

**Report of the
Preparatory Expert Meeting on Fishing Capacity
and Related HRD Needs in the ASEAN Region
14-16 September 2004, Bangkok, Thailand**



I. Introduction

1. The Preparatory Expert Meeting on Fishing Capacity and related Human Resource Development Needs in the ASEAN Region was organized under the ASEAN - SEAFDEC collaborative program with support from the Swedish International Development Cooperation Agency (Sida) from 14 to 16 September 2004 in Bangkok, Thailand.

2. The Meeting was attended mainly by experts from SEAFDEC Secretariat and its Regional Fisheries Working Group as well as representatives from SEAFDEC Training Department (TD), SEAFDEC Marine Fisheries Resources Development and Management Department (MFRDMD), Regional Office for Asia and the Pacific of the Food and Agriculture Organization of the United Nations (FAO), Asian Institute of Technology (AIT), Coastal Habitats and Resources Management Project (CHARM), Faculty of Fisheries of Kasetsart University of the Department of Fishery Management (KU), and Fisheries Improved for Sustainable Harvest Project (FISH). The list of the experts and participants appears as Annex 1.

3. The framework and objective of the meeting was developed out of a number of important initiatives and events, such as:

- SEAFDEC-FAO Regional Workshop on the Management of Fishing Capacity, 7-9 November 2000 in Penang, Malaysia;
- ASEAN-SEAFDEC Regional Workshop on Human Resource Development in Fisheries, 20-23 February 2004 in Kuala Lumpur, Malaysia;
- ASEAN-SEAFDEC Regional Technical Consultation on Human Resource Development in Fisheries Management, 3-6 June 2004 in Phnom Penh, Cambodia; and
- SEAFDEC-Sida Collaborative Project on Human Resource Development on the Support of the Implementation of the Code of Conduct

4. The Meeting was held with the objectives to:

- Highlight critical problems to manage fishing capacity in the ASEAN region;
- Promote collaboration between SEAFDEC and non-SEAFDEC projects and activities on how to respond to these problems in terms of HRD in the ASEAN region;
- Clarify implementation guidelines and to define practical steps towards management of excess fishing capacity, with special focus on human resource development; and to
- Discuss on the practicability and usefulness of human resource development focused pilot activities/studies to support the management of fishing capacity.

5. During the Meeting discussions focused on identification of problem areas, possibilities and target groups for various HRD interventions to alleviate problems caused by excess fishing capacity and related activities to be implemented to respond to social changes/needs due to reduced opportunities to fish. The Meeting gave special attention to the practical steps to be taken towards development of human resource development programs for management of fishing capacity in the ASEAN region.

6. The Meeting adopted the Agenda as appears as Annex 2, and the list of the documents used during the meeting as shown in Annex 3.

7. The Meeting discussed on the issues and made recommendations based on the following “*Guiding Principles*” and “*Directions towards management of excess fishing capacity*” as recommended from group discussion at the ASEAN-SEAFDEC Regional Technical Consultation (RTC) on HRD for Fisheries Management in Phnom Penh, Cambodia.

Guiding principles

- FAO IPOA-Capacity
- Multi-gear/species of fisheries
- Emphasis on small-scale fisheries both inland and marine waters
- Integration social, economic, environmental, legal and political consideration
- Priority and practicability

Direction towards management of excess fishing capacity

- To control/regulate fishing capacity
- To replace open-access with limited access regime of fisheries
- To promote co-management approaches in fisheries management
- To understand the status and trends of fisheries

II. General Conclusion and Recommendations

8. Based on the presentation of SEAFDEC-PPC at the FAO Meeting on IUU and Fishing Capacity on the five major issues (Annex 4) related to the regional implementation of the IPOA-Capacity, the Meeting stated important and needs to implement issue on “Institutional and Human Capacity Building” which should not be considered as isolation.

9. The Meeting noted that the emphasis in the IPOA-Capacity on high sea commercial fisheries were not really applicable for many counties of the region in the development of NPOA’s for management of fishing capacity. Where it is applicable, related plans of action may, in a number of countries, already exist.

10. It was suggested that in follow-up of the implementation of the IPOA-Capacity in the region it is important to look at the linkage between the issue of over capacity in fisheries to other problems related to fisheries management in order to be able to fully address over capacity at the national and regional level. This should be further discussed with country representatives at regional meetings/workshops.

11. The application of the Lighthouse approach and “learning by doing” (Annex 5) used in the FISH Project in the Philippines was recognized by the Meeting as a useful approach. The need to identify government “service delivery system” and its link and support to local authorities (Annex 6) was also seen as central in order to define applications of local management systems and responsibilities. Further exploration on the full line of this delivery system would be essential. Relevant and responsive “constituencies” should be built. With this approach and along these delivery systems it

is required to look at related HRD needs and to explore the whole line of delivery down to the LGU's (TAO's, Commune Councils, Peoples's Committees, etc.).

12. It was observed that there were two types of inputs to the meeting. The first reflected consultations, projects and project preparations at the international, regional and national level (FAO Meeting on IUU and Fishing Capacity, SEAFDEC-FAO Regional Workshop on Management of Fishing Capacity, and DOF Thailand-FAO).

13. The second type of inputs was experiences learned from various existing projects such as CHARM, FISH and some of those implemented by SEAFDEC in the region. Although the practical approaches on HRD for the continued implementation of the Sida supports under the ASEAN-SEAFDEC FCG framework could not be directly drawn from those experiences, the points related to the HRD issues are being addressed below and elsewhere:

14. In terms of priority issues and HRD directions, the value for further reference of the summaries of the consultative process within the Trawl Base Project was recognized (Annex 7). During the discussions the Meeting came to highlight a number of important issues relevant to the management of fishing capacity both for capture fisheries and aquaculture in the region. However, in these discussions HRD related directions or recommendation was not clearly stated and the list of issues (Annex 8) became merely indications of topics around which HRD, for various levels, need to be developed.

III. Points to bear in mind for the continued the project implementation:

15. As indicated above - although the implications for HRD in not only technical aspects but also to legal, environmental and social aspects should be the prime focus for the meeting. It seemed not easy to maintain the specific focus on HRD related aspects during the discussions at the meeting that instead tended to shift into thematic and issues based aspects rather than HRD as such. In conclusion, the Meeting addressed the necessity to develop HRD initiatives for the management of fishing capacity bearing in mind the priority issues and thematic points listed in Annex 7, Annex 8 and elsewhere.

16. Both statistical data and the use of "indicators" are considered as necessary and useful tools in planning and managing of fishing capacity with HRD to be developed accordingly. The Meeting pointed out the need to know actual number of fishing boats and various types of gear of both commercial and small-scale fisheries. It was considered that measurement of fishing capacity in large scale operations seems, in principle, easier than that of small scale. It was also noted that there seems to be some "grey" areas on what is to be considered legal or illegal in many types of fisheries such as in the case of trawlers, push-netters, purse seiners, etc. (referred mainly to Agenda 3.2.3). Overall it is recognised that measuring the fishing capacity actively used at different times is difficult – even in a well-organised society.

17. HRD programs should be developed at various levels and in various agencies/organizations on the content and applicability of existing legal and institutional frameworks (not only direct "fishery" law but also those related to public and social rights/responsibilities, environment, etc.) Distinctions and clarifications

should be sought on aspect of legal and illegal fishing (and other uses of aquatic habitats), and unregistered and unregulated operations.

18. Regarding data on social aspects, trade, economic situation and development, environmental, etc., responsible agencies for collecting statistical data and information will be different in various countries depending on country specific institutional mandates. Accordingly, this might imply that the target group for HRD programs should include a wide range of various agencies other than those specifically focused on fisheries.

19. The Meeting noted the importance to link non-routine (often project based) to routine data collection for the development of HRD programs to further support management of fishing capacity in the region. The importance of also linking non-routine HRD and human capacity building to efforts to be made on a more routine based nature (less costly) that could be sustained over longer periods of time with the existing structures in the respective countries.

20. HRD for the management of fishing capacity should not be developed in “isolation” but it should, taking into consideration related aspects such as those indicated in [Annex 7](#) and [Annex 8](#), be developed with references to and in consideration of the perspective of HRD for overall fisheries management, including both rural and national perspectives and development.

21. An observation made was that, even though being on the Agenda it was difficult to get social, legal and environmental aspects for fisheries management fully addressed in discussions at meetings like this. Other related meetings on fishing capacity, where social and legal matters had been on the Agenda such as the DOF-FAO meeting in Cha-Am Meeting (on management of commercial fishing capacity) provide similar experiences.

22. In the development of national plans for fishery management there is a continuous development of international restrictions and trends that in practice, for each country, implies limits within which the national plans have to be developed. The development of IPOA's, Conventions and international and regional agreements such as the United Nations Convention on the Law of the Sea (UNCLOS), Convention International Trade in Endangered Species (CITES), Convention on Biodiversity (CBD), International Convention for the Prevention of Pollution from Ships (MARPOL), rules by the World Trade Organization (WTO), Code of Conduct for Responsible Fisheries (CCRF), etc. are all external factors with direct implication for national planning processes. HRD on the implications of these international instruments need to be included.

23. An area, often neglected, in terms of HRD is to gain a feeling for changes over time in the values being given to various species and products, including “Changes in consumer preferences”. It should be recognised that products of low value could become of higher value (and vice versa) – low value fish should perhaps be termed “presently low value fish” – which could imply needed changes in management responses.

24. HRD on the implementation of “rights-based fisheries” and systems of licenses should be developed taking into consideration the implications of these systems in

promoting a balanced and sustainable management of the fisheries as a whole. It should be recognised that giving “rights” is basically, in an open access context, taking away the rights from others (those not holding the introduced right or license). In addition, it is important to distinguish between user rights and property rights with that of rights and responsibilities to “manage”.

25. Regarding HRD programs to support management of fishing capacity, specific focus should be given to that of the human side of fisheries management rather than that of the management of resources as such management as it might be easier or more productive to focus on the persons involved in fisheries and using the fishing capacity than to try to manage capacity by managing the natural fishery resources.

26. “Co-management” should be seen and developed in its specific local, national and regional context taking due note of the existing circumstances (rural – urban, small-scale/large-scale) at various levels and areas.

27. In developing HRD programs special efforts should be made to build into the design, for each target group, abilities to find and develop opportunities out of sets of problems and issues.

28. In the design of HRD programs for the use of “indicator” for sustainable capture fisheries in the region the use of indicators for the following three points should be included:

- Resource status and change;
- Social status and change; and
- Environmental status and change

IV. Considerations for the Pilot projects/area (including On-site Training)

29. Taking due note of the recommendation that HRD (and pilot work/activities) on the management of fishing capacity should be planned and implemented in conjunction with that of fisheries management as such, including aspects of rights based fisheries, local management responsibilities, statistics, etc it was further recommended that a focus on fishing capacity should be included in the “process of pilot project” recommended on fisheries management for the SEAFDEC-Sida project implementation during the “ASEAN-SEAFDEC Regional Technical Consultation on Human Resource Development in Fisheries Management, 3-6 June 2004 in Phnom Penh, Cambodia”

30. As recommendations from the ASEAN-SEAFDEC Regional Technical Consultation on HRD in Fisheries Management in Phnom Penh, Cambodia during 3-6 June 2004 stated in point 8, 12 and 16 of its report, the Meeting took note on the following for the process of the pilot project for SEAFDEC-Sida project implementation:

31. HRD in fisheries management is specific to national situation. The Member Countries are encouraged to take initiatives and ownership in addressing the management of each country. International/regional organizations are in the position to support or to facilitate the national initiatives. (Point 8)

32. Planning for pilot activities for future implementation should be a follow-up in the collaboration among institutions at the national level as well as regional and international organizations and project. (Point 12)

33. As a practical approach to develop/promote HRD in fisheries management, pilot projects in a representative set of countries in the region should be promoted as an approach for sharing experience at the regional level and further nation-wide HRD in fisheries management. Based on the outcomes of the group discussion, criteria should be developed considering reduction of disparities among the Member Countries. Differences in development stage and fisheries situation should be considered including (Point 16):

- Inland and marine fisheries
- Building up process of developing marine fisheries
- Archipelago fisheries
- Major fishing industries with diversity of fisheries with conflicts between small-scale and commercial fisheries
- Land-locked countries
- Fisheries in political and economical transition

34. In planning for pilot activities (pilot processes) in addressing the development of HRD programs at various levels it is important that specific criteria is developed for each country and each situation. These criteria should, ideally, be developed together with involved/relevant institutions (and projects) to define size, scope, location, etc.

35. Note that pilot activities or pilot processes “to share experiences at the regional level” needs could in practice be merely a process of extracting relevant experiences from a range of implemented activities and projects at various levels on items to consider in the development and implementation of HRD programs.

36. A pilot “area” for drawing experience on HRD related matters does not have to be small. It can, as shown during the meeting by the example from Tunisia, be a whole coastline or a whole segment of fisheries (such as trawling, etc.).

37. Experiences in site selection from the project on “Resource Enhancement” showed that difficulties occurred as the area, being the same area as that of another project on locally based management, turned out not to be ideal for the application of artificial reefs.

38. At village level criteria should consider existing, legally established systems of local authority such as TAO, LGU, Commune Councils, People’s Committees, etc. while at the same time recognising the establishment/rights of individual initiatives, local entrepreneurs, cooperatives/“community fisheries” of relevance to the management of fisheries and fishing capacity. Consultations and communication would be needed to define the specific patterns available.

39. In the pilot process (dialogue, sequences of workshops and consultations, etc) training elements could be included already in the process to share experiences at the regional level on HRD related matters on how to respond local needs and to incorporate

recommendation from relevant institutions. Focus for this training could be various levels in the “service delivery system” as well as for specific target groups. As far as possible this should be applied to help “to reduce disparity among the ASEAN countries”.

VI. Practical steps for development of HRD programs to support management of fishing capacity

40. In the preparations for the continuation, including the pilot process, HRD for management of fishing capacity within the context of fisheries management will not only be an isolated process for the pilot project implementation of the SEAFDEC-Sida project. Other SEAFDEC’s project such the ones on rights-based fisheries management and locally-based fisheries management, as well as relevant non-SEAFDEC projects, should be included or referred to in the process.

41. Contacts will in the near future be taken with a number of countries, through the working group members, as indicated to discuss steps to be taken and to develop suitable criteria for each pilot process including contacts with existing capacities at different levels of the organisational structures. The experiences from the implementation of other projects will be sought and shared at the regional level.

42. Implement pilot activities, according to criteria to be developed, in a “representative set of countries” to draw common lessons learned from ongoing activities and relevant projects is a basis for the sharing of experiences and to develop ways forwards at the regional level on HRD programming.

43. Identify projects/institutions in the countries which are, or have been, involved in HRD, training or other activities (and projects) of relevance, and as appropriate promote dialogues and coordination with them to share information and experience in the course of implementation of pilot processes. Maintain a dialogue with projects like FISH (the Philippines), MTCP (Malaysia) and the Fisheries Component of the UNEP/GEF South China Sea Project.

44. In each of the pilot processes (in the representative set of countries), conduct national consultation as an initial HRD activity to raise awareness on the importance of fisheries management, identify existing or prior HRD and capacity building programs, identify capacity building requirement and strategies, and HRD activities to be followed-up by SEAFDEC-Sida project (and by others after the project). The consultation will involve representatives of stakeholders in fisheries as defined during earlier contacts and criteria setting. The regional guidelines on responsible fisheries management, the HRD meeting in Phnom Penh and the outcomes of preparatory expert meetings can provide inputs to the consultations.

45. Through the processes HRD supporting materials should be developed as part of the pilot activities and used in the implementation of the pilot projects. The materials produced will be part of a learning-by-doing within the processes as such while in its documented, after accommodating various experiences from the pilot activities, also be considered as a major outcome of the SEAFDEC-Sida project. In preparations for some of these materials cooperation could be sought from organisations and projects as

indicated during the HRD Meeting in Phnom Penh (point 7.3.2 of the report from that meeting)

46. The implementation of the pilot process implementation for the SEAFDEC-Sida based on the recommendation from the meeting is illustrated in Annex 9.

47. After the end of the sequence of the pilot process or consultations in each of the countries summarize/synthesize experiences and lessons learned to be used as an input for presentations and discussions at a forthcoming RTC on HRD for Fisheries Management and the Management of Fishing Capacity.

48. A combined RTC on HRD for Fisheries Management and the Management of Fishing Capacity should be organised, possibly by the end of 2005. It should be based on the outcomes and experiences drawn from the implementation of the pilot processes as well as similar experience from other projects. The RTC is envisaged to better clarify practical approaches for fisheries management and specifically for the management of fishing capacity and what supporting HRD to develop in the future directed towards specified target groups.

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ADOPTED AGENDA

Agenda 1 Opening of the Meeting

Agenda 2 Adoption of the Agenda

Agenda 3 Review of references and papers

3.1 IPOA-Capacity

3.2 International/regional/national related events/meetings

3.2.1 FAO Meeting on IUU and fishing capacity

3.2.2 Regional Workshop on management of fishing capacity (Malaysia, 2000)

3.2.3 National Workshop on management of fishing capacity in Thailand (2004)

3.2.4 Other related Meetings/Consultations

Agenda 4 Co-management approaches for fisheries management by experiences learned from the existing SEAFDEC relevant projects

4.1 Locally-based fisheries management

4.2 Resource Enhancement

Agenda 5 Status and Trends of Fisheries

5.1 Inland and small-scale coastal capture fisheries, commercial capture fisheries, and status of the regional fisheries aquaculture

5.2 Identification of indicators for sustainable fisheries management in capture fisheries

5.3 Improvement of fisheries statistical system

Agenda 6 Limited access regime of fisheries and control/regulate fishing capacity

6.1 Decentralized/Right-based fisheries for sustainable development

6.2 Right-based project in Bang Saphan Bay fishery community

6.3 Management of fishing capacity in an archipelagic state

6.4 Various coastal fisheries management project in Thailand

6.5 Freezing the fishing fleet (Proposal)

Agenda 7 Practical steps towards development of HRD programs for management of fishing capacity

Agenda 8 Adoption of the meeting report (cancelled)

Agenda 9 Closing

LIST OF THE DOCUMENTS

Information Documents

- INF_01 Provisional Prospectus
 INF_02 Provisional List of Documents

Working Documents

- WP_01 Provisional Agenda
 WP_02a Provisional Agenda and Timetable
 WP_02b Provisional Annotated Agenda
 WP_ADD1 Solving the Fishers' Delimma Towards Right-based Fisheries
 Management in Southeast Asia
 WP_ADD2 Freezing the Fishing Fleets
 WP_ADD3 Identification of Indicators for Sustainable Development and
 Management of Capture Fisheries in the ASEAN Region: An Overview

References

- REF_01 Resolution and Plan of Action on Sustainable Fisheries for Food
 Security for the ASEAN Region
 REF_02 Strategy for Human Resource Development in Fisheries in the ASEAN
 Region
 REF_03 Short Note on the Issue of Fishing Capacity and the FAO International
 Plan of Action for the Management of Fishing Capacity
 REF_04 Initial Guidelines for the Management of Fishing Capacity in Southeast
 Asia
 REF_05 Minute of the Regional Workshop on Management of Fishing Capacity,
 7-9 November 2000, Penang, Malaysia
 REF_06 FAO International Plan of Action for the Management of Fishing
 Capacity: Review of Progress in ASEAN Countries (DRAFT)
 REF_07 Report of the ASEAN-SEAFDEC Regional Technical Consultation on
 Human Resource Development in Fisheries Management, Phnom Penh,
 Cambodia 3-6 June 2004
 REF_08 Result of Group Discussion on Excess Fishing Capacity during
 "ASEAN-SEAFDEC Regional Technical Consultation on Human
 Resource Development in Fisheries Management" held at Cambodia
 during 3-6 June 2004
 REF_09 Back to Office Report: National Seminar on Reduction and Management
 of Fishing Capacity in Thailand, 10-14 May 2004, Cha-am, Petchaburi
 REF_10 Strategy for Improving Information on Status and Trends of Capture
 Fisheries
 REF_11 Strategy for Improving Information on Status and Trends of Aquaculture

**IMPLEMENTATION OF THE INTERNATIONAL PLAN OF ACTION
IN SOUTHEAST ASIA**

Major Issues

- 1) Effective access regulatory system to fisheries
 - a. Rights-based fisheries
 - b. Freezing number of vessels
- 2) Supporting legislation
- 3) Capacity building – institution & human
- 4) Effective tools to understand status & trend of fisheries
- 5) Co-management

NOTE: The meeting recognized that point 3) Capacity building – institution & human should not be a separate item but a generic point that should be applicable to all the other four points.

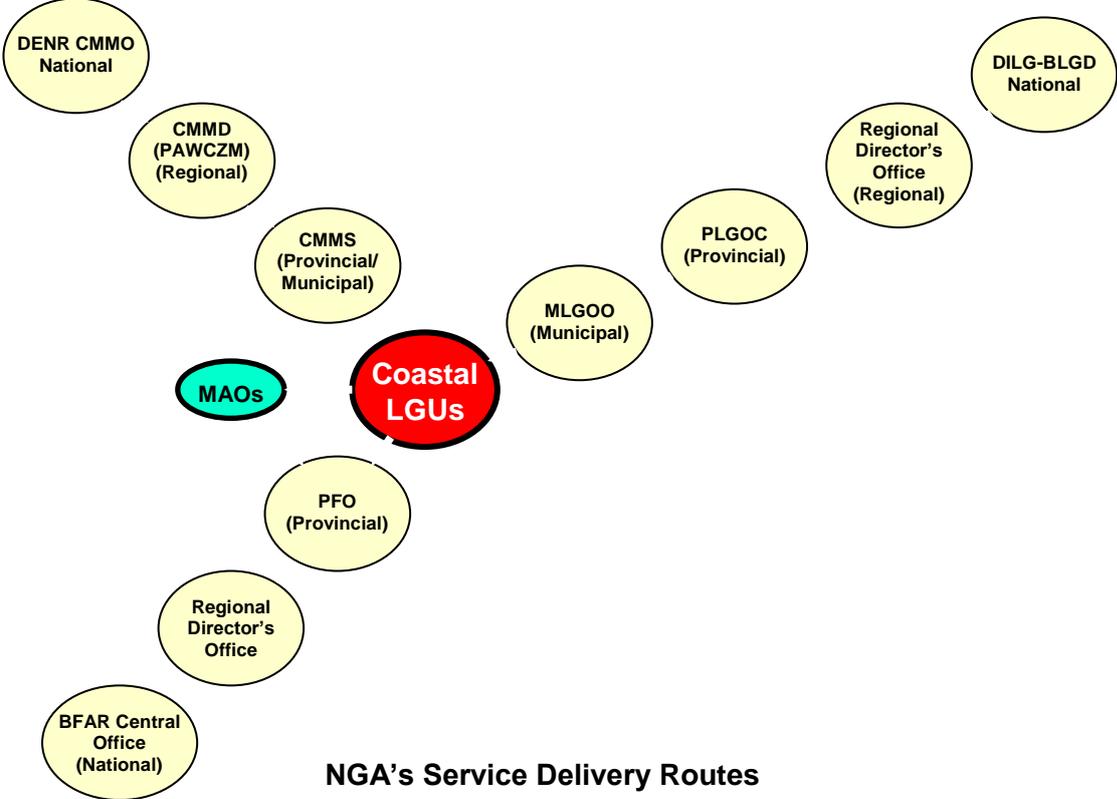
LIGHTHOUSE APPROACH APPLIED IN THE FISH PROJECT IN THE PHILIPPINES

- Need for Fisheries Management/Practitioners**
 - National, sub-national, local levels
 - Planning, implementation, M&E skills
 - Appreciation of biophysical, economic, social and institutional context of fisheries
 - Solid understanding of management situation, tools and constituency-building

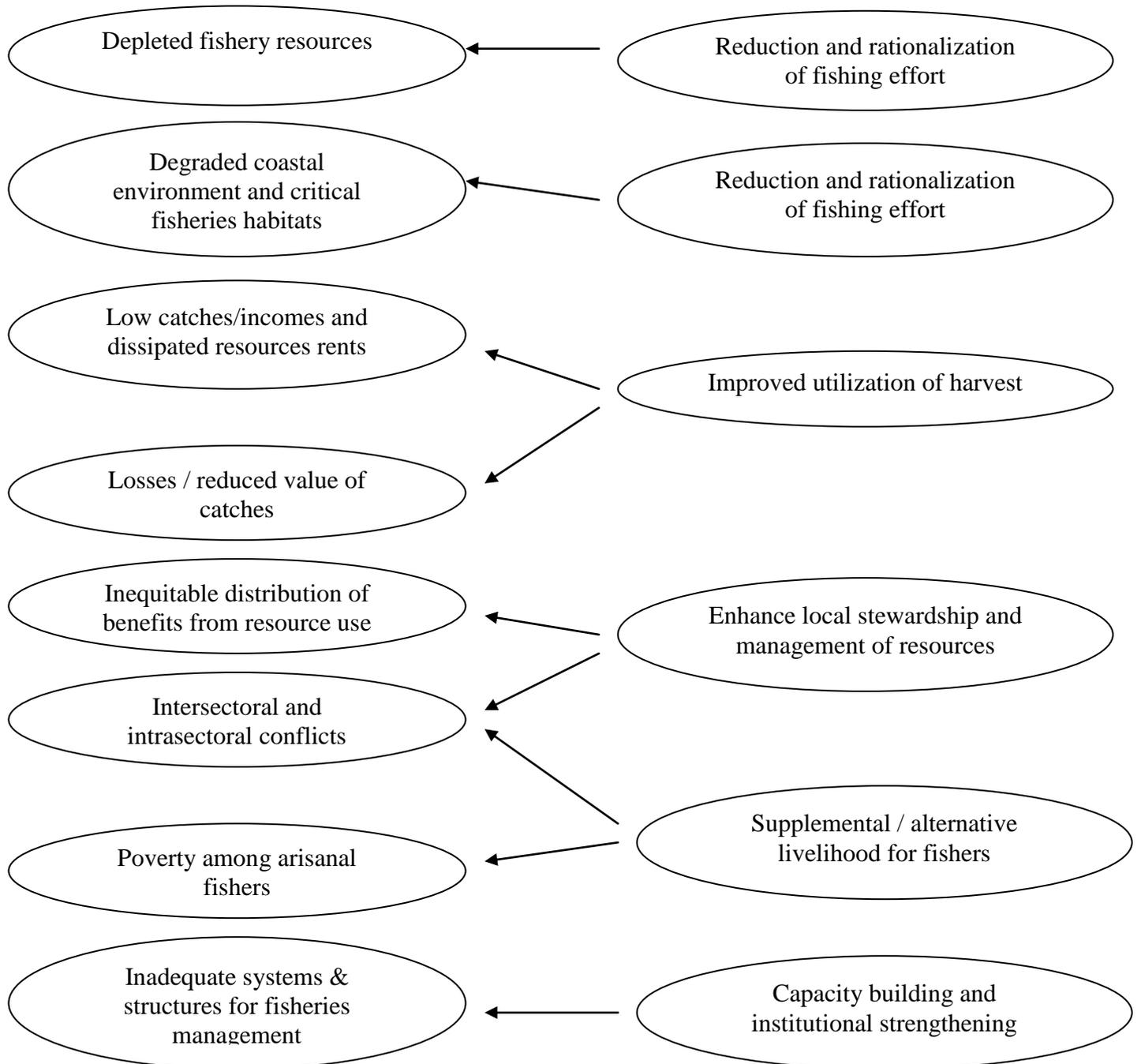
- Need for Specialists/Practitioners in**
 - MPAs
 - Effort rationalization, licensing and enforcement
 - Livelihood programs
 - Co-management
 - Post-harvest and marketing
 - Institutional strengthening
 - Constituency-building
 - Reproductive health

- Need for “Training by Doing” via “Lighthouse” projects**

- Need for Capability and Training Needs Assessment**



PRIORITY ISSUES AND HRD DIRECTIONS AS FURTHER REFERENCE



MAJOR ISSUES DISCUSSED AT THE MEETING

Coastal Fisheries

- **Effective access regulatory system to fisheries**
 - **Rights-based fisheries (Enhanced local stewardship and management of resources)**
 - **Freezing number of fishing boats**
- **Supporting legislation**
- **Capacity building – institution & human**
- **Effective tools to understand status & trend of fisheries**
- **Co-management**
 - **Introduction of the Japanese system**
- **Reduction and rationalization of fishing effort**
- **Protection, rehabilitation and enhancement of coastal habitats**
- **Improved utilization of harvests**
- **Supplemental/alternative livelihood for fishers**
- **Limit fishing technology**
- **Introduction of the selective fishing gear and devices**
- **Stop fishing subsidy**
- **Enforcing an age limit on fishing boat**
- **Provide compensation for fishers whose jobs are lost**
- **Non-transferable fishing license**
- **Market mechanism**
- **Closer consultation with stakeholders**

Aquaculture

- **Including external cost in production cost**
- **COC, GAP**

Pilot process for the SEAFDEC-Sida HRD program implementation in Fisheries Management (including management of Fishing Capacity)¹

Through the WGRFP organize a planning and criteria setting meeting with countries

- Initiate and have meetings in Cambodia, Indonesian, Thailand and Vietnam
- Establish/confirm links and cooperation with FISH Project (the Philippines), MTCP (Malaysia) and UNEP/GEF Fisheries Comp.
- Meeting with MRC on their HRD program for inland fisheries

Pilot Process 1a: Organization of National Consultations

- Mobilization of SEAFDEC and other resource persons as indicated during planning and criteria setting
- Mobilization/invitation of relevant institutions and expertise within the country.

Pilot Process 1b: Meeting with cooperating projects

- Arrange meeting with FISH Project (the Philippines), MTCP (Malaysia) and UNEP/GEF Fisheries, respectively, and/or take part in some relevant event under each/either of the projects
- Follow up on MRC experiences as indicated during earlier meeting

Pilot Process 2a + 2b: Continued activities, dialogue and/or “on-site training” (including references and materials development)

- Build on results and recommendations from stage 1a and 1b, by:
- As recommended, on a country by country basis, embark on sequence of “on-site training” (similar to the ones for statistics in the CLMV countries) and in a learning-by-doing process gather experiences to be shared at the regional level
 - In other countries establish links/cooperation with major project(s) to share experiences at the regional level
 - Continue the dialogue/cooperation with FISH, MTCP and UNEP/GEF Fisheries to share experiences at the regional level

Pilot Process 3: Lessons learned and experiences to share

- As needed a final sequence of the “on-site-training”
- Mobilization of SEAFDEC and other resource persons to analyze lessons learned and experiences to share
- Preparation for a Regional Technical Consultation, including mobilization and invitation of relevant institutions and expertise

Organization of the Regional technical consultation (Fisheries Management and the Management of Fishing Capacity)

¹ Discuss with Dr. Theo Ebberts (Rights Based Fisheries) on practical links in the processes ahead