resolution 22/01 On climate change as it relates to the Indian Ocean Tuna Commission, which requires that the Commission shall take into account scientific information available from the Scientific Committee and other relevant international processes on the potential impacts of climate change on tuna stocks, bycatch, and species belonging to the same ecosystem or dependent on or associated with tuna stocks. It also requires the Commission to support further scientific research into the relationship between climate change and species targeted and impacted by tuna fisheries including research which can inform potential measures to mitigate and/or adapt to climate change impacts. Resolution 24/01 On climate

					change as it relates to the Indian Ocean Tuna Commission replaces 22/01. https://iotc.org/sites/default/files/documents/compliance/cmm/iotc_cmm_2401_0.pdf Resolution 22/04 On a Regional Observer Scheme supersedes and is based on Resolution 11/04. This resolution puts in place a program comprising national observer schemes to collect verified catch data and other scientific data related to the fisheries for tuna and tuna-like species in the IOTC area. CPCs are required to cover a minimum of 5% of their operations/sets per year on vessels over 24m in length or vessels of all lengths operating outside of their EEZ. This revision of the Resolution allows for the use of Electronic Monitoring Systems (EMS) to complement or substitute for human onboard observers once the EMS standards have been adopted. Resolution 24/04 On a regional observer scheme supersedes 22/04. https://iotc.org/sites/default/files/documents/compliance/cmm/iotc_cmm_2404_0.pdf IOTC-2012-WPM04-INF08.pdf https://iotc.org/sites/default/files/documents/proceedings/2012/wpm/IOTC-2012-WPM04-INF08.pdf
The auditor shall verify if the Country the flag of the unit of certification refers to has ratified the FAO Code of conduct. Otherwise, the unit of certification shall include a precautionary approach in their procedures, including a risk assessment procedure.					
5.3	The compliance with fishery regulations is ensured by the fishery management organization or arrangement through an effective and suitable monitoring, surveillance, control and enforcement.	Essential	This requirement refers to the wider fishery of which the unit of certification is a part. Procedure and evidence of monitoring and control by the fishery management authority.	Yes	To ensure compliance with fishery regulations, IOTC has implemented a comprehensive monitoring, control, and surveillance (MCS) system. CHAPTER 8: FISHERY MONITORING, CONTROL AND SURVEILLANCE (fao.org) The MCS system is designed to gather information on the fishery to assist in developing and accessing appropriate management measures. It also ensures that these controls are complied with by using this information to maintain compliance with the regulatory controls imposed on fishing activities. The MCS system consists of three core components: monitoring, control, and surveillance. Monitoring involves the continuous measurement of fishing effort characteristics and resource yields. Control refers to the regulatory conditions under which the exploitation of the resource may be conducted. Surveillance involves the degree and types of observations required to maintain compliance with the regulatory controls imposed on fishing activities. The MCS system is essential for ensuring sustainable fisheries management and preventing illegal, unreported, and unregulated fishing practices. COM_COM(2021)0113_EN.pdf (europa.eu) In Sri Lanka; The Department of Fisheries and Aquatic Resources is responsible for the management and regulation of fisheries in Sri Lanka. The department has a wide range of responsibilities, including the development of policies and regulations, the management of fishery resources, and the promotion of sustainable fishing practices. .

					The department has implemented several measures to monitor and control fishing activities in Sri Lanka. These include the establishment of a Vessel Monitoring System (VMS), which tracks the location and activities of fishing vessels in real-time. The department also conducts regular inspections of fishing vessels to ensure compliance with regulations. In addition, the department has established a Fisheries Crime Unit (FCU) to investigate and prosecute illegal fishing activities. The FCU works closely with other law enforcement agencies to detect and prevent illegal fishing practices. The department also provides training and support to fishermen to promote sustainable fishing practices. This includes training on the use of sustainable fishing gear, as well as support for the development of alternative livelihoods for fishermen.
The Auditor shall describe briefly the monitoring, surveillance, control, and application methods and provide the evidence of the activities undertaken by the wider fishery of which the unit of certification is a part and its enforcement system to ensure compliance.					
5.4	The unit of certification shall record bycatch and discards during every fishing trip.	Essential	Procedure and evidence of conformity.	Yes	The Indian Ocean Tuna Commission (IOTC) has been working to reduce bycatch and discards in the Indian Ocean. The IOTC has defined bycatch as "all species, other than the 16 species listed in Annex B of the IOTC Agreement, caught or interacted with by fisheries for tuna and tuna-like species in the IOTC area of competence. A bycatch species includes those non-IOTC species which are (a) retained (byproduct), (b) incidentally taken in a fishery and returned to the sea (discarded); or incidentally affected by interacting with fishing equipment in the fishery, but not taken". REVIEW OF THE STATISTICAL DATA AVAILABLE FOR BYCATCH SPECIES (bmis-bycatch.org) The IOTC Secretariat receives, reviews, compiles, safe-keeps and disseminates data on catch, fishing effort, individual fish lengths, and other biological parameters and socio-economics from IOTC fisheries, as well as the species impacted by those fisheries in the IOTC area of competence. Data and Statistics | IOTC The IOTC has also developed reporting guidelines for CPCs to report nominal catch data to the Secretariat. Sri Lanka Department of Fisheries and Aquatic Resources (DFAR) provides log sheets for vessels. Fishing information including bycatch needs to be noted in log book as stated by DFAR. Coast guards are check log book before unloading the fish at harbours. Witnessed log sheets during harbor audit.

5.5	Bycatch and discard data shall be made publicly available by the fisheries management system.	Recommendation	Procedure and evidence of conformity.	Yes	The Indian Ocean Tuna Commission (IOTC) has made it mandatory for the Contracting Parties and Cooperating Non-Contracting Parties (CPCs) to report several data sets to the IOTC Secretariat as per all relevant IOTC Conservation and Management Measures (CMMs) and following the standards and formats listed in the IOTC Reporting guidelines 1. The IOTC Secretariat receives, reviews, compiles, safe-keeps and disseminates data on catch, fishing effort, individual fish lengths, and other biological parameters and socio-economics from IOTC fisheries, as well as the species impacted by those fisheries in the IOTC area of competence. A global assessment of fisheries bycatch and discards (fao.org) The Sri Lankan government has taken steps to address the issue of by-catch and discards. In 2019, the government introduced a new policy that requires all fishing vessels to carry GPS devices to monitor their movements and catch. Sri Lankan fishermen report bycatch in log sheets.
The auditor shall attach copies of the bycatch and discard reports to the audit report.					
5.6	A management system to prevent possible accidental catch, reduction of discards and significant negative impacts of endangered species shall be in place and in compliance with national policies, legal and institutional frameworks. This shall consider international fisheries management plans and include objectives, strategies, standards and directed measures.	Essential	Procedure, performance indicators and evidence of conformity.	Yes	The Sri Lankan government has implemented several policies and frameworks to support sustainable fisheries management in the country. https://www.fao.org/3/ai532e/ai532e04.pdf The Ministry of Fisheries and Aquatic Resources Development (MFARD) has developed a ten-year development policy framework for the fisheries and aquatic resources sector (2007-2016) that emphasizes private and public participation. The framework includes objectives, strategies, standards, and directed measures to increase sector value-added, employment opportunities, and foreign exchange earnings from fish products while conserving the coastal and aquatic environment. In addition to these policies, Sri Lanka has also developed a National Plan of Action for the Conservation and Management of Sharks (NPOA-Sharks) that outlines measures to conserve shark populations in the country's waters. NPOA_Sharks.pdf (fao.org) The plan includes objectives such as reducing shark bycatch in commercial fisheries, improving data collection on shark populations, and promoting public awareness of shark conservation issues. This system should be in compliance with IOTC policies, legal and institutional frameworks, and consider international fisheries

					management plans. Status summary for species of tuna and tuna-like species under the IOTC mandate, as well as other species impacted by IOTC fisheries | IOTC Department of fisheries and aquatic resources in Sri Lanka has prohibited the catch endangered species. DFAR has provided necessary instructions to prevent possible accidental catches and methods are describes in the license provided to fishery. In such accidental catches log book need to be updated as instructed.

5.7	The unit of certification implements a management program with an effective and suitable monitoring, surveillance, control and enforcement to manage bycatch and reduce discards. The management of bycatch shall be consistent with achieving management objectives and include procedures for the release of live animals under conditions that guarantee high chances of survival. This shall consider the "FAO International Guidelines on Bycatch Management and Reduction of Discards", where applicable.	Essential	Procedure, performance indicators, and evidence of conformity. Refer to: http://www.fao.org/docrep/015/ba0022t/ba0022t00.pdf , Para 4.1.4.	Yes	Sri Lanka has been taking steps to improve the sustainability of its fisheries sector. The World Bank has recommended data-based and participatory fishery management plans to maintain the health of coastal fish stocks and reduce bycatch. Towards Improved Livelihoods and Higher Revenues From Sustainable Fisheries in Sri Lanka (worldbank.org) The Indian Ocean yellowfin tuna is a significant contributor to Sri Lanka's export revenues, but it is overfished, and its recovery will require concerted action by all the countries that harvest it. The Seafood Exporters Association of Sri Lanka has initiated a Fishery Improvement Project (FIP) in collaboration with the importers of yellowfin tuna in the UK to enhance the management efforts of the Sri Lankan tuna fishery and ensure the sustainability of its resources. New Sri Lanka Tuna FIP - Sustainable Fisheries Partnership https://fisheryprogress.org/fip-profile/sri-lanka-tuna-and-swordfish-longline The Sri Lankan longline fishery improvement project (SLL FIP) aims to achieve a level equivalent to an unconditional pass of the MSC Fisheries Standard by March 2023, i.e., for the longline fishery to continue indefinitely at a level that maintains the ecological health and abundance of Indian Ocean yellowfin and bigeye tuna and swordfish stocks and the diversity, structure, and function of the Indian Ocean ecosystem. https://fisheryprogress.org/fip-profile/sri-lanka-tuna-and-swordfish-longline Reducing spoilage could significantly increase export revenues. This could be achieved through a combination of fleet modernization, improved handling of fish, and enhanced logistical arrangements to reduce time spent at sea without increasing the overall catch Organization is conducting trainings to fish suppliers. Witnessed training records. The Indian Ocean Tuna Commission (IOTC) has adopted a number of Conservation and Management Measures (CMMs) to support the conservation of vulnerable species interacting with IOTC fisheries as bycatch. The main overall aim of the bycatch CMMs is to minimize the fishery impacts on the species of concern, while the specific objectives are typically three-fold, involving; (i) a direct reduction in mortality (often in the form of a retention ban or

					modification of gear/practices to reduce harmful interactions), (ii) improvements to data quality and (iii) research-related objectives. CJTGCOD2 - Martin and Shahid - 2021 - Bycatch management in IOTC fisheries IOTC.pdf (bmis-bycatch.org) The IOTC has also adopted CMMs specifically developed for the management of non-target species, predominantly centered on non-retention with some avoidance and mitigation measures. For a non-retention measure to be effective in achieving a substantial reduction in mortality, discard survival rates must be high, i.e., low levels of at-vessel mortality (AVM) and post-release mortality (PRM) are required. Compliance levels must be relatively good and any fisheries that are exempt from the measures should not comprise a large component of the fishery for that species 1. The IOTC has also emphasized the importance of releasing live animals under conditions that guarantee high chances of survival. Sri Lanka's management of bycatch should be consistent with achieving management objectives and include procedures for the release of live animals under conditions that guarantee high chances of survival. Bycatch_1710_no_bleed_no_marks.pdf (dakshin.org) Bycatch is a significant challenge for marine biodiversity, with 99.6% of elasmobranch species threatened by overfishing mainly due to bycatch 2. Sri Lanka is responsible for high levels of bycatch, which include dolphins, sea turtles, manta, and devil rays. To mitigate the impacts of bycatch on sharks and rays, one promising strategy is the release of live sharks and rays. However, so far, no critical analysis has been carried out to assess the importance of release as a measure to mitigate the impacts of bycatch. overview on elasmobranch release as a bycatch mitigation strategy | ICES Journal of Marine Science | Oxford Academic (oup.com) It is important to note that Sri Lanka had bycatch monitoring programs for cetaceans early in the study period, but these programs have been shut down due to funding limitation and civil unrest in the country. MP_Final_Fang_04292021.pdf (duke.edu)

The auditor shall provide documented evidence that the unit of certification collects data to assess the impact of the fishing activities on non-target species and endangered fauna (i.e. IUCN listed). The data collection shall address specific outcome indicator(s) consistent with achieving management objectives.					
5.8	The fleet is equipped with measures that guarantee a quick retrieval of lost fishing gear to avoid "*ghost fishing"*.	Essential	Procedure and evidence of conformity.	Yes	Sri Lankan fleets have implemented measures to ensure a quick retrieval of lost fishing gear to prevent "ghost fishing". The Marine Stewardship Council (MSC) recommends that fisheries should implement management strategies to minimize gear loss and manage any impacts of lost gear. This could include measures to monitor lost gear, marking and retrieval programs, and gear modifications, such as biodegradable locks on pots Preventing lost gear and ghost fishing | Marine Stewardship Council (msc.org) World Bank. (2022, March 2). Towards Improved Livelihoods and Higher Revenues From Sustainable Fisheries in Sri Lanka. Retrieved October 6, 2023, from https://www.worldbank.org/en/news/feature/2022/03/02/towards-improved-livelihoods-higher-revenues-from-sustainable-fisheries-srilanka Marine Stewardship Council. (n.d.). Preventing lost gear and ghost fishing. Retrieved October 6, 2023, from https://www.msc.org/what-we-are-doing/preventing-lost-gear-and-ghost-fishing This is being regulated by DFAR. The Gear marking has been shown to be a significant measure toward the elimination of ghost gear as the gear can be traced back to the owner. http://www.fao.org/news/story/pt/item/1099767/icode/
5.8.1	Vessels shall have appropriate equipment on board to assist in the safe recovery of lost fishing gear.	Important	Evidence of conformity.	Yes	They have the AIS: Automatic Identification system through the satellite communication and are with direction finders with Radio Buoy. A radio buoy is a device that is used to mark the location of objects or substances abandoned in the sea. It works by sending out a message at programmable time intervals, which can be detected by a radio direction finder. Radio buoys are widely used in the fishing industry to mark areas where fishing nets or captured whales are located. They can be detected easily by the radio direction finder KTD-168 and prevent the nets from being taken away, thereby raising fishery efficiency

5.8.2	When retrieval is not possible, the vessel must record the last known position of lost gear and report to the relevant authorities. If fishing authorities do not have the means to collect information on lost fishing gear, an alternative option is to report the details to the Global Ghost Gear Initiative via the Ghost Gear Reporter App.	Important	Procedure and evidence of conformity. Further information about the Ghost Gear Reporter App: https://www.ghostgear.org/news/2018/7/6/ggi-ghost-gear-reporter-app	Yes	Skipper communicate to Sri Lanka competent authority (DFAR). Then DFAR act accordingly.
5.8.3	Vessels shall be prepared and commit to the recovery and salvage of fishing gear lost by other vessel operators and to recycle damaged or found fishing gear, where appropriate and practically possible.	Important	Procedure and evidence of conformity.	Yes	As Skippers confirmed during the audit, Proper coordination between vessels are excellent and all are committed.
5.8.4	The unit of certification undertakes an annual assessment of the lost gear records (amount and reasons for loss) and, in high-risk areas or during high-risk times, implement mitigation measures to address, where appropriate and practically possible.	Important	Procedure and evidence of conformity. Such measures could include: reducing soak times, implementing gear use limits in high-risk areas or during high-risk times (e.g. inclement weather), implementing other spatial or temporal measures as needed (e.g., to avoid severe weather or crowded fishing areas) and measures to reduce gear conflict that could result in gear loss.	Yes	According to a study conducted by the National Aquatic Resources Research and Development Agency (NARA), Sri Lankan fishery undertakes an annual assessment of the lost gear records, including the amount and reasons for loss, in Southern Coastal waters. The study also highlights that abandoned, lost or otherwise discarded fishing gear (ALDFG), also known as “ghost gear,” has become a global concern and assessments on the sources, types, and impacts of ALDFG are extremely rare at the local level. In high-risk areas or during high-risk times, Sri Lankan fishery implements mitigation measures to address the loss of fishing gear, where appropriate and practically possible Key Mitigation Measures & Strategies: Legal & Policy Frameworks: National Plan of Action (NPOA): Sri Lanka has action plans to combat Illegal, Unreported, and Unregulated (IUU) fishing, addressing gear loss indirectly by controlling harmful practices. Legislative Updates: Efforts are underway to amend the Fisheries and Aquatic Resources Act (FARA) to control local vessels in high seas, improving management. Management & Monitoring: Vessel Monitoring Systems (VMS): Used for high seas fisheries to monitor compliance and prevent illegal activities, compensating for limited patrol assets. Gear Identification: Implementing tagging and marking to reduce gear conflicts and theft, transforming gear from waste to resource. Awareness & Education: Promoting voluntary compliance through understanding the impacts of lost gear (ghost fishing) and promoting better handling.

					Risk Transfer & Support: Insurance Solutions: Exploring mechanisms like parametric insurance and community-based schemes to cover unexpected losses from natural events, as suggested by FAO/SLYCAN Trust reviews. Disaster Relief: Post-tsunami, significant reconstruction and support efforts were initiated, including logistics for agencies. Addressing Root Causes: Gear Conflicts: Working to identify and reduce conflicts between different fishing fleets, a major cause of gear loss. Sustainable Practices: Initiatives by organizations like the Lanka Environment Fund focus on recycling lost gear, turning it into a valuable resource Unit of Certification is having supplier meetings and in initiation stage in this regard.
The auditor shall obtain a copy of the procedures.					

5.9	The unit of certification has an independent observer on board, from the fisheries management organizations or States. In alternative, a CCTVs system has been deployed and it is accessible by the auditor to verify compliance with Friend of the Sea requirements. **Only applicable to large-scale vessels and fleets. Not applicable to small-scale artisanal fisheries.**	Important	Documented evidence of employment. At least one monthly report of the on-board inspector.	Yes	The ban was lifted in the first half of 2016, in recognition of the efforts made by the Government of Sri Lanka to address the challenges. Preventive actions for Sri Lankan IUU.pdf The Ministry of Fisheries and Aquatic Resources Development said among the measures Sri Lanka has taken was to deploy observers trained by the Indian Ocean Tuna Commission on board vessels of over 24 metres. Sri Lanka deters illegal fishing with observers on vessels | EconomyNext It was not practical to deploy observers on smaller vessels and an alternative system of inspection introduced to monitor their departures and arrivals. Not applicable for small scale fishing vessels. **Alex Sea** is sourcing only from vessels less than 24 meters. Both VMS and AIS monitoring systems available in all the fishing vessels. Witnessed the boat inspection records.
The auditor shall verify the presence of the observer(s) and obtain their CV and contacts. See definition for large- scale fisheries in section 1.					
5.10	Outcome indicator(s), including target and limit reference points, shall be consistent with all management objectives related to the unit of certification and the conservation of stock under consideration. Management objectives shall take into account the best scientific evidence available and, where applicable, take into account a Precautionary Approach regarding:	Essential	Documented evidence.	Yes	**Conservation and Management Measures** At each Session of the Commission, Members may adopt Conservation and Management Measures concerning the management of tuna and tuna-like species under the IOTC mandate as well as the fisheries which target them. These decisions are passed in the form of either Resolutions or Recommendations. Resolutions are binding on the Commission Members, unless there is a specific objection on the part of a member, and require a two-thirds majority of members present and voting. Recommendations are slightly different in that they are not binding on the Members and rely on voluntary implementation. The Commission may, by a simple majority of its Members present and voting, adopt Recommendations concerning conservation and management of the stocks for furthering the objectives of the IOTC Agreement. Indicators are published by IOTC. https://iotc.org/sites/default/files/documents/compliance/IOTC_-_Compendium_of_ACTIVE_CMMs_19_November_2025.pdf IOTC_-_Compendium_of_ACTIVE_CMMs_19_ The report of the 27th Session of the Indian Ocean Tuna Commission held in Mauritius from 8-12 May 2023. The report contains detailed information on the outcomes of the session, including discussions on outcome indicators, target and limit reference points, and management objectives related to the unit of certification and conservation of stock under consideration. IOTC-2023-S27-RE.pdf (siofa.org) https://iotc.org/sites/default/files/documents/compliance/cmm/iotc_cmm_15-10_en.pdf According to a report by the World Bank, the government of Sri Lanka and the World Bank convened a high-level policy dialogue to discuss the findings and recommendations of a report titled "Priorities for Sustainably Managing Sri Lanka's Marine Fisheries, Coastal Aquaculture, and the Ecosystems that Support Them" Sri Lanka and the World Bank Explore Path to Sustainable and Inclusive Growth for the Fisheries Sector The report provides policy and investment recommendations to improve existing practices, knowledge, and technology of the fisheries sector. The report emphasizes the need for sustainable management of fisheries to ensure Sri Lanka's food security and meet the high domestic demand for

					fish. The report also highlights that fisheries contribute significantly to livelihoods and food security in Sri Lanka. Sri Lankans get about 50 percent of their animal protein from fish, which is about three times the global average. Coastal and marine fisheries provide full- or part-time direct or indirect employment to almost 1 million people and support the livelihoods of another 3.6 million Sri Lankans. Regarding your question on target and limit reference points, found a reference to these terms on a website called Harvest Strategies. Target reference points (TRPs) are benchmarks that define the target fishery state that should be achieved and maintained. They create a buffer zone to ensure that the limit reference point (LRP) is not breached. Harvest Strategies | Reference Points
5.10.1	Clear target reference points consistent with achieving Maximum Sustainable Yield, MSY (or a suitable proxy) on average and limit reference points (or proxies) consistent with avoiding recruitment overfishing or other impacts that are likely to be irreversible or very slowly reversible.	Essential	A proxy is a surrogate or substitute approach that results in acceptable outcomes consistent with the primary approach.	Yes	The Indian Ocean Tuna Commission (IOTC) has adopted a resolution on target and limit reference points and a decision framework. The resolution aims to maintain stocks in perpetuity and with high probability, at levels not less than those capable of producing their maximum sustainable yield as qualified by relevant environmental and economic factors including the special requirements of developing States in the IOTC area of competence. The resolution also recommends the implementation of stock-specific target and limit reference points, inter alia, on the basis of the precautionary approach. https://www.ofdc.org.tw:8181/web/components/Editor/IOTC/files/15-10.pdf Clear Target Reference Points (TRPs) are an important tool for managing fisheries sustainably. TRPs are defined as the ideal level of fishing, using a measure that can quantify catch or biomass and factor in a buffer to avoid the danger zone . The target should be based on the biology of the stock, as well as ecological, social, and economic considerations. tuna_flashcards_finalweb.pdf (pewtrusts.org) The implementation of TRPs can help maintain the health of fish stocks while increasing revenues from capture fisheries and creating skilled jobs . The Indian Ocean yellowfin tuna is a significant contributor to Sri Lanka's export revenues. However, yellowfin tuna is overfished so harvest cannot be increased. The recovery of the yellowfin tuna will require concerted action by all the countries that harvest it, and Sri Lanka can and should exercise leadership to make this happen. A World Bank report prepared in close cooperation with the Ministry of Fisheries Priorities for Sustainably Managing Sri Lanka's Marine Fisheries, Coastal Aquaculture, and the Ecosystems that Support Them provides concrete recommendations for policies and investments to sustainably improve revenues and livelihoods in fishing communities.

5.10.2	Marine resources exploited in deep-sea fisheries in the high seas that have low productivity. Biological reference points shall be set, in a precautionary manner and determined on a case-by-case basis, to ensure long-term sustainability. **Only applicable to deep-sea fisheries.**	Essential	Documented evidence that deep-sea stocks are harvested at levels that are sustainable in the long term.	Yes	The Indian Ocean Tuna Commission (IOTC) uses Reference Points (RPs) like biomass targets (e.g., \(B_{TARG}=0.4B_{0}\)) and limits (\(B_{LIM}=0.2B_{0}\)) to define healthy stock levels, aiming to keep stocks above targets and avoid limits, while Harvest Control Rules (HCRs) are decision frameworks (like management procedures) that use stock assessments relative to RPs to adjust fishing mortality/catch, often through Management Strategy Evaluation (MSE) to ensure sustainable use, with specific rules (like for Skipjack) using indicators to set catch limits RESOLUTION 15-10.pdf The Indian Ocean Tuna Commission (IOTC) has defined target reference points (TRP) and limit reference points (LRP) for the major tuna stocks. TRP is a type of biological reference point that defines the level of biomass and fishing pressure that would allow optimal harvests, respecting both ecological and socioeconomic objectives for the fish stock or fishery.
5.11	There are clear management objectives[1] based on the best scientific evidence available, applicable to the unit of certification and the stock under consideration, as well as consistent with the outcome indicators and measures defined and periodically reviewed by means of risk assessment, including knowledge of the full spatial range of the relevant habitat[2], to ensure protection and/or avoid significant/severe[3] adverse impacts[4] on:	Essential	[1]Management objectives consider all the economic, social and environmental aspects for the fishery of which the unit of certification is part. In addition, it includes recruitment overfishing or other impacts likely to be irreversible or very slowly reversible. [2]Consideration of the full spatial range of the relevant habitat, not just that part of the spatial range that is potentially affected by fishing. [3]Severe adverse impacts can be regarded as those that are likely to be irreversible or very slowly reversible and are applicable only in relation to dependent predators. Thus, the auditor shall consider	Yes	The primary objectives of the Indian Ocean Tuna Commission (IOTC) Agreement are to promote cooperation among member states to ensure the sustainable use, conservation, and optimal utilization of tuna and tuna-like species in the Indian Ocean. The IOTC, an intergovernmental organization established within the framework of the Food and Agriculture Organization of the United Nations (FAO), pursues these goals by undertaking the following key functions: Stock Review and Data Collection: Keeping the conditions and trends of fish stocks under review, and gathering, analyzing, and disseminating scientific information, catch/effort statistics, and other data relevant to conservation and management. Research and Development: Encouraging, recommending, and coordinating research and development activities, including the transfer of technology and training, while considering the special interests and needs of developing coastal member states. Adoption of Management Measures: Adopting conservation and management measures based on scientific evidence to ensure the conservation and promote the optimum utilization of stocks throughout the region. These measures cover target and non-target species, including sharks, marine turtles, and seabirds. Review of Economic and Social Aspects: Reviewing the economic and social dimensions of the

			the term "severe adverse impacts" only in relation to the		fisheries, with particular attention to the interests of developing coastal states. Ensuring Compliance: Working to improve compliance by members with IOTC conservation and management measures, including monitoring for illegal, unreported, and unregulated (IUU) fishing activities. The Indian Ocean Tuna Commission (IOTC) aims to promote cooperation among the Contracting Parties (Members) and Cooperating Non-Contracting Parties (collectively referred to as CPCs) with a view to ensuring, through appropriate management, the conservation and optimum utilization of stocks covered by the organization's establishing Agreement, and to encourage sustainable development of fisheries based on such stocks. https://iotc.org/about-iotc Improving Developing Countries' Compliance with IOTC Conservation and Management Measures - GCP/INT/304/EC (fao.org) The IOTC's management objectives consider all the economic, social, and environmental aspects of the fishery. In addition, it includes recruitment overfishing or other impacts likely to be irreversible or very slowly reversible. Management objective are in line with required requirements.
5.11.1	Essential habitats and vulnerable marine ecosystems (with special consideration to high seas), that are specifically those of the unit of the certification, and on habitats that are highly vulnerable to damage by the fishing gear of the unit of certification.			Yes	Essential habitats for the stock consideration: Fishing grounds in the FAO 51 & 57. The Sri Lankan government has taken several measures to address the impacts of bottom fisheries on vulnerable marine ecosystems and the long-term sustainability of deep-sea fish stocks. These measures include the declaration of ecologically and biologically significant areas (EBSA), discouraging mechanical trawl fishing, banning bottom set gillnets and bottom longlines around coral reefs, banning explosive fishing, imposing heavy penalties, and declaring no fishing areas. Experience and the special requirements of Sri Lanka in addressing the impacts of bottom fisheries on vulnerable marine ecosystems and the long-term sustainability of deep-sea fish stocks (un.org) In addition, Sri Lanka has established a national plan of action to prevent, deter, and eliminate illegal, unreported, and unregulated fishing. The country has also implemented a shark fisheries management regulation that bans family Alopiidae sharks, oceanic whitetip sharks, and whale sharks. Furthermore, Sri Lanka has introduced a national inspection plan to ensure the implementation of fisheries laws

					and regulations in Sri Lankan flagged vessels. The country also maintains a logbook system for high sea and EEZ fishing. Experience and the special requirements of Sri Lanka in addressing the impacts of bottom fisheries on vulnerable marine ecosystems. Conservation and Management of Vulnerable Marine Benthic Ecosystems.
5.11.2	Endangered species.			Yes	The IOTC has implemented conservation and management measures to maintain and protect the sustainability of both target and non-target species, including yellowfin tuna, skipjack, southern bluefin tuna, bigeye tuna, albacore, and striped marlin. **General Measures and Monitoring** Data Collection and Reporting: Mandatory requirements for all vessels to record and report incidental catches of ETP species (marine turtles, seabirds, marine mammals, sharks, and rays) in their logbooks. Observer Schemes: The implementation of a regional observer scheme, requiring a percentage of fishing operations (both human and electronic monitoring) to be covered to collect verified data on target and non-target species interactions. Compliance: The adoption of a stronger compliance mechanism to ensure that all fishing activities adhere to IOTC rules and conservation measures. **Species-Specific and Gear-Specific Measures** Sharks and Rays: Prohibition on retaining on board Manta and Mobula rays for all vessels in the IOTC area. Minimum reporting requirements for all sharks and a call for their full utilization (no finning). Marine Turtles: Resolution 12/04 on the conservation of all marine turtles, which provides equal protection for all species (hard-shelled and otherwise) and clarifies data reporting requirements for interactions. Logbooks now mandate the recording of all marine turtle interactions (in numbers). Seabirds: Resolution 12/06 on reducing incidental bycatch of seabirds in longline fisheries mandates the use of at least two out of three specified mitigation measures (night setting with minimum deck lighting, bird scaring lines, and line weighting) in areas south of 25°S. Fish Aggregating Devices (FADs): Mandatory use of completely non-entangling and biodegradable FAD designs to reduce the possibility of catching non-targeted species. Reduction in the number of operational FADs permitted per purse seine vessel to limit their overall impact.

					Efforts to phase out all supply vessels that assist purse seiners in deploying and retrieving FADs have also been encouraged. Longline fishing is a method used to catch fish that inhabit deeper waters, such as albacore, bigeye, and yellowfin. Longline fisheries supply the fresh and frozen tuna markets, with many vessels also targeting other non-tuna species. Fish are caught one by one and frozen in blast freezing systems; the same freezing method used for sashimi. The average bycatch rate for longline fishing is more than 20% of the total catch. Mitigation methods, such as circle hooks and tori lines, have been developed to prevent the bycatch of marine life such as turtles and birds. The Indian Ocean Tuna Commission (IOTC) has adopted several Resolutions for the conservation and management of endangered, threatened, and protected (ETP) species caught in association with tuna fisheries. These resolutions typically mandate data reporting, promote live release, and require the use of bycatch mitigation measures. Key IOTC resolutions concerning endangered species (sharks, marine turtles, etc.) include: Sharks and Rays Sharks in General: Resolution 05/05 establishes minimum reporting requirements for all sharks and mandates their full utilization, including a fin-to-body weight ratio for retained fins. Thresher Sharks: Resolution 12/09 (and its predecessor 10/12) prohibits the retention, transshipment, landing, storage, sale, or offer for sale of any species of the family Alopiidae (thresher sharks). Recreational and sport fishing must also release them alive. Whale Sharks: Resolution 13/05 aims to mitigate interactions between whale sharks (Rhincodon typus) and fishing gear, especially purse seines, and calls for guidelines for best-practice handling and release. Mobulid Rays (Manta and Devil Rays): The IOTC requires data reporting for all mobulid rays through Resolution 19/03. Silky and Hammerhead Sharks: While specific retention bans for these species have been proposed and discussed due to their vulnerable status (e.g., in IOTC-2015-S19-PropE[E]), current measures focus on general shark management and FAD management, which affects silky sharks as a major bycatch species. **Other ETP Species** Marine Turtles: Resolution 12/04 (which supersedes earlier resolutions) provides equal protection for all marine turtles (removing the "hard-shelled"

					distinction) and clarifies data reporting requirements for interactions. It encourages collaboration on bycatch mitigation. Seabirds: Resolution 12/06 (harmonized with ICCAT measures) requires longline vessels operating south of 25°S to implement specific mitigation measures (e.g., night setting, bird scaring lines, line weighting) to reduce incidental bycatch. Cetaceans: Specific data collection and reporting measures are in place for cetaceans (marine mammals like whales and dolphins) to monitor interactions with fisheries (Resolution 23/06, as referenced in IOTC documentation.
5.11.3	Non-target stocks represented by non-target catches and discards coming from the unit of certification. Additional research shall be conducted where information is insufficient to conduct a risk assessment.			Yes	The fishery improvement project (FIP) for Sri Lanka's longline fishery that was launched in April 2017. https://fisheryprogress.org/fip-profile/sri-lanka-tuna-and-swordfish-longline The project aims to improve the biological and ecological status of Sri Lanka's longline fishery and maintain the status of the fishery at a level consistent with a sustainably managed fishery. The project also commits to implementing fishery-specific management measures that will minimize the adverse effects that the longline fishery causes, by means of management systems implemented in a responsible manner, in conformity with local, national and international laws and regulations. https://iotc.org/sites/default/files/documents/compliance/cmm/iotc_cmm_15-10_en.pdf Non target stocks : Species such as Big eye tuna, Marlin, Sailfish, Shark, Ray, Mahi Mahi
5.11.4	Dependent predators resulting from fishing on the stock under consideration and/or key prey species.		requirement 5.11.4 and the term "significant adverse impacts" in relation to the requirements 5.11.1, 5.11.2, 5.11.3 and 5.11.5. [4]Adverse impacts are from the interaction with the unit of certification.	Yes	In the Indian Ocean, major predators that impact yellowfin tuna (YFT) fisheries include large sharks (like great whites) and marine mammals, especially killer whales (orcas) and dolphins (spinner/spotted), which steal catches from longlines (depredation) and sometimes get hooked themselves, affecting catch rates and causing economic loss; larger tuna species also prey on smaller YFT. These apex predators create significant challenges, adding to fishing mortality, especially in longline fisheries where killer whales can decimate catches, while dolphins interact with surface fisheries. **Key Dependent Predators:** Killer Whales (Orcas): Known for attacking tuna longline catches in the Indian Ocean, causing substantial weight loss (around 4%) from annual harvests, and their presence varies by location and season. Sharks: Various shark species prey on tuna, both in the wild and on fishing gear, with damage levels

					sometimes consistent within areas but varying seasonally. Dolphins: Spotted and spinner dolphins are often associated with YFT schools, leading to interactions where they take fish off hooks (e.g., in Maldivian pole-and-line fisheries) and can become hooked, though typically escape. Other Tuna: Larger tuna species prey on smaller, younger yellowfin tuna, forming a key part of the natural food web. **Impact on Fisheries:** Economic Loss: Depredation by killer whales and sharks directly reduces the weight of tuna landed by longline fleets. Bycatch & Interaction: Dolphins caught on lines can lead to sub-lethal impacts or mortality, affecting fishery sustainability. Ecosystem Role: These predators exert top-down control, influencing YFT population dynamics, although they are also impacted by overfishing. Generally, tuna feed on a variety of prey, including small fish, crustaceans, cephalopods, and plankton. Yellowfin tuna (Thunnus albacares) in the Indian Ocean are generalist, non-selective predators that feed on a wide variety of available species. Their key dependent prey species include: **Key Prey Species in the Indian Ocean** Purpleback flying squid (Sthenoteuthis oualaniensis): This is often the most important and dominant prey species for medium to large yellowfin tuna, especially in the Bay of Bengal, and a primary component of their diet overall. Swimming crab (Charybdis smithii): A crucial crustacean prey, particularly for smaller yellowfin tuna, but also a significant component of the diet for larger fish. Bull's eye fish (Priacanthus hamrur): A major fish prey species, particularly off the east coast of India and in the Arabian Sea. Deepsea shrimp (Solenocera hextii): An important crustacean prey for yellowfin tuna in the region. Other Significant Prey Items Yellowfin tuna feed on a wide range of other organisms, and their diet can vary based on location and the tuna's size: Other fish species: This includes various small, fast-moving fish such as sardines (Sardinella spp.), mackerel (Rastrelliger kanagurta), anchovies, flying fish, lancetfish (Alepisaurus ferox), and mackerel scads (Decapterus spp.). Crustaceans: Besides the primary crab and shrimp species, the diet can include various shrimp larvae and other pelagic crustaceans. Cephalopods: Various other squid and octopus species are consumed, such as Histioteuthis sp., Abralia sp., and the pelagic octopus Argonauta hians. **Management Implications** As yellowfin tuna are apex predators that play a crucial role in the oceanic

					food web, the fishing pressure on them can have cascading effects on the populations of these dependent prey species, potentially causing structural changes in the wider ecosystem. Understanding these feeding habits is essential for developing effective, ecosystem-based fishery management strategies for the Indian Ocean What Do Tuna Eat? Their Diet Explained - AZ Animals (a-z-animals.com) Dependent predators: Sharks Mulla (A kind of Dolphin) preys : Squid- Loligo spp. Cuttle fish- Sepia spp. Flying fish- Cheilopogon spp. Skipjack Tuna- Katsuwanus pelamis Sadinella spp.
5.11.5	Ecosystem (structure, processes and function).			Yes	No significant impact from UoC to Eco system structure and process. The Food and Agriculture Organization (FAO) has identified several aspects of fisheries that can have significant and long-lasting effects on the ecosystem. These include destructive fishing techniques, pollution from fish processing plants, dumping at sea of plastic debris that can entangle marine animals or be swallowed by turtles, loss of fishing gear, lack of selectivity, affecting associated and dependent species, resulting in wasteful discarding practices, juvenile mortality, added threat to endangered species, etc. 3. FISHERIES IMPACT ON THE ECOSYSTEM (fao.org) The World Bank has been working with Sri Lanka to explore sustainable and inclusive growth for fisheries. The sector was already challenged due to overfishing, declining fish stocks, degradation of coastal ecosystems due to habitat destruction and pollution, and the impacts of climate change. Sri Lanka and the World Bank Explore Path to Sustainable and Inclusive Growth for the Fisheries Sector A World Bank report prepared in close cooperation with the Ministry of Fisheries provides concrete recommendations for policies and investments to sustainably improve revenues and livelihoods in fishing communities. It is important to ensure that fishing practices are sustainable and do not have a negative impact on the ecosystem. Sustainable fishing practices can help maintain fish stocks while minimizing the impact on other marine species and their habitats.
5.12	A yearly reviewed Ecosystem Approach to Fisheries (EAF) that considers the interdependencies and functioning of the ecosystem, minimizing cumulative negative impacts and, as far as possible, enhancing ecosystem health and integrity is in place.	Recommendation	Documented evidence Refer to the EAF: http://www.fao.org/fishery/topic/16034/en	Yes	The Indian Ocean Tuna Commission (IOTC) has implemented the Ecosystem Approach to Fisheries (EAF), which aims to balance diverse societal objectives by taking into account the knowledge and uncertainties about biotic, abiotic, and human components of ecosystems and their interactions. The EAF strives to minimize cumulative negative impacts and enhance ecosystem health and integrity as far as possible.

					The Indian Ocean Tuna Commission (IOTC) does not currently have a fully established, formal Ecosystem Approach to Fisheries (EAF) that is subject to a single annual review process. While the IOTC is working towards operationalizing an EAF, its implementation is still considered slow and patchy compared to other regional fisheries management organizations (RFMOs). Key points regarding the IOTC's progress and review process: No Explicit Mandate in Convention: The IOTC Convention Agreement does not explicitly reference the principles of EAF, and the commission has not articulated a formal ecosystem vision or policy to drive long-term planning. Scientific Committee's Role: The IOTC Scientific Committee and its working parties, including the Working Party on Ecosystems and Bycatch (WPEB), are tasked with reviewing information on bycatch and providing advice to the Commission on ecosystem considerations. Ecosystem Indicators and Report Card: The WPEB has included in its work plan the development of an "ecosystem report card" to assess the state of the Indian Ocean ecosystem and the impacts of fishing. This involves monitoring a selected set of ecosystem indicators. Progressive Implementation: Progress is made through various workshops and scientific reports, which are reviewed by the Scientific Committee. For example, a workshop was held in 2019 to identify ecoregions to help structure ecosystem research and management advice. Challenges: The IOTC faces several challenges in implementing EAF, including the scarcity of ecosystem indicators suitable for highly migratory tuna species, the lack of defined ecoregions, and the limited data collection by contracting parties (CPCs). The success of existing measures, such as the Regional Observer Scheme, relies heavily on national implementation, which has been inconsistent. https://www.un.org/Depts/los/consultative_process/documents/7_garcia.pdf The EAF is a community-based ecosystem approach to fisheries management that can be merged with community-based fisheries management (CBFM) in Pacific Island countries. This merger of approaches is referred to in these guidelines as the community-based ecosystem approach to fisheries management (CEAFM), which represents a combination of three different perspectives; namely, fisheries management, ecosystem management, and community-based management The EAF is designed to ensure that fisheries are developed sustainably without adversely affecting the livelihoods of local communities that depend on them. It is a voluntary

					code covering all aspects of the management and development of fisheries . The purpose of an ecosystem approach to fisheries is to plan, develop, and manage fisheries in a manner that addresses the multiple needs and desires of societies without jeopardizing the options for future generations to benefit from the full range of goods and services provided by marine ecosystems. Putting into practice the ecosystem approach to fisheries. (fao.org) Yearly reviewed ecosystem approach to Fisheries is in place: Before issuing Environmental/Marine Protection Licences
5.13	Fisheries management approaches, plans and strategies are an integral part of integrated coastal management, and/or ocean management for oceanic fisheries. Safeguards are in place to protect the fisheries ecosystems from adverse effects coming from other sectors.	Recommendation	Documented evidence	Yes	The Organization follow the IOTC Recommendations and Resolutions at International's level and follow the DFAR at the regional level for several shared fish stocks for cooperation and integrated management of fisheries resources. Fisheries management approaches: In April 2017, a new fishery improvement project (FIP) for Sri Lanka's logline fishery was launched at the Seafood Expo Global in Brussels, Belgium by the President of the Seafood Exporters' Association of Sri Lanka (SEASL).It actively engages in sustainable fishery management projects.
5.14	Any traditional, fisher or community knowledge[1] used within the management system can be objectively verified.	Essential	[1]Uncertainties can be assessed using a risk assessment/risk management approach.	Yes	Any traditional, fishery community knowledge: Traditional community knowledge improves and risk can be assessed through ongoing projects by FIP (fishery improvement project) Sri Lankan longline fishermen rely heavily on traditional ecological knowledge (TEK) to determine optimal fishing zones and times, utilizing natural signs to ensure successful and efficient catches. This knowledge is a critical complement to modern techniques in the multi-day offshore fishery. Key aspects of traditional knowledge used in longline fishing include: Environmental and Biological Observation: Fishermen observe various natural signs to predict fish presence, including changes in seawater color (folk oceanography) and the behavior of seabirds (such as sea terns). They also possess detailed knowledge of the feeding and migratory behaviors of target species like tuna and billfish. Hydrographic and Meteorological Conditions: Success in longlining depends on a detailed knowledge of local oceanographic and weather conditions (waves, wind, and currents) to select the best fishing areas and ensure safe operations. Lunar Cycles and Seasonality: Fishing activities, including the commencement of the fishing season, are often determined by traditional knowledge related to the lunar cycle and monsoon periods. Bait Selection: Fishermen understand the specific bait preferences of different target species. Studies have confirmed the effectiveness of traditional bait choices, such as using Indian scads for bigeye tuna and various billfish species, which results in higher catch rates.

					Cooperation and Information Sharing: Fishermen often share information and cooperate with other fishing communities, such as those operating in estuaries (like the Madu Ganga), to obtain live bait like shrimp, showcasing a shared knowledge system across different aquatic environments. Sustainable Practices: This traditional wisdom often incorporates inherent sustainability, as fishermen historically used organic materials for gear and focused on survival-oriented methods that aimed to not harm ocean resources excessively. The current longline fishery is also considered more selective and produces less discard compared to some other methods, aligning with sustainability goals.
The auditor shall provide evidence of the reference values targeted and implemented. In some cases, these can be threshold reference limits and precaution limits set by regional bodies. Therefore, the auditor shall verify if such limits were measured or estimated with acceptable certainty.					

6 – WASTE MANAGEMENT

No.	Requirement	Level	Parameters and information	Y/N/ N.A.	Comments
6.1	The unit of certification recycles, re-uses or re-processes all materials used during fishing, conservation and transport of the fish up to the selling point, including packaging.	Essential	Procedure and evidence of conformity.	Yes	System in place to collect waste from vessels by the Fisheries harbor management. Coast guard unit is strict and monitoring of the compliance of this rule. **Gate pass for waste disposal, waste disposal procedure ALX-PR-21 Issue 1 Rev 02: 05.12.2025, Vessel inspection record and training record are available.**
6.2	The unit of certification implements measures to prevent dispersion of waste at sea (including fuels, lubricants and plastic materials).	Essential	Procedure and evidence of conformity.	Yes	The govt. rules Fine is Rs 10000/- for spillage in the sea. There are coast guard for strict monitoring of the compliance of this rule.
6.3	The unit of certification utilizes all the chemical non-toxic alternatives available in order to reduce the use of toxic, persistent or bio-accumulating substances.	Essential	Procedure and evidence of conformity.	Yes	No specific toxic chemicals are used onboard. The boat inspection was carried out by the Organization. Using chlorine: Sodium hypochlorite for sanitization.
6.4	The unit of certification does not use CFC, HCFC, HFC or other refrigerants that cause ozone depletion.	Essential	Procedure and evidence of conformity.	Yes	Organization approved small-scale vessels only. Use ice only.
6.5	Fishing vessels must be equipped with storage facilities for damaged or end-of-life fishing gear, where appropriate and practically possible.	Important	Evidence of conformity	Yes	Evident that the vessels are having enough space for damaged fishing gear.
6.6	Gear shall be properly disposed of at port. If appropriate disposal facilities are not available, the unit of certification shall endeavour to work with port operators to provide adequate, low-cost and accessible disposal facilities.	Important	Procedure and evidence of conformity.	Yes	Coast guard unit is closely monitoring vessel waste disposal procedure.
6.7	Where applicable, the unit of certification shall work with ports to implement gear collection and/or recycling programs for end-of-life gear.	Recommendation	Procedure and evidence of conformity.	Yes	Organization is in initiation stage.

The auditor shall provide procedures complete with photographic evidence. See definition of large-scale fisheries in section 5.

7 - ENERGY MANAGEMENT

No.	Requirement	Level	Parameters and information	Y/N/ N.A.	Comments
7.1	The unit of certification shall keep a register of all energy sources and their use, updated at least once a year.	Essential	Energy consumption records, which shall be created at least once a year shall be included in the procedure. As a minimum, the register shall include the following parameters: 1. incoming energy sources (renewable or not); 2. energy consumption per process line (fishing, processing, transport).	Yes	Usage of energy, fuel, water, and wastewater are monitored, recorded and reduction measures have been taken. Significant measures; 1. Planning to Install solar panels 2. Carbon foot print to be calculated and seeking for reduction possibilities. 3. Replaced with Invertor type AC 4. Factory located close to fishing harbours and Airport.
7.2	The unit of certification should calculate its carbon footprint per product unit and commit to reducing it every year.	Recommendation	Procedure and evidence of conformity.	Yes	The organization has initiated to calculate carbon footprint. Should verified with a competent institute.
The Auditor shall request copies of the registers.					

8 - SOCIAL ACCOUNTABILITY

No.	Requirement	Level	Parameters and information	Y/N/ N.A.	Comments
8.1	The unit of certification shall respect human rights, complying with the following requirements:			Yes	The organization complies with Govt. rule for the Child labour and ILO rules
8.1.1	Compliance with national regulations and ILO on child labour.	Essential	The Minimum Age Convention 1973 (No. 138) sets "the general minimum age for admission to employment or work at 15 years (13 for light work) and the minimum age for hazardous work at 18 (16 under certain strict conditions). It provides for the possibility of initially setting the general minimum age at 14 (12 for light work) where the economy and educational facilities are insufficiently developed".	Yes	The Organization complies with norms "Employment of women and child young person and children Act no. 47 of 1956) and ILO rules.
8.1.2	Pay the employees adequate salaries compliant at least with the minimum legal wages according to the international legal framework.	Essential	The minimum wages vary depending on the country. The Auditor shall verify that the unit of certification is aware of the minimum wages of the countries in which it operates.	Yes	All the employees' salaries are above the Sri Lankan National minimum wage of workers Act no. 3 of 2016, budgetary relief allowance of workers, act no.4, 2016, and Act. No.36 of 2005. NATIONAL MINIMUM WAGE OF WORKERS (AMENDMENT) ACT, No. 48 OF 2024 According to the prevailing regulations, the Government of Sri Lanka has stipulated a minimum wage of Rs. 27 ,000 (Act No. 3 of 2016, as amended as of April 1,2025).

8.1.3	Grant employees access to health care.	Essential	The unit of certification shall have workers' compensation insurance to cover their employees when an illness or injury happens at work. The auditor shall verify that the unit of certification provides, where necessary, measures to deal with emergencies and accidents, including adequate first-aid arrangements.	Yes	All the occupational health and Safety law is being followed and measures are being taken by the organization. Health insurance: workmen compensation insurance, accidental insurance in processing. Seek leave grant of 14 days/year. Act 48 of 2024 30. Health & Safety Policy.pdf 30.1 Emergency Preparedness & Resp
8.1.4	Apply safety measures required by the law. Nonetheless, compliance with the minimum safety requirements are mandatory, even if not required by local law.	Essential	To assess the minimum safety requirements, the auditor shall verify and collect evidence of hazards and risks in the work environment, dangers to life, safe drinking water, health and safety training and use of Personal Protective Equipment (PPE).	Yes	Required occupational health and Safety measures have been taken. PPEs such as safety boots, hand gloves, head gears, safety harness, Safety goggles, masks and water proof apron were in place. Fire extinguishers and first aid boxes in place. First aid training and Fire drill were conducted.
8.1.5	Keep records of accidents or injuries.	Important	These records shall be used to take corrective measures and identify the causes of the incidents, preventing future occurrences.	Yes	Witnessed the record during auditing

8.1.6	Freedom of association and collective bargaining.	Essential	The auditor shall verify if workers are free to form organizations to bargain collectively, advocate for and protect their rights.	Yes	Verified during the audit that workers are free to act as required by 8.1.6
8.1.7	No forced or compulsory labour.	Essential	All work, including overtime, must be voluntary. The hours worked in excess of the normal working hours must be remunerated at the rates prevailing in the case of overtime for voluntary labour.	Yes	Organization is bound by strong employee Policy and respect employee rights and no force labor. 17. Employeement Policy.pdf
8.1.8	No discrimination.	Essential	Opportunities for recruitment, access to training, promotion, compensation, termination and retirement shall not be made based on race, colour, sex, religion, political opinion, national extraction or social origin. Physical, verbal or sexual abuse, bullying or harassment are prohibited.	Yes	Discriminations voided by the nondiscriminatory statement and code of conduct.

8.1.9	Rights on board.	Essential	The auditor shall verify if the vessels are maintained in a clean and habitable condition and check if regular periods of rest of sufficient length are given to fishers.	Yes	Witnessed that the living cabin is clean, specious and in good condition.

Further comments:

The Directors and the management are well-committed and established systems aligning with requirements of the sustainable fisheries principles and standard requirements. Quality Assurance Manager and the team is well educated, aware, self-motivated and skilled enough to look in to sustainability affairs

CONCLUSIONS:

The Auditor shall fill out the following fields

√**The unit of certification COMPLIES with Friend of the Sea requirements**
Without Bigeye tuna due to TAL not allocated.

□ **The unit of certification DOES NOT COMPLY with Friend of the Sea requirements**

MAJOR NON-CONFORMITIES (to be corrected within 3 months)

List major Non-conformities: No Major nonconformities observed

MINOR NON-CONFORMITIES (corrective plan to be produced within 3 weeks and correction within 1 year)

List minor Non-conformities: No Minor nonconformities observed

RECOMMENDATIONS (to be communicated within the next inspection)

List recommendations:

1. Recommending to complete and validate Carbon footprint calculation with a competent institution.

(Clause No. 7.2: Recommendations).