



**Report of  
The Seventeenth Meeting of Fisheries Consultative Group  
of the ASEAN-SEAFDEC Strategic Partnership (FCG/ASSP)**

Ubon Ratchathani, Thailand

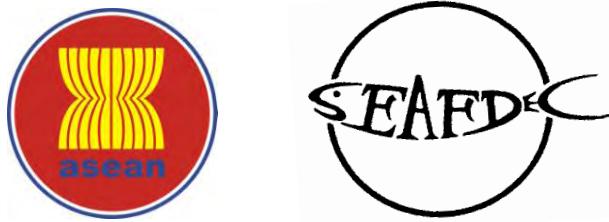
4-5 December 2014



Southeast Asian Fisheries Development Center

**REPORT OF**  
**THE SEVENTEENTH MEETING OF FISHERIES CONSULTATIVE GROUP**  
**OF THE ASEAN-SEAFDEC STRATEGIC PARTNERSHIP (FCG/ASSP)**

**Ubon Ratchathani, Thailand**  
**4-5 December 2014**



**THE SECRETARIAT**  
**SOUTHEAST ASIAN FISHERIES DEVELOPMENT CENTER**

## **PREPARATION AND DISTRIBUTION OF THIS DOCUMENT**

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## **EXECUTIVE SUMMARY**

1. The Seventeenth Meeting of the Fisheries Consultative Group of the ASEAN-SEAFDEC Strategic Partnership (FCG/ASSP) was organized in Ubon Ratchathani, Thailand from 4 to 5 December 2014, and was co-chaired by the representative from Malaysia for the Chairperson of the ASEAN Sectoral Working Group on Fisheries (ASWGFi) and the Secretary-General of SEAFDEC. Attended by representatives from the ASEAN-SEAFDEC Member Countries and SEAFDEC senior officials led by the Secretary-General, the Meeting noted the progress and developments of the programs, projects and activities of SEAFDEC under the FCG/ASSP Mechanism, and provided views and recommendations for their efficient and effective implementation.

2. On the directives at the 46<sup>th</sup> Meeting of the SEAFDEC Council in April 2014 and those of the 16<sup>th</sup> Meeting of the FCG/ASSP in November 2013:

- The participation of Lao PDR in the Training on Vessel Inspection On-board for ASEAN Member States on 5-9 January 2015 to be organized by Singapore in collaboration with the Australian Fisheries Management Authority (AFMA), is encouraged as this is useful for inspection of inland fishing activities.
- A regional guideline for on-board vessel inspection could be considered as an output of the training course taking into consideration the protocols of respective countries.
- For the development of ASEAN common position during international fora, *e.g.* FAO/COFI, COP CITES, a mechanism should be established to ensure that a unified voice from the ASEAN could be reflected and considered during the finalization/adoption of international guidelines/instruments and the like.
- ASEAN-SEAFDEC Member Countries should take part at the early stages of development of guidelines, *i.e.* at the preparatory technical meetings and not only during the finalization/adoption of such guidelines.
- AMS should raise these concerns during the ASWGFi meetings, especially during the forthcoming meeting of the ASWGFi, specifically on the required process of developing common positions by AMS.
- Development of common voice should be communicated with dialogue partners of AMS through the Chair of the Asian bloc (The Republic of Korea).
- The Chair of ASWGFi during the year should be responsible for raising the aforementioned concerns on behalf of the AMS.
- ASEAN was requested to consider convening the ASWGFi before the COFI Meeting in order that important issues could be discussed and finalized, including the common positions to be raised at the COFI.
- Issues and concerns regarding CITES should be discussed with the ASEAN Experts Group on CITES for the development of common voice to be raised during the COP CITES.
- SEAFDEC should finalize important policy-related documents as soon as possible for submission to the AMAF through appropriate ASEAN mechanism and processes, considering that the next Meeting of the ASEAN Ministers for Agriculture and Forestry (AMAF) would be in October 2015.

3. Of the projects implemented by SEAFDEC in 2014 and those proposed for 2015 as previously endorsed by the 37<sup>th</sup> Meeting of SEAFDEC Program Committee, eight had been completed in 2014 while thirteen would be continued in 2015.

4. The following seven new projects proposed for 2015 should be raised at the forthcoming meeting of the ASEAN Sectoral Working Group on Fisheries (ASWGFi) for collaboration, implementation and incorporation into the FCG/ASSP program:

- i) Reinforcement and Optimization of Fish Health Management and the Effective Dissemination in the Southeast Asian Region;
- ii) Environment-friendly, Sustainable Utilization and Management of Fisheries and Aquaculture Resources;
- iii) Research for Enhancement of Sustainable Utilization and Management of Sharks and Rays in the Southeast Asian Region;

- iv) Promotion of Sustainable Fisheries Resources Enhancement Measures in Critical Habitats/Fishing Grounds in Southeast Asia;
- v) Enhancement of Sustainability of Catadromous Eel Resources in Southeast Asia;
- vi) Promotion of Responsible Utilization of Inland Fisheries in Southeast Asia; and
- vii) Cold Chain Management of Seafood.

5. On capacity building related to aquaculture activities:

- AQD could provide technical assistance to the AMS on cost-sharing basis considering that most of its activities rely on support from the Japanese Trust Fund (JTF).
- AMS could refer to the Proceedings of IWRESA 2014: International Workshop on Resource Enhancement and Sustainable Aquaculture Practices in Southeast Asia in March 2014 to be published in April 2015, to learn about the results of AQD's project activities.

6. The proposed ASEAN-SEAFDEC Cooperation in the Implementation of the ASEAN Integrated Food Security (AIFS) Framework including Climate Change and Its Impacts on Fisheries and Aquaculture Adaptation and Mitigation Towards Food Security, prepared by the ASEAN Secretariat and circulated to the ASEAN-SEAFDEC Member Countries, could not be discussed in view of the absence of representatives from the ASEAN Secretariat during the Meeting.

7. The absence of representatives from ASEAN Secretariat in FCG/ASSP meetings during the past few years should be brought up and tabled for discussion during the next ASWGFi meeting, especially through Myanmar as the next Chair of ASWGFi.

8. Progress of the activities under the ASEAN Shrimp Alliance (ASA) spearheaded by Thailand:

- Fifth Meeting of the ASEAN Shrimp Alliance organized on 16 June 2014 in Putrajaya, Malaysia discussed the certification scheme for ASEAN Shrimp GAP.
- The ASEAN-Australia Development Cooperation Program (AADCP) Phase II would formulate the ASEAN Good Aquaculture Practices Certification Scheme which could be applicable for all aquaculture species including shrimps.
- The first draft of the Shrimp Standard for the ASEAN Region prepared by the USAID MARKET Project is considered inappropriate as it would duplicate with the ASEAN Shrimp GAP which had already been endorsed by the ASEAN in 2011.
- The visibility of developing forms of standards for the region should be raised to the ASWGFi, during discussions on the draft Standard at the forthcoming ASWGFi meeting.
- AMS should carefully review all documents prior to their submission for consideration and endorsement by higher authorities of the ASEAN.

9. The ASEAN Fisheries and Aquaculture Conference and Exposition to be hosted by Thailand and initially proposed for 2015 would be postponed to August 2016.

10. On CITES-related issues:

- The "Declaration and Action Plan for the Implementation of CITES Requirements in Relation to Sharks and Manta Rays" was developed during the Asian Regional Consultative Workshop on Capacity Assessments for the Implementation of New CITES Listing of Sharks and Manta Rays organized by CITES Secretariat in collaboration with FAO in Xiamen, Fujian Province, China in May 2014.
- The national CITES management authorities of participating countries should issue their respective letters of agreement to SEAFDEC Secretariat in order that the project proposal on Sharks and Manta Rays Landing Stock Data Collection Towards Sharks non-detriment findings (NDF) prepared for funding by the EU-CITES Project, could be subsequently submitted to the CITES Secretariat in Geneva.

11. Progress on the development of Regional Fishing Vessels Record (RFVR) database for vessels 24 meters in length and over should be reported to the higher authorities of the ASEAN.

12. On the ASEAN Catch Documentation Scheme (ASEAN CDS):

- Various concerns should be considered and appropriately incorporated in the development of the ASEAN CDS, *e.g.* foreign vessels operating in national EEZs of other countries through bilateral arrangements, requirements for information on raw materials from countries that do not export fishery products to EU, simplified CDS for small-scale fisheries.
- SEAFDEC and AMS should approach EU and other importing countries to assess whether the ASEAN CDS could be recognized and used for exporting fish and fishery products from the region to the EU.
- The concept of small-scale fisheries in the ASEAN CDS should be thoroughly discussed and that small-scale fisheries should be defined by activities and operators rather than based on the scale of fishing boats.
- SEAFDEC should accommodate the recommendations from this Meeting into the first draft of the ASEAN CDS, during the Regional Technical Consultation on ASEAN Catch Document Scheme on 16-18 December 2014 in Langkawi, Malaysia.

13. On the final draft of the ASEAN Guidelines for Preventing the Entry of Fish and Fishery Products from IUU Fishing Activities into the Supply Chain:

- Item 12.1 of the Guidelines should be changed to “States should take appropriate actions against fishing vessels operating illegally beyond their designated areas, *e.g. through flag State measures, port State measures, and coastal State measures*”.
- Abbreviations and acronyms in the Guidelines should be reviewed and completed.
- In Item 15.1, “to be reviewed every three years” of the Guidelines should be changed to “when necessary as proposed by AMS”.
- The Draft Guidelines should be revised taking into consideration the aforementioned suggestions for submission through the ASEAN mechanism for endorsement by the AMAF.

14. On the Regional Guidelines for Managing Fishing Capacity:

- The Regional Technical Consultation on Regional Guidelines for Managing Fishing Capacity to be organized on 24-26 February 2015 in Kuala Lumpur, Malaysia aims to share and exchange experiences on the development of national frameworks for managing fishing capacity.

15. On the regional cooperation to develop the Regional Plan of Action on Sustainable Utilization of Neritic Tunas in the ASEAN Region (RPOA-Neritic Tunas):

- Some items on the Draft RPOA-Neritic Tunas should be amended as follows:
  - i) Objective V should be changed to “Addressing Social Issues”;
  - ii) In Item 2 on Working Condition and Labor Issues of Objective V, bullet 1 should be changed to “Prevention of child labor under the age of 15 years (or less than 18 years) working in tuna fisheries sectors in accordance with ILO Conventions”;
  - iii) In Item 2 on Working Condition and Labor Issues of Objective V, bullet 3 should be changed to “Promotion of safety requirements at sea with capacity building and training for people engaged in tuna fisheries and related activities”; and
  - iv) Objective VI should be changed to “Enhancing Regional Cooperation”.
- The Scientific Working Group (SWG) to be established as a long-term mechanism to support the implementation of the RPOA-Neritic Tunas, should be capable of working independently with support from their respective national governments and with MFRDMD serving as secretariat of SWG.
- The TOR of SWG and the principles of formulating the SWG mechanism would be submitted to the SEAFDEC Council for approval.
- The final draft of the Regional Plan of Action on Sustainable Utilization of Neritic Tunas in the ASEAN Region should be submitted for consideration and approval by the higher authorities of SEAFDEC and the ASEAN.

16. On the Regional Policy Recommendations on Conservation and Management of Eel Resources and Promotion of Sustainable Aquaculture envisioned to provide the framework for the development

of important activities in the Southeast Asian region and to come up with common approaches for management and utilization of eel resources:

- The phrase “legalize the trading of glass eels within AMS” should be replaced with “a framework for intra-regional trading of eels such as guidelines on trading of certain sizes of eels and quota system, among others”.
- This Regional Policy Recommendations should be submitted to the higher authorities of SEAFDEC and the ASEAN taking into account the abovementioned recommendation.

17. The Regional Guidelines on Traceability System for Aquaculture Products undertaken by MFRD in 2014 and timelines should be submitted to the higher authorities of SEAFDEC and the ASEAN.

18. On the Publication of Important Findings and Recommendations on Chemical Use in Aquaculture in Southeast Asia by AQD:

- The coverage of the study should be expanded to other AMS under cost-sharing basis, not only limiting to the Philippines.
- The exclusion of white shrimp in the study due to limited funds allocated should be reviewed and discussed thoroughly.

19. The Regional Plan of Action for Managing Foraging Habitats of Sea Turtles in Southeast Asian Waters is technical in nature and thus, endorsement of the Guidelines from the higher authorities of SEAFDEC and the ASEAN would not be necessary, although the Guidelines would be made accessible through MFRDMD website.

20. The Report of the 17<sup>th</sup> Meeting of the FCG/ASSP was adopted on 5 December 2014.

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**REPORT OF THE SEVENTEENTH MEETING OF THE FISHERIES CONSULTATIVE  
GROUP OF THE ASEAN-SEAFDEC STRATEGIC PARTNERSHIP (FCG/ASSP)**

**4-5 December 2014, Ubon Ratchathani, Thailand**

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**I. INTRODUCTION**

1. The Seventeenth Meeting of the Fisheries Consultative Group (FCG) of the ASEAN-SEAFDEC Strategic Partnership (ASSP) was organized in Ubon Ratchathani, Thailand from 4 to 5 December 2014. The main objective of the Meeting was to discuss the programs and activities implemented in 2014 and proposed for 2015 under the FCG/ASSP Mechanism as endorsed by the SEAFDEC Program Committee at its Thirty-seventh Meeting in 2014 and the progress of other proposals implemented under the ASSP Framework, in order to come up with policy considerations on issues of importance to the fisheries sector of the ASEAN-SEAFDEC Member Countries. The Meeting was attended by representatives from the ASEAN-SEAFDEC Member Countries, the SEAFDEC Secretary-General, Deputy Secretary-General and senior officials of the SEAFDEC Secretariat and Departments. Members of the Regional Fisheries Policy Network (RFPN) based at the SEAFDEC Secretariat also attended the Meeting. The List of Participants appears as **Annex 1**.

2. The Meeting was co-chaired by the representative from Malaysia, *Mr. Ahmad Hazizi bin Aziz* on behalf of the current Chairperson of the ASEAN Sectoral Working Group on Fisheries (ASWGFi) and by the Secretary-General of SEAFDEC, *Dr. Chumnarn Pongsri*.

3. In his Opening Remarks, the Co-chair for the ASEAN welcomed the participants to the Meeting and thanked SEAFDEC for hosting the Meeting in Ubon Ratchathani, Thailand. He cited that the region will be entering into the realm of a united and harmonized body when the ASEAN Economic Community (AEC) shall have been integrated by 2015, engaging much more under the Free Trade Agreement under the Regional Comprehensive Economic Partnership (RCEP). He also pointed out the need to study the report on ‘the Strategic Plan for ASEAN Cooperation in Food, Agriculture and Forestry (2016-2025), in particular, under the fisheries strategic thrust and priority areas.

4. He expressed the appreciation to SEAFDEC for supporting the ASEAN in facilitating the achievement of the AEC Blueprint, and expressed the hope that SEAFDEC would intensify and strengthen its cooperation with the ASEAN in line with the Resolution and Plan of Action on Sustainable Fisheries for Food Security for the ASEAN Region Towards 2020. He pointed out that while we are still promoting the ecosystem approach for fisheries management (EAFM), a new paradigm has shifted the focus of fisheries development toward “blue economic approach”. With such development, he asked SEAFDEC to initiate works to raise awareness and understanding among the ASEAN Member States (AMS) on this new approach for future undertaking of activities in line with such approach. He reiterated that this FCG/ASSP Meeting would discuss important matters related to fisheries development of the ASEAN, and declared the Meeting open. His Opening Remarks appears as **Annex 2**.

5. The Co-chair for SEAFDEC informed the Meeting that SEAFDEC is delighted to sustain its services to the AMS as the technical arm for the implementation of programs/projects towards sustainable development of fisheries for the ASEAN. He also mentioned that SEAFDEC would look into the requirements for the “blue economy approach” and expressed willingness to align the activities of SEAFDEC with this new approach accordingly.

**II. ADOPTION OF THE AGENDA**

6. The Agenda which appears as **Annex 3** was adopted.



### **III. FOLLOW-UP ACTIONS TO THE DIRECTIVES GIVEN AT SEAFDEC MEETINGS AND ASEAN BODIES RELATED TO FISHERIES**

#### **3.1 Follow-up Actions to the Directives Given at the Forty-sixth Meeting of the SEAFDEC Council and the Sixteenth Meeting of the Fisheries Consultative Group of the ASEAN-SEAFDEC Strategic Partnership (FCG/ASSP)**

7. The Meeting was informed on the follow-up actions undertaken by SEAFDEC in response to the directives of the SEAFDEC Council during its 46<sup>th</sup> Meeting on 1-4 April 2014 and the Fisheries Consultative Group of the ASEAN-SEAFDEC Strategic Partnership (FCG/ASSP) during its 16<sup>th</sup> Meeting on 28-29 November 2013 as shown in **Annex 4** and **Annex 5**, respectively.

8. While commending SEAFDEC for the activities conducted in response to the request of the Council, the representative from Singapore informed the Meeting that the country will conduct a Training on Vessel Inspection On-board for ASEAN Member States on 5-9 January 2015 in collaboration with the Australian Fisheries Management Authority (AFMA). The training would be conducted by a trainer from AFMA on-board a refrigerated carrier vessel anchored at Singapore port. Singapore would also explore the possibility for participants to observe inspection on-board a fishing vessel if such a vessel is available. She added that the invitation was also extended to Lao PDR to participate in the training, considering that this could also be beneficial for inspection of inland fishing activities.

9. Moreover, the representative from Singapore also informed the Meeting that Singapore would support two participants from each AMS. In this connection, the representative from Cambodia requested SEAFDEC through its projects related to combating IUU fishing, *i.e.* SEAFDEC-Sweden Project, to consider supporting additional participants from AMS to this training course. Furthermore, TD also expressed the willingness to send its staff to attend the course to obtain experience on vessel inspection on-board at SEAFDEC expense. In this connection, the representative from Singapore requested the countries and TD to inform Singapore on their additional participants before confirmation could be provided.

10. The representative from the Philippines while commending Singapore for organizing the training course as it would enhance the capacity of countries to take up their respective port State responsibilities expressed the concern that countries may have different inspection protocols in accordance with their respective policies and regulations. In response to such concern, the representative from Singapore informed the Meeting that the development of regional guidelines for on-board vessel inspection could be considered after the training course to take into consideration the protocols of respective countries.

11. With regards to the ASEAN common position during international fora, *e.g.* FAO/COFI, COP CITES, the representative from Viet Nam expressed the need to explore the establishment of a mechanism to reflect a unified voice from the ASEAN in order to ensure that this be considered in finalization/adoption of international guidelines.

12. In this connection, the representative from Japan informed the Meeting that for groups of countries with a common position, representative from leading country can express such position on behalf of the group, but all countries (or the country's Embassy representative in Rome) would have to be at the Meeting. To ensure that the situation and concerns of the region are properly reflected in international guidelines, he encouraged the countries to participate in the process at early stages of development of the guidelines, *e.g.* during the preparatory technical meetings, and not only during the adoption of the Guidelines.

13. The Meeting therefore suggested that AMS should raise this concern during the ASWGFi meetings and in this regard, the representative from Singapore suggested that the ASWGFi should be convened before COFI Meeting in order to discuss important issues and come up with common positions to be raised at the COFI. It was also suggested that on behalf of ASEAN, the Chair of the ASWGFi during the year should be responsible in raising the common position on behalf of ASEAN.

In the case of CITES issues, the matter should be brought for consideration of the ASEAN Experts Group on CITES to develop common voice to be raised at the COP CITES.

14. While noting that the role of SEAFDEC is limited to provide technical information as basis for development of recommendations on common/coordinated position for consideration by the ASWGFi, the Meeting suggested that the possibility and required process of developing common positions should be raised for discussion at the forthcoming meeting of the ASWGFi.

15. In a related development, ASEAN should also consider working with dialogue partners on the possibility of developing common voice, however this need to be communicated with the Chair of the group, *e.g.* Asian bloc which is chaired by the Republic of Korea.

### **3.2 Follow-up Actions to the Directives Given at ASEAN Bodies Related to Fisheries**

16. On behalf of the ASEAN Secretariat, the follow-up actions to the directives given at ASEAN Bodies Related to Fisheries from October 2013 to October 2014, as well as the progress of the collaborative projects were presented by the Meeting Co-Chair for SEAFDEC and Secretary-General of SEAFDEC. These include the Policy on Fisheries and ASEAN Community Building, ASEAN Policy and Cooperation in Fisheries, progress of the ASEAN-SEAFDEC collaborative activities, endorsement of the new initiatives in 2014 under the FCG/ASSP, and the ASEAN Cooperation with Dialogue Partners (**Annex 6**).

17. The representative from Singapore informed the Meeting that as the next Meeting of the ASEAN Ministers for Agriculture and Forestry (AMAF) is scheduled to be organized in October 2015, SEAFDEC should consider important policy-related documents that could be finalized and passed through appropriate processes for submission to the AMAF accordingly.

## **IV. ASEAN-SEAFDEC STRATEGIC PARTNERSHIP (ASSP) AND FISHERIES CONSULTATIVE GROUP (FCG) COLLABORATIVE PROGRAMS FOR THE YEAR 2014-2015**

### **4.1 Summary Report on the Fisheries Consultative Group (FCG) of the ASEAN-SEAFDEC Strategic Partnership (ASSP) Collaborative Programs for the Year 2014-2015**

18. The Collaborative Programs under the Fisheries Consultative Group of the ASEAN-SEAFDEC Strategic Partnership (FCG/ASSP) Mechanism for 2014-2015 were reviewed by the Thirty-seventh Meeting of the Program Committee of the Southeast Asian Fisheries Development Center (SEAFDEC) held in Ubon Ratchathani, Thailand from 1 to 3 December 2014. The results of the program scrutiny and the recommendations were summarized and submitted to the 17<sup>th</sup> Meeting of the Fisheries Consultative Group (FCG) of the ASEAN-SEAFDEC Strategic Partnership (ASSP) for consideration and endorsement.

19. The Meeting noted that the projects were categorized under SEAFDEC Program Thrusts adopted by the SEAFDEC Council in 2009, except the project on “Fisheries and Habitat Management, Climate Change and Social Well-being in Southeast Asia” which is under the ‘Special Project’ category. The Meeting also noted that eight projects were completed in 2014 while thirteen projects will be continued in 2015.

20. The Meeting also took note of the seven new projects proposed for 2015, which will be raised at the forthcoming meeting of the ASEAN Sectoral Working Group on Fisheries (ASWGFi) for collaboration, implementation and incorporation into the FCG/ASSP program, as follows:

- i) Reinforcement and Optimization of Fish Health Management and the Effective Dissemination in the Southeast Asian Region;
- ii) Environment-friendly, Sustainable Utilization and Management of Fisheries and Aquaculture Resources;
- iii) Research for Enhancement of Sustainable Utilization and Management of Sharks and Rays in the Southeast Asian Region;



- iv) Promotion of Sustainable Fisheries Resources Enhancement Measures in Critical Habitats/Fishing Grounds in Southeast Asia;
- v) Enhancement of Sustainability of Catadromous Eel Resources in Southeast Asia;
- vi) Promotion of Responsible Utilization of Inland Fisheries in Southeast Asia; and
- vii) Cold Chain Management of Seafood.

21. The summary of the recommendations on the FCG/ASSP collaborative programs during the 37<sup>th</sup> Meeting of SEAFDEC Program Committee, appears as **Annex 7**.

22. During the discussion on requests for capacity building of AMS on relevant aquaculture activities, the Chief of AQD informed the Meeting that most of AQD activities rely on support from the Japanese Trust Fund (JTF). Nevertheless, AQD is willing to extend technical assistance to the AMS on a cost-sharing basis. As for the need to disseminate results of its project activities, the Meeting was informed that the Proceedings of IWRESA 2014: International Workshop on Resource Enhancement and Sustainable Aquaculture Practices in Southeast Asia organized by AQD in March 2014 would be published by April 2015.

23. After the discussion, the Meeting endorsed the progress and achievements of the programs implemented under the FCG/ASSP in 2014 and the programs proposed for 2015, including the relevant recommendations of the 37<sup>th</sup> Meeting of the SEAFDEC Program Committee, for submission to higher authorities of SEAFDEC and the ASEAN.

## V. PROGRESS OF THE PROPOSALS IMPLEMENTED UNDER THE ASSP

### 5.1 ASEAN-SEAFDEC Cooperation in the Implementation of the ASEAN Integrated Food Security (AIFS) Framework

- *Climate Change and Its Impacts on Fisheries and Aquaculture: Adaptation and Mitigation Towards Food Security*

24. The Meeting noted the progress of the project on the ASEAN-SEAFDEC Cooperation in the Implementation of the ASEAN Integrated Food Security (AIFS) Framework including Climate Change and its Impacts on Fisheries and Aquaculture Adaptation and Mitigation Towards Food Security (**Annex 8**), which was prepared by the ASEAN Secretariat and circulated to the ASEAN-SEAFDEC Member Countries. However, discussion on the proposal could not be made during the Meeting in view of the absence of the representative from the ASEAN Secretariat.

25. While concern on the absence of ASEAN Secretariat during the past few years was raised by the AMS, the Meeting suggested that the matter should be brought up by Myanmar as the next Chair of ASWGFi and tabled for discussion during the next ASWGFi meeting. In this regard, all AMS should also express this concern during the said meeting.

### 5.2 ASEAN Fisheries Consultative Forum (AFCF)

26. The Meeting took note of the progress of the ASEAN Fisheries Consultative Forum (AFCF) (**Annex 9**) as circulated by the ASEAN Secretariat.

### 5.3 ASEAN Shrimp Alliance (ASA)

27. The representative from Thailand informed the Meeting on the progress of the activities of the ASEAN Shrimp Alliance (ASA) undertaken by Thailand (**Annex 10**), including the Fifth Meeting of the ASEAN Shrimp Alliance organized on 16 June 2014 in Putrajaya, Malaysia hosted by the Department of Fisheries Malaysia and attended by Indonesia, Malaysia, Philippines, and Thailand.

28. The Fifth Meeting of ASA discussed the certification scheme for ASEAN Shrimp GAP and agreed that the ASEAN-Australia Development Cooperation Program (AADCP) Phase II will formulate the ASEAN Good Aquaculture Practices Certification Scheme which could be applied for

all aquaculture species including shrimps. This would ensure that the ASEAN GAqP Certification Scheme is applicable for all AMS, and that the National ASA Focal Points should attend the AADCP Meeting scheduled in July 2015.

29. The representative from Viet Nam expressed the concern that Viet Nam was unable to send representatives to attend the Fifth Meeting of the ASA due to problems of receiving the necessary invitation letter. In this connection, she suggested that henceforth, all relevant invitation letters should be sent to the Office of the Department of Science, Technology and International Cooperation, in charge of sending representatives to attend in overseas meetings.

30. Regarding the first draft of the Shrimp Standard for the ASEAN Region prepared by the USAID MARKET Project, the representatives from Malaysia and Thailand expressed the concern that the development of the Shrimp Standard for ASEAN region is inappropriate since the ASEAN had already endorsed ASEAN Shrimp GAP in 2011.

31. While supporting the concern of Malaysia and Thailand, particularly on the visibility of developing such form of standard for the region, the representative from Singapore suggested that this matter should be raised to the ASWGFi, and when the draft Standard is tabled at the ASWGFi meeting, AMS should carefully review the document before endorsement for consideration by the higher authority of the ASEAN.

#### **5.4 Others**

32. On the planned organization of the ASEAN Fisheries and Aquaculture Conference and Exposition to be hosted by Thailand which was initially proposed to be held in 2015, the representative from Thailand informed the Meeting that the event is postponed to August 2016. Since the Thai Cabinet has already approved the proposal including the required budget, the Department of Fisheries of Thailand would proceed with the necessary arrangements for the event, and coordinate closely with SEAFDEC on the technical preparation for the Conference.

33. The representative from Japan expressed the willingness of Japan to join the Exhibition and requested for relevant information to be provided to Japan at least one year prior to the event in order to secure the budget from the country's financial authorities for their participation.

### **VI. POLICY CONSIDERATION ON INTERNATIONAL FISHERIES-RELATED ISSUES**

#### **6.1 CITES Issues: Regional Implementation Support**

34. The Meeting noted the "Declaration and Action Plan for the Implementation of CITES Requirements in Relation to Sharks and Manta Rays" based on the Asian Regional Consultative Workshop on Capacity Assessments for the Implementation of New CITES Listing of Sharks and Manta Rays organized by CITES Secretariat in collaboration with FAO at Xiamen, Fujian Province, China on 13-15 May 2014 as well as the progress made by SEAFDEC in relation to CITES-related issues which appears as **Annex 11**.

35. The representative from Japan informed the Meeting on the difficulties faced in issuing non-detriment findings (NDF) document with scientific data to ensure that export of sharks and rays would not create damage to the resources. As NDF document is very difficult to issue, Japan has prohibited the export of three species of hammerhead sharks and porbeagle sharks due to insufficient scientific data on status of the stocks.

36. With regards to the project proposal on Sharks and Manta Rays Landing Stock Data Collection Towards Sharks NDF which was prepared for funding support from EU-CITES Project, it was noted that national CITES management authorities of participating countries would have to issue their respective letters of agreement to SEAFDEC Secretariat for subsequent submission to the CITES Secretariat in Geneva. In this regard, the representatives from Myanmar and Malaysia cited that their



countries have already sent their respective letters of agreement to SEAFDEC, and requested SEAFDEC to follow-up on this matter.

37. The Meeting was informed that this project intends to support countries that do not have national budget for data collection in order to come up with the regional picture of sharks and rays, considering that some countries may already have the budget for data collection. The species of sharks and rays to be covered by each country would depend on the existing species in national waters of the respective countries.

38. The representative from Japan shared information concerning the listing of economically important species in the next CITES COP to be held in South Africa in 2016, where the Atlantic bluefin tuna; Japanese, American and Asian eel species; precious corals; sharks and rays, could be proposed to be listed in the CITES Appendices. With regards to eels, the Meeting was informed on the report released by TRAFFIC in October 2014 on the drastic increase of catch and illegal trade of *Anguilla bicolor* in the Philippines, while IUCN has already listed the American eels as endangered species in its Red List. The representative from Japan therefore expressed concern on the possibility that the Japanese eels would also be proposed for listing in the IUCN Red List.

39. The Meeting was also informed by the representative from Japan on the recent initiative of countries such as Japan, China, the Republic of Korea and Taiwan in management of Japanese eels by decreasing the utilization of juvenile eels by 20% in 2014, and urged that appropriate management actions should also be taken for the Asian eel species.

40. With regards to precious corals, the representative from Japan informed the Meeting that more than 200 Chinese vessels have encroached the waters of Japan to collect precious corals illegally. Noting that precious corals have been proposed for listing in CITES Appendix II during CITES COP14, but the proposal was not accepted. Nevertheless, such illegal harvest of precious corals may lead to new proposal for listing of the species at the next CITES COP.

41. The representative from Japan also expressed concern that CITES only have measures to control but insufficient in monitoring and surveillance of the trade of the listed species. The listing of species in CITES Appendices may therefore result in illegal trading of such species in the black market, and lead to the unsustainability of the resources.

## 6.2 Combating IUU Fishing

### 6.2.1 Regional Fishing Vessels Record for Vessels 24 Meters in Length and Over

42. While noting the progress in the development of Regional Fishing Vessels Record (RFVR) database for vessels 24 meters in length and over (**Annex 12**), the Meeting agreed to report such progress to the higher authorities of the ASEAN.

### 6.2.2 ASEAN Catch Documentation Scheme

43. While noting of the progress on the development of the ASEAN Catch Documentation Scheme (ASEAN CDS) (**Annex 13**), the Meeting expressed concern on cases that should be considered and appropriately incorporated in the development of the ASEAN CDS, *e.g.* foreign vessels operating in national EEZs of other countries through bilateral arrangements, requirements for information on raw materials from countries that do not export fishery products to EU, simplified CDS for small-scale fisheries.

44. The Meeting also noted that SEAFDEC will organize the Regional Technical Consultation on ASEAN Catch Document Scheme from 16 to 18 December 2014 in Langkawi, Malaysia to finalize the first draft of the ASEAN CDS and SEAFDEC would accommodate the recommendations from this Meeting as well as additional inputs from Member Countries to improve the ASEAN CDS.

45. While expressing appreciation to SEAFDEC for its initiative in developing the ASEAN CDS, the representative from Singapore suggested on the next step, where SEAFDEC should approach EU and other importing countries to assess whether the ASEAN CDS could be recognized to be used for export of fishery products of the region to EU.

46. The representative from Viet Nam requested that the concept of small-scale fisheries in the ASEAN CDS should be further discussed. She added that small-scale fisheries should be defined by activities and operators rather than based on the scale of fishing boats.

#### *6.2.3 Guidelines to Prevent the Entry of Fish and Fishery Products from IUU Fishing Activities into the Supply Chain*

47. The Meeting took note of the final draft of the ASEAN Guidelines for Preventing the Entry of Fish and Fishery Products from IUU Fishing Activities into the Supply Chain (**Annex 14**) and suggested that Item 12.1 of the Guidelines should be changed to “States should take appropriate actions against fishing vessels operating illegally beyond their designated areas, e.g. through flag State measures, port State measures, and coastal State measures”.

48. The representative from Thailand requested MFRDMD to complete the list of abbreviations and acronyms in the Guidelines. In addition, the phrase “to be reviewed every three years” in Item 15.1 of the Guidelines should be changed to “when necessary as proposed by AMS”.

49. After expressing appreciation to MFRDMD for the efforts in developing this Guidelines, which is very useful for the region, the Meeting requested that the Guidelines be revised taking into consideration the aforementioned suggestions and submitted through the ASEAN channel for endorsement by AMAF.

#### *6.2.4 Guidelines for Managing Fishing Capacity for the ASEAN Region*

50. The Meeting took note of the progress in the development of the Regional Guidelines for Managing Fishing Capacity (**Annex 15**), and the planned conduct of the Regional Technical Consultation on Regional Guidelines for Managing Fishing Capacity on 24-26 February 2015 in Kuala Lumpur, Malaysia. Subsequently, the representative from Viet Nam shared the information that Viet Nam has already developed and endorsed its NPOA-Fishing Capacity, and several consultations on the NPOA have been conducted at the local level.

### **6.3 Regional Cooperation to Promote Sustainable Fisheries in ASEAN Region**

#### *6.3.1 Regional Plan of Action on Sustainable Utilization of Neritic Tunas in the ASEAN Region*

51. The Meeting was informed on the progress of the regional cooperation to promote sustainable fisheries in the ASEAN region especially on the development of the Regional Plan of Action on Sustainable Utilization of Neritic Tunas in the ASEAN Region (RPOA-Neritic Tunas), and suggested to amend the Draft RPOA-Neritic Tunas as follows:

- i) Objective V should be changed to “Addressing Social Issues”;
- ii) In Item 2 on Working Condition and Labor Issues of Objective V, bullet 1 should be changed to “Prevention of child labor under the age of 15 years (or less than 18 years) working in tuna fisheries sectors in accordance with ILO Conventions”;
- iii) In Item 2 on Working Condition and Labor Issues of Objective V, bullet 3 should be changed to “Promotion of safety requirements at sea with capacity building and training for people engaged in tuna fisheries and related activities”; and
- iv) Objective VI should be changed to “Enhancing Regional Cooperation”.

52. The Meeting was informed that the Scientific Working Group (SWG) is to be established as a long-term mechanism to support the implementation of the RPOA-Neritic Tunas. It is expected that in the long-term, the SWG should be capable of working independently with support from their



respective national governments and with MFRDMD serving as secretariat of SWG. The Meeting also took note of the TOR of the SWG and approved the principle of formulating the SWG mechanism pending the submission of the TOR for approval by the SEAFDEC Council.

53. In response to the query of the representative from the Philippines on the possibility of integrating the concept of EAFM in the RPOA-Neritic Tunas, it was clarified that this would be considered in the development of the guidelines for EAFM for neritic tunas.

54. After the deliberation, the Meeting endorsed in principle the final draft of the Regional Plan of Action on Sustainable Utilization of Neritic Tunas in the ASEAN Region (**Annex 16**), taking into consideration the suggestions of the Meeting, and requested SEAFDEC to submit the document for consideration and approval of higher authorities of SEAFDEC and the ASEAN.

#### *6.3.2 Regional Policy Recommendations on Conservation and Management of Eel Resources and Promotion of Sustainable Aquaculture*

55. The Meeting noted the progress of the Regional Policy Recommendations on Conservation and Management of Eel Resources and Promotion of Sustainable Aquaculture (**Annex 17**), which is envisioned to provide the framework for the development of important activities in the Southeast Asian region in order to come up with common approaches for management and utilization of eel resources.

56. The representative from Singapore expressed the concern on the recommendation to “legalize the trading of glass eels within AMS”, and suggested that this should be replaced by a framework for intra-regional trading of eels such as guidelines on trading of certain sizes of eels and quota system, among others.

57. After the deliberation, the Meeting agreed to endorse the Regional Policy Recommendations on Conservation and Management of Eel Resources and Promotion of Sustainable Aquaculture to the higher authorities of SEAFDEC and the ASEAN, taking the abovementioned recommendations.

### **6.4 Food Safety Issues**

#### *6.4.1 Regional Guidelines on Traceability System for Aquaculture Products*

58. The Meeting noted the progress of the activities of the development of the Regional Guidelines on Traceability System for Aquaculture Products (**Annex 18**) undertaken by MFRD in 2014 and the timelines to submit the said Regional Guidelines to the higher authorities of SEAFDEC and the ASEAN.

#### *6.4.2 Publication of Important Findings and Recommendations on Chemical Use in Aquaculture in Southeast Asia*

59. The Meeting was informed on the Publication of Important Findings and Recommendations on Chemical Use in Aquaculture in Southeast Asia (**Annex 19**), being carried out by AQD.

60. In response to the query of the representative from Singapore on the dosage of antibiotics used on fish to determine the withdrawal period, it was clarified that similar dosages commonly used in fish were applied and the levels of antibiotics in fish were regularly monitored until there was no more antibiotic residue in the fish. On the query of the representative from Viet Nam about the exclusion of white shrimp in the study, it was clarified that this was due to limited funds allocated for the study. It is also for the same reason that only the Philippines was covered in the study. However, the coverage of the study could be expanded to other AMS under cost-sharing basis.

## 6.5 Other Regional Important Issues

### 6.5.1 Action Plan for Managing Foraging Habitats of Sea Turtles

61. The Meeting noted and endorsed the Regional Plan of Action for Managing Foraging Habitats of Sea Turtles in Southeast Asian Waters (**Annex 20**) for submission to the higher authorities of SEAFDEC and the ASEAN.

62. With regards to the recommendation made by the 15<sup>th</sup> ASWGFi for development of Guidelines for Conducting Scientific Survey for Sea Turtles Foraging Habitats, the Meeting noted that this is technical in nature and thus, it would not be necessary to obtain endorsement of the Guidelines from the higher authorities of SEAFDEC and the ASEAN. However, MFRDMD would make the Guidelines accessible in its website.

## VII. ADOPTION OF RECOMMENDATIONS AND REPORT OF THE MEETING

63. On the occasion of the 87<sup>th</sup> Birthday of His Majesty the King Bhumibol Adulyadej, the representatives from ASEAN-SEAFDEC Member Countries and the SEAFDEC senior officials attending the Meeting joined the people of Thailand in greeting His Majesty a very Happy Birthday and in wishing him good health.

64. The Meeting adopted the Report of the 17<sup>th</sup> Meeting of the Fisheries Consultative Group (FCG) of the ASEAN-SEAFDEC Strategic Partnership (ASSP) on 5 December 2014 in Ubon Ratchathani, Thailand.

65. The results of the Meeting will be submitted to the higher authorities of the ASEAN and SEAFDEC for consideration and appropriate action.

## VIII. CLOSING OF THE MEETING

66. The Co-chairperson for the ASEAN extended his gratitude to the participants for their active participation in the Meeting. He highlighted the need for collective efforts of the region in addressing issues at international fora so that the region's voices would be heard by the global community. He expressed the hope the ASEAN Secretariat with the assistance of SEAFDEC could support the wish of the Member Countries on this matter and facilitate the streamlining the best platform and instruments for developing the common voice, whether as an ASEAN or Asia bloc depending on the international meeting where the common voice would be presented.

67. He also encouraged ASEAN Secretariat to attend the FCG/ASSP meetings to ensure that important fisheries issues could appropriately addressed through the ASEAN mechanism and all AMS should raise this matter in appropriate ASEAN fora. He then expressed his gratitude to SEAFDEC/TD for hosting this Meeting. His Remarks appears as **Annex 21**.

68. The Co-chairperson for SEAFDEC thanked the active cooperation and comments from the ASEAN-SEAFDEC Member Countries during the Meeting which has led to the successful conclusion of the Meeting with significant recommendations on several aspects especially with regards to the progress of implementation and development of the ASEAN-SEAFDEC regional programs. He expressed the hope that such recommendations would be further submitted to the higher authorities of ASEAN for consideration and endorsement. In addition, he also thanked the SEAFDEC Training Department and Secretariat staff for the excellent arrangements for the Meeting, and declared the Meeting closed. His Closing Remarks appears as **Annex 22**.



**Annex 1**

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**Annex 2**

**OPENING REMARKS**

By *Mr. Ahmad Hazizi bin Aziz*  
Co-chair for the ASEAN Sectoral Working Group on Fisheries

Selamat Pagi, Good Morning,  
My SEAFDEC Co-chair, *Dr. Chumnarn Pongsri*,  
Distinguished delegates from the ASEAN-SEAFDEC Member Countries and the ASEAN Secretariat  
SEAFDEC Senior Officials,  
Ladies and Gentlemen,

First and foremost, on behalf of the ASEAN co-chair allow me to extend my warmest welcome to all distinguished delegates to the 17<sup>th</sup> Meeting of the Fisheries Consultative Group of the ASEAN-SEAFDEC Strategic Partnership (FCG/ASSP). My sincere thank also goes to SEAFDEC for hosting this meeting in Ubon Ratchathani, Thailand.

As we are all aware, we are soon entering an important phase of ASEAN Economic Community (AEC) by next year 2015. In parallel, ASEAN is also actively engaging in a much broader Free Trade Agreement under the Regional Comprehensive Economic Partnership (RCEP) with its current six free trade partners. Needless for me to mention that AEC and RCEP share a common timeline. That said, 2015 will be a hectic year for ASEAN.

Distinguished Delegates, Ladies and Gentlemen,

SEAFDEC has been ASEAN's good partner for a long time thanks to the formalization of the ASEAN-SEAFDEC Strategic Partnership (ASSP) in 2007. SEAFDEC has been very supportive in facilitating the achievement of AEC Blueprint and we hope SEAFDEC will intensify and strengthen its cooperation beyond 2015 in line with the Resolution and Plan of Action on Sustainable Fisheries for Food Security for the ASEAN Region Towards 2020. Speaking of post 2015, as ASEAN co-chair, I would like to bring your attention to the **Study Report for “The Strategic Plan for ASEAN Cooperation in Food, Agriculture and Forestry (2016-2025)”**. In particular, under the fisheries Strategic Thrust and priority areas, the term “blue economy approach” has been established. While we are still struggling with “ecosystem approach to fisheries management (EAFM), here comes a new terminology for us to embrace. We also noted the current work under APEC surrounding this terminology. However, since the “blue economy” term is nowhere to be found in our 2011 Resolution and Plan of Action, I would like to suggest for SEAFDEC to start initial work to raise awareness and understanding among ASEAN Member States in its future undertaking.

In this meeting, I believe we will be further enlightened by ASEAN secretariat on matters related to fisheries that have been dealt with by various ASEAN sectoral bodies. I wish we have a fruitful meeting and deliberation for the next couple of days with guidance of ASEAN Secretariat.

Distinguished Delegates, Ladies and Gentlemen,

Without further ado, I declare the 17<sup>th</sup> Meeting of the Fisheries Consultative Group of the ASEAN-SEAFDEC Strategic Partnership (FCG/ASP) officially opened.

Thank you.



**Annex 3**

**AGENDA**

**Agenda 1: Opening of the Meeting**

**Agenda 2: Adoption of the Agenda**

**Agenda 3: Follow-up Actions to the Directives Given at SEAFDEC Meetings and ASEAN Bodies Related to Fisheries**

- 3.1 Follow-up Actions to the Directives Given at the 46<sup>th</sup> Meeting of SEAFDEC Council and 16<sup>th</sup> Meeting of the Fisheries Consultative Group of the ASEAN-SEAFDEC Strategic Partnership (FCG/ASSP)
- 3.2 Follow-up Actions to the Directives Given at ASEAN Bodies Related to Fisheries

**Agenda 4: ASEAN-SEAFDEC Strategic Partnership (ASSP) and Fisheries Consultative Group (FCG) Collaborative Programs for the Year 2014-2015**

- 4.1 Summary Report on the Fisheries Consultative Group (FCG) of the ASEAN-SEAFDEC Strategic Partnership (ASSP) Collaborative Programs for the Year 2014-2015

**Agenda 5: Progress of the Proposals Implemented under the ASSP**

- 5.1 ASEAN-SEAFDEC Cooperation in the Implementation of the ASEAN Integrated Food Security (AIFS) Framework
  - Climate Change and Its Impacts on Fisheries and Aquaculture: Adaptation and Mitigation Towards Food Security
- 5.2 ASEAN Fisheries Consultative Forum (AFCF)
- 5.3 ASEAN Shrimp Alliance (ASA)
- 5.4 Others

**Agenda 6: Policy Consideration on International Fisheries-related Issues**

- 6.1 CITES Issues: Regional Implementation Support
- 6.2 Combating IUU Fishing
  - 6.2.1 Regional Fishing Vessels Record for Vessels 24m in Length and Over
  - 6.2.2 ASEAN Catch Documentation Scheme
  - 6.2.3 Guidelines to Prevent the Entry of Fish and Fishery Products from IUU Fishing Activities into the Supply Chain
  - 6.2.4 Guidelines for Managing Fishing Capacity for the ASEAN Region
- 6.3 Regional Cooperation to Promote Sustainable Fisheries in ASEAN Region
  - 6.3.1 Regional Plan of Action on Sustainable Utilization of Neritic Tunas in the ASEAN Region
  - 6.3.2 Regional Policy Recommendations on Conservation and Management of Eel Resources and Promotion of Sustainable Aquaculture
  - 6.3.3 Others
- 6.4 Food Safety Issues
  - 6.4.1 Regional Guidelines on Traceability System for Aquaculture Products
  - 6.4.2 Publication of Important Findings and Recommendations on Chemical Use in Aquaculture in Southeast Asia
  - 6.3.3 Others
- 6.5 Others Regional Important Issues
  - 6.5.1 Action Plan for Managing Foraging Habitats of Sea Turtles

**Agenda 7: Adoption of Recommendations and Report of the Meeting**

**Agenda 8: Closing of the Meeting**



## FOLLOW-UP ACTIONS TO THE DIRECTIVES GIVEN AT THE 46<sup>TH</sup> MEETING OF THE SEAFDEC COUNCIL

Issues	Para	Responsible Department	Final Response from SEAFDEC
<b>II. REPORT OF THE SECRETARY-GENERAL</b>			
1. The Council Director for Myanmar expressed the appreciation to SEAFDEC for the programs and activities that were systematically and successfully implemented in 2013. He mentioned that in line with the efforts exerted by Myanmar to promote poverty alleviation and food security in the country, <u>he requested SEAFDEC to put more emphasis on the projects and activities under Program Thrust 1 on Rehabilitation of Fisheries Resources and Habitat/Fishing Grounds for Fishery Enhancement.</u>	19	TD	In response to the request of the Council Director for Myanmar, TD will consider continuation of projects and activities on "Rehabilitation of Fisheries Resources and Habitat/Fishing Grounds for Fishery Enhancement" well as to respond to the needs of Member Countries as much as possible. Since, 2014 is the end of the project, TD is now planning newly reinforced projects for 2015 on "Promotion of sustainable fisheries resources enhancement measures in critical habitats/fishing grounds in Southeast Asia". In order to maximize cost effectiveness as well as respond to the needs of Member Countries as much as possible, the propose pilot project site will be determine during the project inception workshop.
2. While inquiring on the status of the special project on Enhancing Coastal Community Resilience for Sustainable Livelihood and Coastal Resources Management with support from the ASEAN, Islamic Development Bank (IDB) and SEAFDEC, the Council Director for Brunei Darussalam encouraged SEAFDEC to enhance its collaboration with the ASEAN Secretariat and to follow up on the progress of this proposed special project. He also <u>requested SEAFDEC to consider revisiting the original proposal considering that there are emerging issues in fisheries that continue to confront the region which might need to be addressed under the proposed project.</u>	20	Secretariat	The revised proposal in line with the new ASEAN template was submitted to ASEAN Secretariat as requested by end of April 2014, and again in September 2014. However, this issue was also discussed at the 22 <sup>nd</sup> ASWGFi where IDB representative also attended the meeting. But there was no concrete decision on project approval yet. In connection to this, MFRDMD was communicated by IDB mentioned to have a direct contract with SEAFDEC in order to move ahead on releasing the fund for implementation. Presently, SEAFDEC wait either ASEAN-SEC or IDB will response back. For time being, IDB project is put back to the Pipeline project for 37 <sup>th</sup> PCM in December 2014.
3. The Council Director for Lao PDR expressed the appreciation to SEAFDEC for implementing several programs and projects in 2013 that highlighted on human capacity building through on-site training and national workshops in Lao PDR. <u>He also requested SEAFDEC to continue providing technical assistance to Lao PDR especially on fisheries resources management for the sustainable development of the country's fisheries sector.</u>	22	TD	TD continued to support Member Countries on human capacity building on fisheries resources management through on-site training on community-based fisheries management program. Local on-site training program for 2014 were conducted in Vietnam, Cambodia and Thailand. TD is waiting for official request and confirmation on training venue and duration from Lao PDR.
4. The Council Director for Cambodia commended SEAFDEC for the successful implementation of programs and projects in 2013,	24	SEAFDEC Secretariat	Secretariat sent Senior Advisor, Dr. Magnus and PPC, Dr. Somboon to attend the 1 <sup>st</sup> meeting organized by FiA in Phnom Penh on 19-20 March

<b>Issues</b>	<b>Para</b>	<b>Responsible Department</b>	<b>Final Response from SEAFDEC</b>
and <u>requested SEAFDEC to support the effort of the country in combating IUU fishing through training to enhance the country's capacity especially in complying with the EC Regulation.</u> He informed the Council that Cambodia was drafting its National Plan of Action to Prevent, Deter and Eliminate IUU Fishing, and requested SEAFDEC to provide technical support on this aspect.			2014 in order to drafting of the NPOA-IUU The comments and work plan for drafting the Cambodia National Plan of Action (NPOA) to prevent, deter and eliminate Illegal, Unreported and Unregulated (IUU) Fishing was agreed by the FiA.
5. The Council Director for the Philippines expressed the appreciation to SEAFDEC for successfully implementing various programs and projects in 2013, and suggested that SEAFDEC could also consider addressing the issues and concerns that confronted the countries in complying with the EC Regulation in relation to IUU fishing, and ensuring that fish and fishery products marketed from the region are not from IUU fishing activities. He also <u>requested SEAFDEC to intensify its efforts in promoting regional policies in combating IUU fishing.</u>	25	Secretariat with Other Departments concerning on combating IUU fishing	There are several regional policy recommendations related to combat the IUU fishing particularly in the region such as establishment of the RFVR Database system, Regional Guidelines for preventing entry of fish and fishery products from IUU activities to the supply chains in the region, and the ASEAN Catch Documentation Systems. In addition, SEAFDEC will work on Regional Guidelines on Managing Fishing Capacity as requested by Malaysia. All these efforts required the country cooperation particularly on information and data sharing, and implementation. SEAFDEC will find the most effective ways to strengthening countries cooperation on this matter.
<b>III. RESULTS OF THE THIRTY-FIFTH MEETING OF THE PROGRAM COMMITTEE</b>			
6. The Council Director for Malaysia informed the Meeting that in view of the latest changes in scenario of the fisheries sector, the project document <u>on "Enhancing Coastal Community Resilience for Sustainable Livelihood and Coastal Resources Management"</u> needed to be revalidated especially its contents to conform to the donor's requirements and the changing fisheries situation. In this connection, <u>SEAFDEC was requested to coordinate with the ASEAN Secretariat for possibility of revisiting and revising the proposal if necessary.</u>	28	SEC in cooperation with MFRDMD	MFRDMD had recently adjusted the proposal according to the request of ASEAN. The complete proposal was submitted to ASEAN on 11 September 2014.  While waiting for the project to be implemented, MFRDMD had already liaised with representative of the participating three countries (Brunei DS, Indonesia and Malaysia) to gather baseline information (e.g. community profile) at the proposed pilot site.
7. The Council Director for Indonesia informed the Meeting that starting in 2015 the new SEAFDEC Inland Fishery Resources Development and Management Department (IFRDMD) would be formally established. In this regard, <u>he requested the Member Countries to support the new SEAFDEC Department in the implementation of activities to promote inland fisheries management in the region.</u> He also informed the Council that the initial activities of IFRDMD which focus on eel resource management with possible assistance from the Japanese Trust	30	Secretariat	The IFRDMD initial Framework from 2015 has been discussed during consultation visit to Indonesia during 22-23 July 2014. There are two main initial 3-year projects supported by JTF are 1) Enhancement of Sustainability of catadromous eel resources in Southeast Asia, 2) Promotion of responsible utilization of inland fisheries in Southeast Asia. In addition, SEAFDEC was also informed on the 4-years project funded by GEF where FAO is a GEF Agency, will be implemented under the IFRDMD framework. Regarding this the lessons learned from SEAFDEC Department such as TD and MFRDMD will be requested to support the

<b>Issues</b>	<b>Para</b>	<b>Responsible Department</b>	<b>Final Response from SEAFDEC</b>
Fund (JTF), would aim to alleviate poverty in rural areas while also conserve eel resources in a sustainable manner.			said project.
8. The Council Director for Cambodia requested SEAFDEC for technical assistance on stock enhancement of freshwater prawns especially in the area of artificial reproduction and grow-out culture to support rehabilitation activities on enhancing the freshwater prawn stocks which could be beneficial not only to Cambodia but also to Vietnam and Lao PDR.	31	AQD	The international training on Freshwater Prawn Hatchery and Grow-out Operations was conducted last September 8-12, 2014 at AQD's Binangonan Freshwater Station. Eight participants (from Brunei and Philippines) completed the course. However, Cambodia, Vietnam and Lao PDR were not represented although letters of invitation were sent to these countries.
9. The Council Director for Myanmar expressed his appreciation to SEAFDEC for its continuous efforts in implementing programs and projects that aim to address region-oriented issues in the fisheries sectors of the Member Countries. He also pointed out that the establishment of the Regional Fisheries Policy Network (RFPN) program for capacity building of young fisheries officers from Member Countries to work together with the SEAFDEC Secretariat and gain experience had been beneficial to the countries. He also requested SEAFDEC to consider providing technical assistance to the country to enable it to implement activities on small-scale fish farming for rural development.	32	AQD	AQD has continued to provide technical assistance to Myanmar on several aspects of aquaculture. AQD's training on 'Community-based freshwater aquaculture for remote rural areas of Southeast Asia' that will be held on November 25 to December 4, 2014 will give priority to participants from less developed Member Countries of SEAFDEC (including Myanmar).
10. The Council Director for the Philippines requested SEAFDEC to consider intensifying its activities related to aquatic animal health management and combating IUU fishing which could affect trade of fish and fishery products from the region. Considering that a mechanism for capacity building was already established within SEAFDEC, he suggested that SEAFDEC could make use of the expertise in the region to help the Member Countries in responding to the challenges of IUU fishing. He also encouraged the Member Countries to discuss the current issues openly and that the countries should share information on such issues with other countries so that experiences could be learned.	33	Secretariat in cooperation with TD, AQD and MFRDMD	Link to Para 25: SEAFDEC responded and requested the relevant AMS to share the information-related issues on combating IUU fishing such as the sharing of information and data for RFVR 24m in length and over. In addition, SEAFDEC also requested for cooperation in combating IUU fishing through the endorsement of the Guidelines for preventing entry of fish and fishery products from IUU fishing activities into the supply chains in the region as well as promotion of the ASEAN Catch Documentation Schemes which in developing process.
11. While conforming to the concern of the Council Director for the Philippines, the Council Director for Vietnam suggested that relevant legal information and regulations in neighboring countries, especially information on IUU fishing should be shared. In addition, with regards to the project on "Traceability Systems	34	Secretariat	Secretariat took note on the advise for SEAFDEC to actively monitor and participate to the FAO developing process for the international guidelines related to traceability system.

Issues	Para	Responsible Department	Final Response from SEAFDEC
for Aquaculture Products in the ASEAN Region" which would be completed in 2014, he informed the Council that during the COFI Sub-committee on Fish Trade in February 2014 in Norway, the Meeting came up with the plan to develop guidelines on best practices on traceability which might include capture fisheries. He then <u>requested SEAFDEC to monitor this development and come up with appropriate activities for implementation in the future.</u>			
12. Moreover, he also acknowledged the support that SEAFDEC has been providing to Vietnam <u>on the promotion of community-based management, which has made significant contribution in the development of a sustainable coastal fisheries management scheme, and also requested SEAFDEC to continue supporting the country's activities on this aspect.</u>	35	TD	TOT (Training on Trainer) on Facilitating Fisheries Information Gathering through Introduction of Community-based Fisheries Management: Legislative and Institutional Aspects of Right Based Fisheries Management" was conducted on 13-15 August 2014, at Da Nang City, Vietnam.
<b>IV. RESULTS OF THE SIXTEENTH MEETING OF THE FISHERIES CONSULTATIVE GROUP (FCG) OF THE ASEAN-SEAFDEC STRATEGIC PARTNERSHIP (ASSP)</b>			
13. On the development of the ASEAN Catch Documentation System, the Council Director for Vietnam informed the Council that during the Fourteenth Session of the FAO COFI Sub-committee on Fish Trade in February 2014 in Bergen, Norway, the development of catch documentation scheme which was consistent with international laws as well as established agreements under the WTO was adopted. While the catch documentation scheme had its own specifications and considering that fisheries in the region were small-scale, <u>SEAFDEC/MFRDMD which is mainly responsible for developing the ASEAN Catch Documentation System was requested to enhance close cooperation with and make technical contributions to the technical panel of FAO in terms of developing international best practices and guidelines for catch documentation.</u>	43	MFRDMD in cooperation with Secretariat	MFRDMD in cooperation with Secretariat conducted a small group of expert meeting including ASEAN lead country (Singapore) with the aims to discuss on the zero draft by Secretariat during its meeting from 14 to 16 October at Concorde Inn, Sepang, Selangor, Malaysia. The meeting came up with the 1 <sup>st</sup> draft of the ASEAN Catch Documentation Scheme that will be circulated to all ASEAN SEAFDEC Member Countries one month before the 1 <sup>st</sup> RTC on ASEAN Catch Documentation Scheme held on 16-18 December 2014 in Langkawi, Kehad, Malaysia.
14. With reference to the implementation of regional activities under the ASEAN Fisheries Consultative Forum (AFCF), the Council Director for <u>Myanmar requested SEAFDEC to support Myanmar as the lead country for aquaculture feed development, in carrying out its tasks in developing the relevant strategic plan of action for the ASEAN Cooperation in Fisheries (2011-2015).</u>	45	Secretariat in cooperation with AQD	In cooperation with SEAFDEC Secretariat, AQD has already developed and submitted a proposal to Secretariat (with Myanmar as the lead country) entitled 'ASEAN RTC on Development and Use of Alternative Dietary Ingredients or Fish Meal Substitutes in Aquaculture Feed Formulations'. With the support from MOFA/Japan and ASEAN Foundation through the Japan-ASEAN Solidarity Funds, Secretariat, AQD in cooperation with

<b>Issues</b>	<b>Para</b>	<b>Responsible Department</b>	<b>Final Response from SEAFDEC</b>
			DOF/Myanmar propose to hold the RTC on December 9-11, 2014 in Myanmar.
<b>V. POLICY CONSIDERATION ON IMPORTANT ISSUES</b>			
<b>Establishment of the “Regional Fishing Vessels Record (RFVR)” A tool to combat the IUU fishing in Southeast Asian Region</b>			
15. The Council Director for Malaysia viewed this regional approach as a long-term effort to combat IUU fishing in the region and that the Government of Malaysia agreed to share its minimum requirements information on fishing vessels. He also <u>requested SEAFDEC to consider the International Maritime Organization (IMO) decision in December 2013, to include in the RFVR large-scale fishing vessels weighing 100 GT or more into the voluntary IMO Numbering Scheme using seven-digit number identifier.</u>	49	TD	<p>SEAFDEC noted the suggestions and requested from Indonesia, Vietnam and Myanmar. With regard to the IMO, it is clear that the voluntary IMO numbering scheme using 7-digit number will be applied for all larger vessels but not cover all wooden boat which are mostly found in the Southeast Asian Region.</p> <p>SEAFDEC/TD will also further consult with Myanmar, Indonesia countries at the 37<sup>th</sup> Meeting of SEAFDEC Program Committee for future assistance.</p>
16. While supporting the establishment of the RFVR, <u>the Council Director for Indonesia requested SEAFDEC to share the completed questionnaire of the vessel records to the RPOA-IUU Secretariat based in Indonesia, and requested SEAFDEC to continue extending technical assistance to Member Countries in converting fishing vessel measurements into meters for the RFVR.</u>		TD	
17. The Council Director for Myanmar informed the Council that the Department of Marine Administration (DMA) of Myanmar was responsible for registration of all vessels in accordance with the provisions of the IMO. Based on the regulation of DMA, the country could provide the basic requirements mentioned in the establishment of the RFVR. While the Department of Fisheries of Myanmar was responsible to issue fishing licenses for fishing vessels registered with DMA, Myanmar was willing to take part in the establishment of the RFVR. He added that currently, the compilation of data on national fishing vessels was recorded manually in hard copies and not in the form of database. In this connection, he <u>requested SEAFDEC to provide technical support for the capacity building of the country’s concerned fisheries administration staff on the use of the database collection software for the development of the country’s electronic database.</u>	51	TD	

<b>Issues</b>	<b>Para</b>	<b>Responsible Department</b>	<b>Final Response from SEAFDEC</b>
18. The Council Director for Vietnam expressed the appreciation to SEAFDEC for providing technical assistance to Vietnam in conducting surveys on converting vessel measurement from horsepower to Gross Tonnage under international conversion scheme. However, the result of the conversion processes had not yet been finalized for implementation because of the varied conversion coefficients in many areas of the country. <u>Vietnam therefore requested for further assistance from SEAFDEC in order to determine the appropriate conversion coefficient for fishing vessels larger than twenty meters in length in order to have more consistent information for the RFVR database.</u>	52	TD	<p>Regarding data input to RFVR on GT information of fishing vessels over 20 meters in Vietnam, TD will further communicate with NC-Vietnam to provide suggestion based on the outputs/findings from the survey in Vietnam conducted by SEAFDEC in March 2013.</p> <p>In addition, the final report of the 2013 survey will be sent to NC-Vietnam and relevant agencies soonest for their information and future possible application.</p>
<b>Regional Plan of Action for Sustainable Neritic Tuna Fisheries Management in the Southeast Asian Region</b>			
19. While expressing concern on the inadequacy of data and information to support the development of Regional Plan of Action, <u>the Council Director for Vietnam requested SEAFDEC to circulate the draft Regional Plan of Action including substantive background information and to seek the support of the Member Countries on this development. He also requested SEAFDEC to develop appropriate technology and fishing gears for the capture of neritic tuna species in a sustainable manner.</u>	60	Secretariat	<p>Through a series of consultation meeting with ASEAN-SEAFDEC Member Countries, the draft Regional Plan of Action for Neritic Tuna was finalized by the Expert Group Meeting held on 18-20 June 2014. Secretariat has circulated the final draft for comments and support by the Council before addressing at the 17<sup>th</sup> FCG/ASSP in December 2014 to get support from ASEAN Member States. For development of appropriate technology and gears, secretariat will request TD for consideration, however AMS should be noted that the issues on how the appropriate management scheme with includes the good fishing practices is the most important need to be considered.</p> <p>In line with the Agreed Framework for Neritic Tuna program, Secretariat established the Scientific Working Group (SWG) for the Stock Assessment. It is expected that by November 2014, SEAFDEC could have meet all SWG at its first meeting.</p>
20. The Council Director for Indonesia noted the progress of the development of Regional Plan of Action and informed the Council that Indonesia was willing to support such development especially in terms of capacity building and enhancing the awareness of small-scale fishers. In this connection, <u>he requested SEAFDEC to consider the requirements of relevant tuna regional fisheries management organizations (tuna RFMOs) in order that the Regional Plan of Action would be developed in compliance with</u>	61	Secretariat in cooperation with TD and MFRDMD	SEAFDEC noted on the suggestions made by Council director from Indonesia, to support and collaborate with the RPOA-IUU, during the 7 <sup>th</sup> Coordination Committee Meeting on the RPOA-IUU held on Rydges Esplanade Resort, Cairns, Australia from 4-6 November 2014, SEAFDEC will report of progress and outputs of those issues i.e. Establishment of the “Regional Fishing Vessels Record (RFVR)”; ASEAN Catch Certification System; Regional Plan of Action for Sustainable Neritic Tuna Fisheries Management in the Southeast Asian Region;

<b>Issues</b>	<b>Para</b>	<b>Responsible Department</b>	<b>Final Response from SEAFDEC</b>
<u>tuna RFMOs.</u> In addition, he suggested that the four activities of SEAFDEC that aim to combat IUU fishing in the region could be consolidated, <i>i.e.</i> Establishment of the ‘Regional Fishing Vessels Record (RFVR)’; ASEAN Catch Certification System; Regional Plan of Action for Sustainable Neritic Tuna Fisheries Management in the Southeast Asian Region; and Combating IUU Fishing in the Southeast Asian Region through Application of Catch Certification for Trading of Fish and Fishery Products. Furthermore, <u>SEAFDEC was also requested to collaborate with RPOA-IUU in this aspect as it was one of the regional institutions working on combating IUU fishing in the region.</u>			
<b>Creation of Coordination Unit in SEAFDEC Training Department for the New Training Program on Ecosystem Approach to Fisheries Management</b>			
21. While supporting such proposal, the Council for the Philippines pointed out that this could be the first step for the region to move towards ecosystem-based management approach and that this capacity building should be availed of by the countries in the region. <u>He therefore requested SEAFDEC to assist the Member Countries on enhancing their capacities in EAFM.</u>	64	TD	The Regional Training Course on Essential EAFM and Extension Methodologies was conducted at SEAFDEC/TD, from 15 to 29 September, 2014. Two participants from each Member Country which including the Philippines were invited for this regional training course. Also as the Philippines conducted the BFAR/FAO/GEF/SEAFDEC/ REBYC-II CTI Project Training/Workshop on E-RAFM for (Trawl) Fisheries management for Samar Sea Cataloging, Samar, from 14 to 19 July, 2014. SEAFDEC/TD also continued to provide technical support by sending three resource persons and trainers to support in the mentioned training course.
22. The Council Director for Cambodia also supported the initiative and cited that EAFM was an important approach. <u>He also requested SEAFDEC to disseminate the EAFM concept to the Member Countries through capacity building.</u>	65	TD	<p>The Regional Training Course on Essential EAFM and Extension Methodologies was conducted at SEAFDEC/TD, from 15 to 29 September, 2014. Two participants from each Member Country were invited for this regional training course.</p> <p>Furthermore after this regional training course SEAFDEC will continue to give support to the Member Countries through the national capacity building (national training courses) on E-EAFM and Extension Methodologies. The support from SEAFDEC on these national training courses will be based on the requirement from the Member Countries.</p>

Issues	Para	Responsible Department	Final Response from SEAFDEC
<b>VI. OTHERS MATTERS</b>			
<b>Establishment of the “Inland Fishery Resources Development and Management Department (IFRDMD)” in Indonesia</b>			
<p>23. The Council Director for Japan suggested that the processes and requirements for the establishment of IFRDMD should be finalized at this Council Meeting to enable the IFRDMD to start implementing its planned activities in 2015. However, he added that the details of the Plan of Operation and Program of Work of IFRDMD could be discussed thoroughly together with the revised Plans of Operation of the other SEAFDEC Departments which should take into consideration the prioritized issues to be considered by the Council under sub-agenda of Agenda 9.1 on Identification of Priority Issues for SEAFDEC Program Formulation.</p>	68	Secretariat	<p>The Secretariat issued letter to the CD of Indonesia (dated 22 May), reiterating the requirement for the Government of Indonesia to prepare the national legitimacy for issuing the law, regulation and privileges for establishing of the intergovernmental institution. This is required for the Council's official approval and announcement of the establishment of IFRDMD, as well as to allow the Government of Japan to appoint the Deputy Chief of the new Department.</p> <p>Secretariat also organized the SEAFDEC Strategic Plan of Operation of 2015-2025 Workshop from 1-3 October 2014 at Maruay Garden Hotel, Bangkok, Thailand with the aims to revised the current Plan of Operation to be aligned with the prioritized issues to be considered the next council director.</p>
<b>Cold Chain Management of Seafood</b>			
<p>24. While expressing the appreciation to Singapore for providing support to the Member Countries through this project, the Council Director for Indonesia offered to share the experience of Indonesia in the setting up of seafood logistic systems that include transport systems and standards of food safety in the seafood chain. In this connection, he also requested SEAFDEC to revisit the relevant project undertaken by the ASEAN in the past under the ASEAN Food Handling Bureau, and compile the necessary information for dissemination to the Member Countries. He emphasized that through this project, the quality of seafood could be sustained while higher price of fish products could be attained.</p>	70	Secretariat in cooperation with Singapore	Singapore has taken note of this request and will be taking it into consideration when implementing the project starting 2015.
<p>25. The Council Director for Indonesia also suggested that the output of the project could be reported to the ASEAN considering that this could later on be turned into the ASEAN Cold Chain Management System. He also requested Singapore to take into consideration the shortage of supply of quality ice in many countries in the region and also the difference between the price of iced and un-iced fish.</p>	71	Singapore	

<b>Issues</b>	<b>Para</b>	<b>Responsible Department</b>	<b>Final Response from SEAFDEC</b>
<b>VII. FUTURE DIRECTION OF SEAFDEC</b>			
26. The Council took note of the reports presented by the SEAFDEC Secretary-General on the results of the efforts of SEAFDEC to respond to the special requests made by the Member Countries during the 45 <sup>th</sup> Meeting of the SEAFDEC Council in 2013. In the closed session attended by the heads of the Member Countries' delegations only, the Council agreed on the following:	80	Secretariat in cooperation with Departments	<p>SEAFDEC/MFRDMD had submitted a proposal for its new organizational structure according to MFRDMD programs priorities and still waiting for approval from the SEAFDEC Council Director for Malaysia</p> <p>In response to this, secretariat prepared the template for cost benefit analysis of the Past SEAFDEC program as well as improving the project proposal template to include the subject of cost benefit analysis for future program implementation. In addition, PPC office will work with TD technical staffs on SEAFDEC program database that include the category of activity and spent budget for each implementation to ensure that the finance report will be in line with program implementation report.</p> <p>For 5-year plan which is related to the revised Plan of Operation needed to be addressed at the 37<sup>th</sup> PCM. However, it is necessary to revisit first on revision of Plan of Operation for long term guidance for each SEAFDEC Department.</p> <p>And recently, MFRDMD had submitted a proposal for its new organizational structure according to MFRDMD programs priorities and was approved by the SEAFDEC Council Director for Malaysia during the reorganization of Department of Fisheries Malaysia.</p>
<b>VIII. MANAGEMENT OF CENTER</b>			
<b>Follow-up on the Results of the Special Council Meeting</b>			
• <i>Identification of Priority Issues for SEAFDEC Program Formulation</i>			
27. The Council Directors for Thailand and the Philippines suggested that aquatic animal health management including control and prevention of trans-boundary aquatic animal diseases should be included in the future formulation of aquaculture programs because addressing this issue would require a regional	87	AQD	Through AQD's on-going Departmental Program on 'Healthy and Wholesome Aquaculture' and Regional Project on Fish Health, AQD has been giving high priority to activities that address regional issues on aquatic animal health. These activities are in accordance with ASEAN-SEAFDEC Plan of Action on Sustainable Fisheries adopted in 2011.

<b>Issues</b>	<b>Para</b>	<b>Responsible Department</b>	<b>Final Response from SEAFDEC</b>
<p>collaborative effort. <u>The Council therefore requested SEAFDEC and in particular AQD, to make sure that aquatic animal health management is included as first priority for AQD.</u></p>			<p>Concerning the recommendations made during the Special Council Meeting. Concerning the transboundary diseases, the study on EMS ('Development of protective measures against EMS) has also been listed as one of the priorities of AQD's regional project on aquatic animal health under JTF-V, scheduled to be implemented beginning in 2015.</p> <p>The proposal to convene a regional meeting in the Philippines to bring together representatives of SEAFDEC Member Countries and technical experts to assess the status of EMS and other transboundary diseases, and identify initiatives that need urgent actions for regional cooperation will be submitted to Secretariat and some donor agencies during the last week of July, for possible funding.</p> <p>Through coordination with Secretariat (Mr. Iwata), initial draft of the proposal prepared by AQD on EMS has been reviewed/ commented by JAIF Management team. AQD is now revising the proposal to address these comments.</p>
<p>• <b><i>Proposed Plans of Operation and Programs of Work of SEAFDEC Departments and Secretariat</i></b></p>			
<p>28. With regards to the Plan of Operation and Work of MFRD Programs, the Council Director for Singapore said that this would be reviewed by Singapore to include activities related to fisheries trade as an emerging issue in the region, in addition to its current activities on post-harvest technology. For the Plan of Operation and Program of Work of AQD, <u>the Council Director for the Philippines requested that the regional priority on aquatic animal health management including control and prevention of trans-boundary aquatic animal diseases should be clearly specified in the document.</u></p>	94	AQD	<p>The regional priority on aquatic animal health management, including control and prevention of transboundary diseases has already been included in AQD's program of work (see the Department's response in item 27). This priority is also broadly mentioned in the current version of AQD's Plan of Operation. AQD will again revisit the document to ensure that this regional priority is clearly specified.</p>
<p>29. Furthermore, the Council also suggested that MFRDMD should expand its activities on conservation of endangered species not only on sea turtles.</p>		MFRDMD	<p>SEAFDEC/MFRDMD had started a project on shark and ray species particularly on training and identification of these species to SEAFDEC Member Countries</p>
<p>30. While suggesting that possible duplication of efforts among the Departments should be avoided by demarcating responsibilities,</p>	95	Secretariat	<p>Secretariat noted and will arrange as commented on this matter.</p>

<b>Issues</b>	<b>Para</b>	<b>Responsible Department</b>	<b>Final Response from SEAFDEC</b>
<p>the Council was also of the view that provisions on Program of Work should be reviewed to ensure that there were no overlapping activities among the Departments although in cases where such concern could not be avoided, indications for inter-departmental collaboration should also be indicated in the final document. <u>The Council Director for Japan suggested that the paragraphs on the contribution of the host countries and the Government of Japan, as well as request for financial and technical assistance should be deleted from the Plans of Operation and the revised paragraph should be placed as an attachment to the document.</u> However, the Council agreed that host governments could decide if they would like to include the paragraph on their contribution in the Plans of Operation and the paragraph on request for financial and technical assistance should be kept in the main document.</p>			
<p>• <b><i>Scheme for Enhancing SEAFDEC Program Evaluation</i></b></p> <p>31. Furthermore, the Council also suggested that the program evaluation forms should be brought up for discussion during the 37<sup>th</sup> Meeting of SEAFDEC Program Committee, and <u>requested SEAFDEC to circulate the necessary documents including the revised project evaluation forms to Member Countries one month before the Meeting.</u></p>	101	Secretariat	Secretariat proposed a new project document template based on the results-based management to support the project monitoring and evaluation, in this connection the new template will apply for all FCG/ASSP project starting from 2015.
<p>• <b><i>Proposed Amendment to the Financial Regulations</i></b></p> <p>32. The Council recalled the discussion made during the 44<sup>th</sup> Council Meeting in 2012, when the Council Directors agreed in principle to the adjustment of the MRC, and that each country would conduct internal discussion on this matter in order to secure the amount of the MRC as proposed by the SEAFDEC Secretariat. While this process had been followed by the Member Countries, the Council was informed that in the case of Cambodia, its Ministry of Finance had already approved the new amount of MRC to be provided to SEAFDEC, while such process was still on-going in Indonesia and Vietnam. In this connection, <u>the Council suggested that the SEAFDEC Secretariat should send official letters to Indonesia and Vietnam informing the countries once again on the rationale for the increase of MRC which would</u></p>	107	Secretariat	Draft methodology for computation of MRC was prepared. The Secretariat sent letter to Indonesia and Vietnam to inform rationale for the increase of MRC, and that the countries could provide the existing amount of MRC in the event that a decision on the new MRC has not yet been made.

<b>Issues</b>	<b>Para</b>	<b>Responsible Department</b>	<b>Final Response from SEAFDEC</b>
<u>support the efficient and effective implementation of the SEAFDEC programs and projects, and would also contribute to the development of the national fisheries of respective countries, and in the event that a decision on this issue had not yet been made, the countries could provide the existing amount of MRC.</u>			
<b>• Guidelines for Collaborating Centers for SEAFDEC</b>			
33. In the discussion, the Council Director of Singapore recalled that as agreed during the 39 <sup>th</sup> Meeting of the Council in 2007, the Post-Harvest Technology Center of Agri-Food and Veterinary Authority (AVA) of Singapore would serve as Collaborating Center for SEAFDEC to implement MFRD programs, and the condition of the arrangement was also endorsed by the Council. During the same occasion, <u>the Council also requested the SEAFDEC Secretariat to develop the draft Guidelines for Collaborating Centers for SEAFDEC in consultation with Singapore.</u> This led to confusion as the Council at the same Meeting also approved the Guidelines for Collaborative Arrangements with Regional Organizations or Research Institutions. Since SEAFDEC had already been engaging other international/regional organizations and tertiary institutions as collaborators for some programs and projects in accordance with the said approved Guidelines for Collaborative Arrangements, the Council Director for Singapore expressed the view that the development of the Guidelines for Collaborating Centers for SEAFDEC would no longer be necessary. Nevertheless, the case of the Post-Harvest Technology Department of AVA as Collaborating Center for SEAFDEC should be considered as a special arrangement between SEAFDEC and Singapore to enable the Government of Singapore to continue supporting the implementation of MFRD programs.	110	Secretariat	The Guidelines for Collaborating Centers for SEAFDEC is no longer valid; while PHTC remains Collaborating Center to implement MFRD Program as agreed by the Council in 2007.
<b>• Collaborative Arrangements between SEAFDEC and Other Organizations</b>			
34. <u>The Council suggested that before any Department enter into collaborative arrangements with institutions and organizations, information on the proposed collaboration with a copy of the proposed draft MOU should be circulated to the Member</u>	114	Secretariat	After decision of the Council, the Secretariat circulated the draft collaborative arrangements between SEAFDEC and other organizations to seek Council's consideration and requested the Council to provide response by 21 days. Once the arrangements have been signed by SG; the

<b>Issues</b>	<b>Para</b>	<b>Responsible Department</b>	<b>Final Response from SEAFDEC</b>
<u>Countries for consideration and approval.</u> The Council noted that in accordance with the Agreement Establishing SEAFDEC, the Center may co-operate with governments and organizations external to the Center as well as other international organizations and, for this purpose, may conclude agreements or arrangements with those organizations (Article 12), which is subject to the approval by the Council (Article 6, Paragraph 2 (vii)); and the Center may, by a two-third of majority vote of the total number of the Directors of the Council, receive assistance from governments and organizations external to the Center as well as other international organizations, provided that no condition contrary to the purpose of the Center is attached to such assistance (Articles 13). The Council also decided that Member Countries should respond within 21 days upon receiving the proposal to facilitate signing of the proposed arrangements. <u>In addition, the SEAFDEC Secretariat was requested to review the areas covered in the MOUs and help in following-up the decisions of the Member Countries.</u>			arrangements would be circulated to the Council.
<b>Operation of SEAFDEC Training and Research Vessels</b>			
35. Moreover, for the enhanced utilization of the M.V. SEAFDEC 2 in the future, the Council also agreed in principle to allow national agencies of the Member Countries to charter the M.V. SEAFDEC 2 with approval by the respective Member Country, e.g. conduct of marine-related surveys and activities. Moreover, the requesting national agencies should take full responsibility for the costs incurred during the conduct of such activities notwithstanding the need to give priority to fisheries authorities of the respective countries. In this connection, <u>the Council requested the SEAFDEC Secretariat to develop draft guidelines for chartering or renting out the M.V. SEADEC 2</u> , including the criteria for utilization and the corresponding charges and expenditures, for the consideration of the Council at its next annual Meeting.	120	TD	The draft guidelines for chartering the M.V. SEAFDEC 2 have been prepared. It is planned that the draft will be discussed at the upcoming 37 <sup>th</sup> PCM, in Thailand

<b>IX. FINANCIAL MATTERS</b>			
<b>Un-audited Financial Report for the Year 2013, and Status of the Financial Situation in the Year 2014</b>			
36. Considering the absence of any investment policy in SEAFDEC, the Council suggested that SEAFDEC should develop a financial investment policy on investment of funds in the form of bonds or other types of long-term investments for consideration by the Council at its next Meeting.	124	Secretariat	The Secretariat issued letter, requesting AQD to develop a draft financial investment policy and communicate with the Secretariat in order that the document could be submitted for consideration by the Council.
37. The Council also noted the Status of the Financial Situation for the Year 2014 (Annex 28), which includes the MRC in 2014 from the Member Countries and contributions from the Fisheries Agency of Japan through the Japanese Trust Fund program as well as those from other international organizations. In this regard, <u>the Council Director for Cambodia requested SEAFDEC to send a letter to remind the country on the payment of its MRC</u> , so that he could follow-up with the Finance Ministry of Cambodia.	126	Secretariat	The secretariat had sent out the letter as requested.
<b>X. CONCLUDING MATTERS</b>			
<b>Date and Venue of the Forty-seventh Meeting of the SEAFDEC Council</b>			
38. The Council expressed its appreciation of the offer of Thailand to host the next Council Meeting in Thailand, and <u>requested the Secretary-General to discuss with the Council Director for Thailand to finalize the exact date and venue of the next meeting of the SEAFDEC Council</u> .	134	Secretariat	Will be consulted soon by end of December 2014.

**Annex 5**

**FOLLOW-UP ACTIONS TO THE DIRECTIVES GIVEN AT THE 16<sup>TH</sup> MEETING OF THE FISHERIES CONSULTATIVE GROUP OF THE ASEAN-SEAFDEC STRATEGIC PARTNERSHIP (FCG/ASSP)**

<b>Issues</b>	<b>Para.</b>	<b>Responsible Department</b>	<b>Types of Recommendations</b>	<b>Responses from the Concerned Departments</b>
<b>FOLLOW-UP ACTIONS TO THE DIRECTIVES GIVEN AT THE MEETINGS OF SEAFDEC COUNCIL</b>				
While commanding SEAFDEC for successfully conducting various activities on responsible fishing practices, especially on fuel utilization and reduction of labor onboard fishing vessels, among others, the representative from Thailand suggested that SEAFDEC could consider the conduct of training for fishers on appropriate technology to reduce labor onboard fishing vessels.	6	TD	Technical/ Capacity building	TD/CFTD has followed-up with DOF Thailand to get results from previous activity on “reduction of manpower onboard purse seiner” that was conducted last year (2013). In addition, TD will further explore the areas where such training program and technical transfer for gears/vessels improvement can be jointly made in collaboration between TD and DOF-Thailand.
The representative from Lao PDR requested assistance from SEAFDEC to enable Lao PDR to implement regional tasks as the Lead Country for the key cluster on Capacity Building under the AFCF Framework.	7	SEAFDEC	Technical/ Capacity building	Response to the request, Secretariat in collaboration with TD and Lao-PDR received funds from Japan-ASEAN Solidarity Funds managed by ASEAN Foundation, SEAFDEC Japanese Trust Fund, and Government of Lao PDR to conduct “ASEAN Regional Workshop for Enhancement of National Support Officer System to Improvement of Autonomous Resource Management and Fisheries Communities”. The workshop was organized on 11-13 March 2014 in Vientiane, Lao PDR with the objectives to: 1) Review the existing support officer system and activities to enhance capacity for community-based resources management and related activities of the ASEAN Member States; 2) Identify key factors that are required for successful implementation of support officer system; and 3) Identify the way forward to promote future establishment of effective support officer system in the respective countries.
The representative from Cambodia requested SEAFDEC and Japan through the JTF, to consider providing continued support for the implementation of activities on fisheries community which is important for fisheries resource management in the ASEAN Member States	8	SEAFDEC & JTF	Management/ program	Similar to the Para 7, Secretariat in collaboration with TD and FA/Cambodia received funds from Japan-ASEAN Solidarity Funds managed by ASEAN Foundation, SEAFDEC Japanese Trust Funds and FiA to conduct the Regional Workshop for Facilitating Community-based

<b>Issues</b>	<b>Para.</b>	<b>Responsible Department</b>	<b>Types of Recommendations</b>	<b>Responses from the Concerned Departments</b>
(AMS) and the sustainable fisheries in the region.				Resources Management in Coastal and Inland Fisheries. The ASEAN Regional Workshop for Facilitating Community-based Resources Management in Coastal and Inland Fisheries was organized on 18-21 February 2014 in Phnom Penh, Cambodia, with the objectives were to: 1) review country's activities and legal framework for facilitating community-based resources management with fishing right system; 2) identify key factors for successful implementation of community-based management; and 3) identify ways and means for future promotion of community-based resources management by the countries.
<b>FOLLOW-UP ACTIONS TO THE DIRECTIVES GIVEN AT ASEAN BODIES RELATED TO FISHERIES</b>				
The representative from Singapore requested SEAFDEC to provide relevant training materials on safety at sea. Singapore may request SEAFDEC/TD to conduct a training course on safety at sea for fishers in the country. Specifically, on combating IUU fishing, she informed the Meeting that Singapore will seek the possibility of convening training on vessel inspection for the Member Countries. In this regard, Singapore may involve experts from Australia to assist in the training	18	SEC& TD	Technical/ Capacity building	TD/CFTD will further consult with Singapore with close coordination with JTF team in order to explore appropriate ways to assist Singapore as requested.  In response to this, Special Departmental Coordinator of TD has already developed and consulted with Singapore to implementation of the training. However, the issues was responded by Singapore on cancellation due to inappropriate training curriculum for Singapore Fishers.
In responding to request for capacity building on utilization of freshwater fish, the representative from Singapore suggested to conduct a regional technical consultation to identify the area of focus for future project with the possible support from Singapore. In this regard, she encouraged ASEAN Member States to compile information on the issues and challenges of the region's freshwater fisheries products to be used for the consultation.	19	MFRD	Technical/ Capacity building	With regards to product development and utilization of freshwater fish for value added products, the MFRD has already conducted two projects on the subject, from 2004-2005 under the Special 5-year Programs and the recent project from 2011-2013. The results from the two projects including the processing handbooks developed have also been published and shared with all the Member Countries. During the 36PCM (2013), the Member Countries have identified the regional priority issues to be considered by SEAFDEC for future program formulation, and under Post-Harvest Technology and Trade-related issues, the first priority is on improving post-harvest technologies and safety/quality of products for export. In line with this, MFRD will be considering projects focusing on improving the

<b>Issues</b>	<b>Para.</b>	<b>Responsible Department</b>	<b>Types of Recommendations</b>	<b>Responses from the Concerned Departments</b>
				quality and safety of fish and fishery products along the supply chain which would enhance the export potential and value of the fish and fishery products.
The representative from Thailand requested SEAFDEC to explore the possibility of enhancing its programs of activity aimed at improving management for sustainable inland fisheries in the region to improve the well-being of communities in rural areas.	25	SEAFDEC	Technical/Capacity building	This issue was noted and consulted with tentative IFRDMD that the issues will be included under the mandate of new Department on Inland fisheries.
<b>PROGRESS OF THE PROPOSALS IMPLEMENTED UNDER ASSP</b>				
➤ <b>ASEAN Fisheries and Aquaculture Conference and Exposition 2015: ASEAN Seafood for the World</b>				
The representative from Thailand requested other Member States to nominate appropriate senior officers as members of the Steering Committee, and 1-2 representatives from relevant private sector such as fisheries/aquaculture/exporter associations of the respective countries.	35	DOF Thailand		
<b>POLICY CONSIDERATION ON IMPORTANT ISSUES</b>				
➤ <b>International Fisheries Related Issues</b>				
○ <i>CITES Related Issues: Regional Approach on Improving Data Collection on Shark in Southeast Asian Region</i>	37	SEC	Technical/Capacity building	Secretariat consider to include all marine and inland aquatic species in the next CITES Meeting. In addition, SEAFDEC may consult with Member Countries in advance for species selecting.
The representative from Thailand requested that the species to be addressed under the SEAFDEC fora on CITES-related issues should also include commercially-exploited inland aquatic species, as currently most of the species discussed in the SEAFDEC fora are marine species.				
○ <i>International Guidelines for Securing Sustainable Small-scale Fisheries</i>	40	SEC	Management/program	Secretariat has already response on this issue, that opinion of Southeast Asian countries need to be addressed at the meeting. Even though SEAFDEC raised the ASEAN Common position on small-scale fisheries at the FAO conference few years ago, but due to other region of the world such as Africa, S-Asia, and Latin America strong requires the human right aspects.
The representative from Vietnam expressed concern in the process of developing the FAO Guidelines for Securing Sustainable Small-scale Fisheries which is envisaged to be voluntary. In this connection, the representatives from Vietnam and Singapore suggested that issues on human				

<b>Issues</b>	<b>Para.</b>	<b>Responsible Department</b>	<b>Types of Recommendations</b>	<b>Responses from the Concerned Departments</b>
rights should not be included in the Guidelines while the Guidelines should focus on technical aspect of fisheries. The representative from Vietnam requested SEAFDEC to support the Member Countries with common position on technical inputs at FAO Technical Consultation meetings.				In addition, Secretariat plans to develop the Regionalization of the Guidelines for the Southeast Asian Region as well as translation of the regional guidelines in different language within the ASEAN Region. The activity will be conducted in 2015.
<b>➤ Prioritized Issues and Way Forward for Development of Plan of Action for Sustainable Neritic Tuna Fisheries Management in Southeast Asian Region</b>				
The representative from SEAFDEC/MFRDMD suggested that the use of acoustic pinger, which is an effective device for biological and migration studies of neritic tunas, could be explored. While agreeing to the priority issues presented by SEAFDEC and way forward on Regional Cooperation on Plan of Action for Sustainable Tuna Fisheries Management in Southeast Asian Region, the representative from Thailand emphasized that it is also important to involve the private sector in the development of the Plan of Action.	42	SEC	Technical/	<p>Under the SEAFDEC-Sweden activities, the results on priority issues and way forward on Regional Cooperation on Plan of Action for Sustainable Tuna Fisheries was addressed at the 1<sup>st</sup> Stakeholders' Meeting ASEAN Fisheries Improvement Project (FIP) Protocol organized by ASEAN-US MARKET Project. In this regard, Secretariat will keep connection with MARKET project in order to share and consult with the private sector from the meetings.</p> <p>The Regional Plan of Action for Neritic Tuna was developed through the Expert Consultation attended from AMS, NGOs, and International and Regional organization in June 2014, the RPOA-Neritic tuna. The Final Draft of RPOA-Neritic Tuna including work plans are submitted to the SEAFDEC/ASEAN Member States in October 2014, while the Stake-holder Consultation was also conducted in CEBU where about 45 participants from various stakeholders from public and private sectors. It is planed that the stakeholders consultation will be conducted in Indonesia, Thailand, Malaysia, and Vietnam.</p>
<b>➤ Progress on the ASEAN/SEAFDEC Regional Programs to be addressed for Policy Consideration and Way Forwards</b>				
Singapore requested SEAFDEC to circulate the current version of the Guidelines for preventing the landing, export and import of IUU fish and fisheries products to the representatives attending this 16 <sup>th</sup> FCG/ASSP Meeting prior to the said Expert Meeting in order to obtain the views on the part of administration and policy makers.	52	SEC & MFRDMD	Management/ program	Through a series of meetings with all ASEAN-SEAFDEC Members for the development of the Guidelines for Prevention on the entry of Fish and Fishery Products from IUU fishing Activities into the Supply Chain had been organized by the Marine Fishery Resources Development and Management Department (MFRDMD) in collaboration

<b>Issues</b>	<b>Para.</b>	<b>Responsible Department</b>	<b>Types of Recommendations</b>	<b>Responses from the Concerned Departments</b>
Responses and feedbacks from the countries should be sent to MFRDMD and the SEAFDEC Secretariat, to serve as inputs for the improvement of the Guidelines during the Expert Meeting.				<p>with the SEAFDEC Secretariat.</p> <p>The Guidelines outlines the possible future actions in the ASEAN region in combating IUU fishing, in accordance with the ASEAN-SEAFDEC Resolution and Plan of Action on Sustainable Fisheries for Food Security for the ASEAN Region towards 2020 adopted in 2011. The Guidelines comprises four main parts. The Introduction as Part 1 includes the objective of ensuring that fish and fishery products in the supply chain do not come from IUU fishing activities. The introduction part also includes the objectives, nature and scope, guiding principle, and definition of terminologies for better understanding of the basic elements and focus of the Guidelines; Part 2 deals with the forms of IUU fishing activities found in the Southeast Asian region; Part 3 encompasses initiatives to combat IUU fishing at national, bilateral, multi-lateral and regional levels, taking into account the efforts of AMS in intensifying their efforts in combating IUU fishing in the region, in some ways, with the assistance of SEAFDEC through its collaborative mechanism with donors and funding agencies. This part also includes other initiatives of AMS through bilateral arrangements, sub-regional and regional cooperation in addressing IUU fishing activities in their common or shared or transboundary waters. Finally, Part 4 which is the most important part of the Guidelines provides guidance on preventing the entry of fish and fishery products from IUU fishing activities into the supply chain based on the root cause of IUU fishing activities that occur in the region.</p> <p>The final draft was submitted to all SEAFDEC Member Countries for their consideration and endorsement while submit to through the 17th FCG/ASSP, ASWGFi, under the ASEAN protocol for their support and endorsement.</p>

Issues	Para.	Responsible Department	Types of Recommendations	Responses from the Concerned Departments
<b>➤ Other Matters</b>				
While expressing the appreciation to SEAFDEC for compiling the list of protected aquatic species in the ASEAN, the representative from Vietnam requested the SEAFDEC Secretariat to adhere to the recommendations from the 15 <sup>th</sup> FCG/ASSP Meeting that SEAFDEC would circulate the complete draft regional list to all ASEAN Member States for updating and confirmation as well as responding to the confidentiality of the list.	60	SEC	Management/ program	Secretariat has completed/ revised the 1 <sup>st</sup> draft due to some country data are lack of good quality picture of endangered species. It is expected that by end of October will be circulate to all AMS for consideration and approved for publicity.

## Annex 6

### FOLLOW-UP ACTIONS TO THE DIRECTIVES GIVEN AT THE ASEAN BODIES RELATED TO FISHERIES

<p><b>Agenda 3.2</b></p> <p><b>Follow-up Actions to the Directives Given at ASEAN Bodies Meeting related to Fisheries</b></p> <p>17<sup>th</sup> Meeting of Fisheries Consultative Group (FCG) of the ASEAN-SEAFDEC Strategic Partnership (ASSP) 4-5 December 2014 Ubon Ratchathani, Thailand</p> 	<p><b>Outline</b></p> <ul style="list-style-type: none"> <li>A. Development of the New Vision on Food, Agriculture and Forestry (ATF-FAF) towards 2025 - Strategic Plan of Action for the ASEAN Cooperation in Food, Agriculture and Forestry (2016-2025)</li> <li>B. Meetings of ASEAN Bodies related to Fisheries             <ul style="list-style-type: none"> <li>1. The 22<sup>nd</sup> ASWGFi Meeting</li> <li>2. Special SOM-35<sup>th</sup> AMAF and Special SOM-13<sup>th</sup> AMAF Plus Three</li> <li>3. PrepSOM-36<sup>th</sup> AMAF, PrepSOM-14<sup>th</sup> AMAF Plus Three</li> </ul> </li> </ul> 
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<p><b>A. Development of the New Vision on Food, Agriculture and Forestry (ATF-FAF) towards 2025 - Strategic Plan of Action for the ASEAN Cooperation in Food, Agriculture and Forestry (2016-2025)</b></p> <ul style="list-style-type: none"> <li>1. Strengthening the ASEAN Secretariat and Reviewing the ASEAN Organs</li> <li>2. ASEAN Community's Post-2015 Vision</li> <li>3. New Vision on FAF towards 2025</li> </ul> 	<p><b>1. Strengthening the ASEAN Secretariat and Reviewing the ASEAN Organs</b></p> <ul style="list-style-type: none"> <li>• High Level Task Force (HLTF) on Strengthening the ASEAN Secretariat and Reviewing the ASEAN Organs considered for the SOM AMAF to undertake a review of its subsidiary bodies with a view to streamlining and consolidating the meetings.</li> <li>• HLTF guidance:             <ul style="list-style-type: none"> <li>– Reviewing and updating the list of the respective sectoral bodies</li> <li>– Identifying sectoral bodies and its associated sub-groups which could be merged or dissolved</li> <li>– Identifying sectoral bodies/sub-groups which are meeting back-to-back and state the frequency of these meetings and the possibility of reducing these frequencies</li> </ul> </li> </ul> 
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<p><b>2. ASEAN Community's Post-2015 Vision</b></p> <p>General Principles:</p> <ul style="list-style-type: none"> <li>– should be enhancing and consolidating the ASEAN Community since community building is a continual process;</li> <li>– should continue to maintain and enhance peace and stability in the Southeast Asian region and beyond;</li> <li>– should continue to promote common prosperity in the region through enhanced economic integration;</li> <li>– should promote a people-oriented and people-centred ASEAN based on the principles of inclusiveness and public consultation;</li> <li>– should continue ASEAN's outward-looking approach by enhancing ASEAN centrality;</li> <li>– should promote ASEAN's common global platform, in line with the Bali Concord III;</li> <li>– should aim to strengthen ASEAN's institutional framework.</li> </ul> 	<p><b>2. ASEAN Community's Post-2015 Vision (cont'd)</b></p> <p><b>The 26<sup>th</sup> Meeting of HLTF-EI recommended:</b></p> <ul style="list-style-type: none"> <li>– all sectoral bodies under the AEC pillar come up with and align their respective work plans within the 2016-2025 timeline;</li> <li>– the sectoral bodies should improve upon the existing AEC Blueprint. They should also benchmark against global best practices in their respective sectors.</li> </ul> 
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### 3. New Vision on FAF towards 2025

- As guided by the 22<sup>nd</sup> ASEAN, the Special SOM-34<sup>th</sup> AMAF agreed on the need to develop a vision, objectives and goals of the ASEAN Cooperation in Food, Agriculture and Forestry sector towards 2020, based on the review of the current framework and Strategic Plan of Action (SPA).
- At the PrepSOM-35<sup>th</sup> AMAF Meeting, the AMS considered and endorsed the Terms of Reference (TOR) for the development of a vision, objectives and goals of the ASEAN Cooperation in Food, Agriculture and Forestry sector towards 2020.
- The Special SOM-35<sup>th</sup> AMAF agreed that the process of reviewing and streamlining the AMAF structure.
- The PrepSOM-36<sup>th</sup> AMAF noted that the role of fishery sector should be enhanced in the new Strategic Plan on ASEAN Cooperation on Food, Agriculture and Forestry.

(cont.)

### B. Meetings of ASEAN Bodies related to Fisheries

1. The 22<sup>nd</sup> ASWGFi Meeting
  - ASEAN Integrated Food Security (AIFS) Framework  
The Meeting suggested that representatives from the fisheries sector should be invited to future Meetings on the development of SPA-FS.
  - ASEAN Multi-sectoral Framework on Climate Change and Food Security (AFCC)  
The Steering Committee recommended to meet more regularly (not Ad-hoc in nature). (cont.)



### 1. The 22<sup>nd</sup> ASWGFi Meeting (cont.)

#### Received updates:

- ASEAN Network of Aquatic Animal Health Center (ANAAHC) on the plan to conduct ASEAN Workshop on Minimising Risks Associated with Trans-boundary Aquatic Animal Diseases;
- Plan to finalize the Draft Template of Harmonisation of Import and Export Inspection and Certification and Development of Mutual Recognition Agreements (MRAs) among ASEAN;
- Endorsement from the Special SOM-34<sup>th</sup> AMAF on the Guidelines for the Use of Chemicals in Aquaculture and Measures to Eliminate the Use of Harmful Chemicals;

(cont.)

### 1. The 22<sup>nd</sup> ASWGFi Meeting (cont.)

#### Noted:

- The issues discussed at the 5<sup>th</sup> ASEAN Shrimp Alliance Meeting;
- Recommendation from the 6<sup>th</sup> ASEAN Fisheries Consultative Forum (AFCF) Meeting, including the priority issues identified by AFCF, which will become the focus of AFCF in its future Meetings;
- Updates on the activities related to international fisheries and fish trade issues presented by SEAFDEC;
- Outcomes from the 16<sup>th</sup> FCG-ASSP Meeting, including the suggestion to have the ASEAN Common Position on the List of Aquatic Species to be submitted to COP on CITES;

(cont.)



### 1. The 22<sup>nd</sup> ASWGFi Meeting (cont.)

#### Noted:

- Progress on the Collaborative Projects under the FCG-ASSP Mechanism;
- Progress on the development of the Proposals for the Implementation of the ASSP Programme;
- Progress made under Promotion of Sustainable Aquaculture and Resource Enhancement in Southeast Asia (Japan), under the in which SEAFDEC shall act as the implementing agency for the period of 2010-2014 under the funding of the Japanese Trust Fund (JTF-V); and
- The recommendation and prioritised activities developed by the 2<sup>nd</sup> ASEAN Public Private Taskforce for Sustainable Fisheries and Aquaculture.



### 1. The 22<sup>nd</sup> ASWGFi Meeting (cont.)

#### Endorsed:

- The ASEAN Good Aquaculture Practice (GAqP) Guidelines, as one of the measures under AEC Scorecard;

#### Agreed:

- To suggest Islamic Development Bank (IDB) to pursue the option on signing the agreement between IDB and SEAFDEC, to support the implementation of project proposal Enhancing Coastal Community Resilience for Sustainable Livelihood and Coastal Resources Management;
- Revised Framework for the ASEAN Fisheries Consultative Forum



## 2. The Special SOM-35<sup>th</sup> AMAF Meeting

### Noted:

- Priorities activities identified by ASEAN Fisheries Consultation Framework (AFCF);
- the suggestion for the Islamic Development Bank (IDB) to pursue the signing of the agreement between IDB and SEAFDEC to expedite the implementation of the project proposal on Enhancing Coastal Community Resilience for Sustainable Livelihood and Coastal Resources Management;

### Agreed:

- To submit the ASEAN Guidelines for Good Aquaculture Practices (ASEAN GAqP) on Food Fish for endorsement by the 36<sup>th</sup> AMAF Meeting.



## 3. The 36<sup>th</sup> AMAF Meeting

### Endorsed:

- The ASEAN Good Aquaculture Practice (GAqP) Guidelines



## Ways forward

- Implement the priority activities identified by the ASWGFi, including:
  - Combating IUU fishing through any agreed measures such as development of ASEAN Catch Documentation System, development Regional Fishing Vessel Record
  - Traceability of fisheries and aquaculture products
  - Impact of climate change to fisheries and aquaculture
  - Alignment of the national shrimp GAP with ASEAN Shrimp GAP
- Conclusion of the technical agreement for implementing the project on "Enhancing Coastal Community Resilience for Sustainable Livelihood and Coastal Resources Management" the suggestion for the Islamic Development Bank (IDB) between the IDB and SEAFDEC;
- Strengthen partnership with other international partners to implement activities toward 2015 and beyond



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**SUMMARY REPORT ON THE FISHERIES CONSULTATIVE GROUP OF THE ASEAN-SEAFDEC STRATEGIC PARTNERSHIP (FCG/ASSP) COLLABORATIVE PROGRAMS FOR THE YEAR 2014-2015**

**I. INTRODUCTION**

1. The program of activities under the Fisheries Consultative Group (FCG) of the ASEAN-SEAFDEC Strategic Partnership (ASSP) mechanism for the year 2014-2015 was reviewed by the Thirty-seventh Meeting of the Program Committee of the Southeast Asian Fisheries Development Center (SEAFDEC) held in Ubon Ratchathani, Thailand from 1 to 3 December 2014. The results of the program scrutiny and adopted recommendations are summarized and submitted to the 17<sup>th</sup> Meeting of the Fisheries Consultative Group (FCG) of the ASEAN-SEAFDEC Strategic Partnership (ASSP) (17<sup>th</sup> FCG/ASSP) for consideration and endorsement.

**II. SUMMARY OF THE PROGRAM OF ACTIVITIES UNDER THE FISHERIES CONSULTATIVE GROUP (FCG) OF THE ASEAN-SEAFDEC STRATEGIC PARTNERSHIP MECHANISM FOR THE YEAR 2014-2015 AND RECOMMENDATIONS MADE AT THE 37<sup>TH</sup> MEETING OF SEAFDEC PROGRAM COMMITTEE**

2. The programs under the Fisheries Consultative Group (FCG) of the ASEAN-SEAFDEC Strategic Partnership (ASSP) mechanism, progress and achievements made in the year 2014 and proposed activities for 2015 as well as new projects proposed for 2015, appear in **Annex 1**. The twenty one projects had been categorized into Program Thrusts, namely: 1) Developing and promoting responsible fisheries for poverty alleviation and food security; 2) Enhancing capacity and competitiveness to facilitate international and intra-regional trade; 3) Improving management concepts and approaches for sustainable fisheries; 4) Providing policy and advisory services for planning and executing management of fisheries; and 5) Addressing international fisheries related issues from a regional perspective, and one ‘Special Project’. In addition, the Program Committee noted seven projects completed in 2014 while seven new projects are also proposed for 2015. The Program Committee approved the programs, and provided recommendations which could be summarized as follows:

**2.1 Program Thrust I: Developing and Promoting Responsible Fisheries for Poverty Alleviation and Food Security**

3. With regards to the project on **Rehabilitation of Fisheries Resources and Habitat/Fishing Grounds for Resources Enhancement**, the Program Committee suggested that:

- Member Countries should be involved more in site selection for the new phase of the project and on-site training based on cost-sharing scheme;
- SEAFDEC to consider documenting the results of this project and based on the results, fast-tracking of the development of a model for fishing ground rehabilitation that could be used by the countries; and
- In the end-of-project seminar to be organized back-to-back with the International Symposium on Resource Enhancement tentatively in June 2015 in Thailand, the outcomes and impacts of the project should be included in the final report and since many Southeast Asian countries have been conducting national programs on resources rehabilitation, relevant experiences of the countries should be compiled and exchanged during the seminar.

4. For the project on **Human Resources Development (HRD) Programs on Fisheries Management Approaches for Sustainable Fisheries**, the Program Committee suggested that:

- SEAFDEC/TD to consider developing the guidelines, toolkits on ecosystem approach for fisheries management (EAFM) for fisheries extension officers, and if appropriate conducting an impact assessment of the project implementation of the EAFM approach, and to make the results known to local communities;



- SEAFDEC/TD to consider extending the EAFM concept to Lao PDR and Myanmar through on-site training; and
- SEAFDEC to continue providing the concept for developing appropriate strategy for implementing on-site training on fisheries management based on ecosystem approach with the participating countries providing in-kind support for such training.

5. Regarding the project on **Optimizing Energy Use/Improving Safety Onboard in Fishing Activities**, the Program Committee suggested that:

- SEAFDEC/TD to consider raising the awareness of stakeholders by disseminating relevant guidelines that made use as reference the lessons learned from affected areas in the Philippines as well as in other countries in the region;
- SEAFDEC/TD to consider developing a standard model for construction of appropriate fishing vessels using as reference the fishing boat designs developed by other fishing nations, e.g. Japan, Taiwan, South Korea;
- Member Countries that have not requested training activities under this project should consider requesting for such activities; and
- Japan to consider supporting such training courses including dispatch of Japanese experts.

6. For the project on **Resource Enhancement of International Threatened and Over-exploited Species in Southeast Asia through Stock Release**, the Program Committee requested that:

- AQD to consider transferring the experiences and lessons learnt from the project, through a workshop and the report of which should be distributed to the Member Countries;
- AQD to assist Myanmar in improving the methodology adopted by the country in fish larvae production for some important fish species and mud crab in protected areas;
- AQD to consider intensifying its technology transfer activities on breeding of various commodities such as abalone, sea cucumber, and other economically important species to the Member Countries;
- AQD to consider accommodating technical staff from Malaysia to learn on the mass production of humphead wrasse, mud crab, and corals; and
- AQD to work towards becoming the first in the world to make a breakthrough in the resource enhancement of sea horse and Napoleon wrasse.

7. As regards the project on **Promotion of Sustainable and Region-oriented Aquaculture**, AQD was requested to provide assistance to Myanmar in the country's effort to conduct studies on the culture of species suitable for different climatic conditions.

## 2.2 Program Thrust II: Enhancing Capacity and Competitiveness to Facilitate International and Intra-regional Trade

8. For the project on **Chemical and Drug Residues in Fish and Fish Products in Southeast Asia-Biotoxin (ASP, AZA and BTX) and Harmful Algal Bloom (HABs) in the ASEAN region**, the need to address HABs and biotoxins issues was recognized as some Southeast countries have faced increasing incidence of HABs in their waters.

9. Regarding the project on **Traceability Systems for Aquaculture Products in the ASEAN Region**, the requested on-line traceability system to facilitate trading of fish and fish products has already been developed by the private sector for commercial use by the shrimp industry, however, MFRD is in the process of finalizing the Regional Guidelines on traceability system to serve as basic reference for countries to establish their respective traceability systems.

10. For the project on **Accelerating Awareness and Capacity-building in Fish Health Management in Southeast Asia**, the Program Committee suggested that:

- AQD to hasten the sharing of its experiences in the implementation of the project's activities to the Member Countries;
- AQD to explore the possibility of undertaking activities in Myanmar that address problems on diseases in *Macrobrachium* spp. although Myanmar may have to provide the specific

- detailed information about the characteristics of the disease before AQD could extend the appropriate assistance; and
- Some on-site activities in requesting countries could be pursued in collaboration with relevant national institutes of the said countries.

11. As for the project on **Food Safety of Aquaculture Products in Southeast Asia**, the proposal to conduct a Regional Technical Consultation on early mortality syndrome (EMS) in white shrimps in 2015 has been developed for the consideration of the ASEAN Foundation.

### **2.3 Program Thrust III: Improving Management Concepts and Approaches for Sustainable Fisheries**

12. For the project on **Strategies for Trawl Fisheries By-catch Management (REBYC-II CTI)**, the Program Committee requested SEAFDEC to:

- Consider extending assistance to the countries in a more flexible and timely manner to be able to adjust when implementation plans at national level might have changed; and
- Sustain the involvement of private sector in the project implementation.

13. For the project on **Promotion of Countermeasures to Reduce IUU Fishing Activities**, the Program Committee requested:

- SEAFDEC to continue extending capacity building activities on data conversion, and technical assistance to Viet Nam and Malaysia to facilitate submission of data to the RFVR database;
- SEAFDEC to develop a mechanism on data use and confidentiality to ensure that data in the RFVR database is kept under secured system and utilized only for the benefit of the region;
- ASEAN Member States to intensify their efforts in submitting data according to the agreed minimum requirements of the RFVR database; and
- Other organizations, e.g. FAO, to implement activities that could assist the SEAFDEC Member Countries in combating IUU fishing and support the countries to implement the Port State Measures (PSM) and develop the National Plan of Action for Combatting IUU Fishing (NPOA-IUU fishing).

14. For the project on **Combating IUU Fishing in the Southeast Asian Region through Application of Catch Certification for Trading of Fish and Fishery Products**, the development of a “Catch Documentation Scheme” is an initial stage to pave the way toward future development of the “Catch Documentation System” for specific target species to enhance intra-regional trade among the ASEAN Member States.

### **2.4 Program Thrust IV: Providing Policy and Advisory Services for Planning and Executing Management of Fisheries**

15. With regards to the project on the **Fisheries Resource Survey & Operational Plan for M.V. SEAFDEC 2**, the Program Committee noted that:

- More collaboration on offshore tuna research surveys could be established in the South China Sea area such as between the Philippines and Viet Nam;
- The M.V. SEAFDEC 2 would be utilized for the second fisheries resources survey in Sulu-Sulawesi Seas; and
- Malaysia proposed to use the M.V. SEAFDEC 2 for two demersal surveys in the waters of Malaysia, the first from 28 February to 23 March 2015, and the second from 4 May to 22 June 2015.

16. For the project on **Offshore Fisheries Resources Exploration in Southeast Asia**, the Program Committee suggested that SEAFDEC to consider developing appropriate fishing gear for use in untrawlable waters and for exploiting under-utilized deep sea resources in precautionary manner.

17. Under the program on **Research and Management of Sea Turtles in Foraging Habitats in the Southeast Asian Waters**, the Program Committee noted that the development of RPOA Sea



Turtles would enhance the country's effort in developing their respective NPOA Sea Turtles.

18. With regards to the project on **Enhancing the Compilation and Utilization of Fishery Statistics and Information for Sustainable Development and Management of Fisheries in the Southeast Asian Region**, the Program Committee requested SEAFDEC to:

- Continue extending technical assistance and capacity building to Viet Nam on rights-based fisheries and co-management; and
- Expand its works and enhance capacity of relevant national staff of Viet Nam to enable them to analyze and link information compiled from local communities as inputs to data collection system at local level.

19. Regarding the project on **Comparative Studies for Management of Purse Seine Fisheries in the Southeast Asian Region**, SEAFDEC could consider applying the "Total Effort Allowance System" which was developed by Japan and could be more suitable for the region.

20. For the project on **Research and Management of Sharks and Rays in the Southeast Asian Waters**, the Program Committee noted that:

- Malaysia had obtained funding from the Coral Triangle Initiative (CTI) to carry out a study on sharks and rays in Sabah by the Department of Fisheries Malaysia in collaboration with MFRDMD; and
- TD together with MFRDMD and in consultation with CITES Secretariat developed a proposal to conduct a project on sharks and rays landing data collection, for possible financial support from the EU-CITES project.

## **2.5 Program Thrust V: Addressing International Fisheries-related Issues from a Regional Perspective**

21. For the project on **Assistance for Capacity Building in the Region to Address International Trade-related Issues**, the Program Committee requested SEAFDEC to:

- Continue collaborating with organizations such as FAO and provide platform for development of common views of the Member Countries (e.g. on FAO Traceability Guidelines), in order that the region's views could be reflected at relevant FAO Consultations, and
- Consider wider distribution of its publications and results of its initiatives, e.g. development of RFVR database and traceability system, so that relevant organizations would be well informed on the progress of the initiatives that SEAFDEC has been undertaking.

22. With regards to the project on **Strengthening SEAFDEC Network for Sustainable Fisheries**, the Program Committee suggested that SEAFDEC:

- Continue the RFPN program to strengthen the capability of national fisheries agencies in the Member Countries; and
- Consider hosting the forthcoming Meeting of the Asian Fisheries Acoustics Society (AFAS) in Bangkok, Thailand in November 2015 as this Meeting would enable SEAFDEC to cooperate with various stakeholders and enhance its visibility.

## **2.6 Special Projects**

23. For the project on **Fisheries and Habitat Management, Climate Change and Social Well-being in Southeast Asia** which is supported by Sweden through SEAFDEC, the Program Committee suggested that:

- SEAFDEC to consider establishing the overall linkage of activities implemented in the sub-regions; and
- SEAFDEC to undertake follow-up actions after the First Meeting between Malaysia and Thailand and facilitate the development of MOU on bilateral cooperation on the development and management of fisheries between Malaysia and Thailand.

24. Moreover, the Program Committee also noted that:

- SEAFDEC would formulate activities for the Sulu-Sulawesi Sea Sub-region once the CTI-CFF Secretariat is launched and the collaborative arrangement between CTI-CFF and SEAFDEC is signed; and
- SEAFDEC has been invited to be involved in a Meeting to be organized by NACA in March 2015 aiming to enhance the resilience of fisheries and aquaculture to climate change in the Lower Mekong Basin.

## 2.7 Proposed New FCG/ASSP Programs for the Year 2015 and Onwards

25. For the project on **Reinforcement and Optimization of Fish Health Management and the Effective Dissemination in the Southeast Asian Region**, the Program Committee noted that SEAFDEC plans to organize a Regional Technical Consultation in early 2015 to serve as platform for sharing of experiences and results of national initiatives on the EMS and would avail of the expertise of Japan in addressing EMS issues.

26. Regarding the project on **Environment-friendly, Sustainable Utilization and Management of Fisheries and Aquaculture Resources**, the Program Committee noted the conduct of the RTC on Development and Use of Alternative Dietary Ingredients in Aquaculture Feed Formulations in Myanmar from 9 to 11 December 2014.

27. Referring to the project on **Research for Enhancement of Sustainable Utilization and Management of Sharks and Rays in the Southeast Asian Region**:

- Member Countries should demonstrate the progress made in improving the management of sharks and rays resources, as well as improving data collection of shark species;
- Concern was expressed on the difficulties in identifying shark species in the region;
- Assessment of stocks of specific shark species should be carried out;
- Malaysia has launched the movement on “no to shark fins” while Brunei Darussalam would also enforce the banning of sharks catch and importation of sharks and its products by 2015; and
- For the sustainability of shark resources in the region, the development of fishing gear that target sharks should be discouraged.

28. With regards to the project on **Promotion of Sustainable Fisheries Resources Enhancement Measures in Critical Habitats/fishing Grounds in Southeast Asia**, the Program Committee suggested that:

- SEAFDEC to consider the project sites proposed by Thailand for the conduct of resource enhancement activities, such as in the waters of Ranong Province connected with Myanmar for the Indian mackerel and in the waters of Trat Province connected with Cambodia for the Indo-Pacific mackerel;
- SEAFDEC to consider providing technical support in forecasting fishing grounds within the national on-going fisheries resources programs of Viet Nam;
- The project should be implemented in coherent manner with similar activities under the REBYC-II CTI Project; and
- SEAFDEC to compile the outcomes and lessons learned from previous projects that deal with similar objective of improving the habitats of fish in fishing grounds as a basis for development of this project duplicating efforts.

29. For the project on **Enhancement of Sustainability of Catadromous Eel Resources in Southeast Asia**, the Program Committee noted that this project should be treated with urgency and suggested that:

- The project should come up with appropriate sustainable resource management of eel resources to support the establishment of common position of the region if eel species would be proposed for listing in the CITES Appendices with Japan expressing willingness to support this activity; and
- A study on spawning season and spawning grounds should be conducted under the project to promote eel resource enhancement and breeding activities.



30. Regarding the project on **Promotion of Responsible Utilization of Inland Fisheries in Southeast Asia**, the Program Committee supported the implementation of the project starting in 2015.

31. For the project on **Cold Chain Management of Seafood**, the Program Committee noted that:

- MFRD would consider to address the risks associated with seafood that come with management of cold chains under the project; and
- The project would help in reducing spoilage of fish along the supply chain resulting in more benefits to all stakeholders in the fishing industry especially fishers.

32. Moreover, Japan encouraged other Member Countries to explore other possible sources of funding to support regional activities in the future, such as the initiative of Singapore to fund the abovementioned project.

### **III. REQUIRED CONSIDERATION BY THE MEETING**

- The Meeting is requested to consider and endorse the achievements of the projects implemented under the FCG/ASSP mechanism in 2014 and the proposed project activities for 2015 including 7 new projects as well as the recommendations of the 37<sup>th</sup> Meeting of the SEAFDEC Program Committee.
- The Meeting is also invited to provide suggestions on areas of improvement for the program formulation and implementation to enhance the impacts of the projects and maximize the benefits to the Member Countries.
- The Meeting is also requested to consider that the programs/projects implemented under the FCG/ASSP mechanism in 2014 and the proposed programs for 2015, would be submitted for endorsement by higher authorities of the ASEAN and SEAFDEC.

**PROGRAMS OF ACTIVITIES UNDER FCG/ASSP MECHANISM  
FOR THE YEAR 2014-2015**

**I. Existing Programs**

Program Thrust/Project Title	Lead Department	2014	2015
<b>Thrust I: Developing and Promoting Responsible Fisheries for Poverty Alleviation and Food Security</b>			
Rehabilitation of Fisheries Resources and Habitat/Fishing Grounds for Resources Enhancement	TD	Y	N
Human Resources Development (HRD) Programs on Fisheries Management Approaches for Sustainable Fisheries	TD	Y	Y
Optimizing Energy Use/Improving Safety Onboard in Fishing Activities	TD	Y	Y
Resource Enhancement of International Threatened and Over-exploited Species in Southeast Asia through Stock Release	AQD	Y	N
Promotion of Sustainable and Region-oriented Aquaculture	AQD	Y	N
<b>Thrust II: Enhancing Capacity and Competitiveness to Facilitate International and Intra-regional Trade</b>			
Chemical and Drug Residues in Fish and Fish Products in Southeast Asia-Biotoxins (ASP, AZA and BTX) and Harmful Algal Blooms (HABs) in the ASEAN Region	MFRD	Y	Y
Traceability Systems for Aquaculture Products in the ASEAN Region	MFRD	Y	N
Accelerating Awareness and Capacity-building in Fish Health Management in Southeast Asia	AQD	Y	N
Food Safety of Aquaculture Products in Southeast Asia	AQD	Y	N
<b>Thrust III: Improving Management Concepts and Approaches for Sustainable Fisheries</b>			
Strategies for Trawl Fisheries By-catch Management (FAO-GEF/REBYC-II CTI)	TD	Y	Y
Promotion of Countermeasures to Reduce IUU Fishing Activities	TD	Y	Y
Combating IUU Fishing in the Southeast Asian Region through Application of Catch Certification for Trading of Fish and Fishery Products	MFRDMD	Y	Y
<b>Thrust IV: Providing Policy and Advisory Services for Planning and Executing Management of Fisheries</b>			
Fisheries Resource Survey and Operational Plan for M.V. SEAFDEC 2	TD	Y	Y
Offshore Fisheries Resources Exploration in Southeast Asia	TD	Y	Y
Research and Management of Sea Turtles in Foraging Habitats in the Southeast Asian Waters	MFRDMD	Y	N
Enhancing the Compilation and Utilization of Fishery Statistics and Information for Sustainable Development and Management of Fisheries in Southeast Asian Region	TD	Y	Y
Comparative Studies for Management of Purse Seine Fisheries in the Southeast Asian Region	MFRDMD	Y	Y
Research and Management of Sharks and Rays in the Southeast Asian Waters	MFRDMD	Y	N
<b>Thrust V: Addressing International Fisheries-related Issues from a Regional Perspective</b>			
Assistance for Capacity Building in the Region to Address International Fisheries-related Issues	SEC	Y	Y
Strengthening SEAFDEC Network for Sustainable Fisheries	SEC	Y	Y



## II. Special Project

Proposed New FCG/ASSP Project	Lead Department	Period
Fisheries and Habitat Management, Climate Change and Social Well-being in Southeast Asia	SEC	2013-2017

## III. New Project starting from 2015

Project	Lead Department	Period
Reinforcement and Optimization of Fish Health Management and the Effective Dissemination in the Southeast Asian Region	AQD	2015-2019
Environment-Friendly, Sustainable Utilization and Management of Fisheries and Aquaculture Resources	AQD	2015-2019
Research for Enhancement of Sustainable Utilization And Management of Sharks and Rays in the Southeast Asian Region	MFRDMD/ TD	2015-2019
Promotion of Sustainable Fisheries Resources Enhancement Measures in Critical Habitats/Fishing Grounds in Southeast Asia	TD	2015-2019
Enhancement of Sustainability of Catadromous Eel Resources in Southeast Asia	IFRDMD	2015-2019
Promotion of Responsible Utilization of Inland Fisheries in Southeast Asia	IFRDMD	2015-2019
Cold Chain Management of Seafood	MFRD/AVA	2015-2017

## IV. Pipeline projects

Project	Responsible agencies
Establishment and Operation of a Regional System of Fisheries <i>Refugia</i> in the South China Sea and Gulf of Thailand	UNEP/GEF/ SEAFDEC
Enhancing Coastal Community Resilience for Sustainable Livelihood and Coastal Resources Management	ASEC/ IDB/SEAFDEC
The Ocean and Fisheries Partnership	USAID/SEAFDEC

Y = Program implemented during the year

N = Program not implemented during the year

## Annex 8

### ASEAN-SEAFDEC COOPERATION IN THE IMPLEMENTATION OF THE ASEAN INTEGRATED FOOD SECURITY (AIFS) FRAMEWORK

#### I. INTRODUCTION

The AIFS Framework and SPA-FS was adopted at the 14<sup>th</sup> ASEAN Summit held on 28 February – 1 March 2009 to ensure long term food security and to improve the livelihoods of farmers in the ASEAN region. To address concerns over food security driven by the challenges of higher food prices, climate change, and bio-energy within the realm of four main aspects *i.e.* food availability, food accessibility, utilization, stability and emergency states, ASEAN Leaders tasked ASEAN Ministers on Agriculture and Forestry (AMAF) with support from the ASEAN Secretariat to implement SPA-FS and collaborate with other relevant ASEAN Sectoral Bodies, as well as cooperate with ASEAN external partners.

As a follow-up to previous ASEAN-U.S. food security cooperation, the U.S. Government launched a new cooperation program, Maximizing Agricultural Revenue through Knowledge, Enterprise Development, and Trade (MARKET) Project, to support ASEAN's implementation of the AIFS and SPA-FS. Project will provide flexible and demand-driven support to the ASEAN Secretariat and AMS to implement the AIFS framework and SPA-FS, with a focus on improving the enabling environment for trade and establishing a platform for private sector and civil society engagement on food and agriculture. The Project consists of various areas including an area entitled 'Explore the Organization of a Public-Private Task Force to Address Climate Change Impacts on Sustainable Fisheries and Aquaculture'. This activity will explore with the public and private sector what such a mechanism would look like and how it could operate to be most effective as a lead in outreach and coordination.

In this connection, MARKET developed a concept note entitled Climate Change and Its Impacts on Fisheries and Aquaculture: Adaptation and Mitigation Towards Food Security, with the proposed approach on the establishment of an ASEAN public private sector Action Task Force which catalyse the creation of an ASEAN Action Task Force on Fishing, Food Security and Climate Change as the central to achieving a coordinated regional effort. Hosted by and coordinated through SEAFDEC, this proposed regional task force will be comprised of the public and private sector entities engaged in or with fishing, aquaculture and allied industries across the member states. The concept note received approval in-principle from the 20<sup>th</sup> ASEAN Sectoral Working Group on Fisheries (ASWGFi) in June 2012. The concept note appears as **Appendix 1**.

#### II. PROGRESS

- *ASEAN Public-Private Dialogue on Sustainable Fisheries and Aquaculture: Meeting Market Challenges, Adapting to Climate Change, and Improving Food Security in ASEAN, 6 -7 December 2012, Bangkok, Thailand*

The ASEAN Public-Private Dialogue on Sustainable Fisheries and Aquaculture: Meeting Market Challenges, Adapting to Climate Change, and Improving Food Security in ASEAN was jointly organized by the ASEAN Secretariat, SEAFDEC, and the ASEAN-U.S. MARKET Project and was attended by key public and private sector stakeholders from the fisheries, aquaculture and allied industries in ASEAN.

During the dialogue, government and private sector participants present recommended the formation of an ASEAN Public- Private Taskforce for Sustainable Fisheries and Aquaculture (Taskforce) to address key issues threatening the sustainability of fisheries and aquaculture that were also discussed during the dialogue.



The Taskforce comprising of members from ASEAN's public and private sectors will strengthen cooperation between the private and public sector and serve as a regional platform for prioritizing and coordinating collective actions that will ensure the future sustainability of fisheries and aquaculture, and contribute to the ASEAN Community Building process.

- *The 1<sup>st</sup> ASEAN Public-Private Informal Taskforce Meeting on Sustainable Fisheries and Aquaculture, 27-28 March 2013, Bali, Indonesia*

During the meeting, the government and private sector representatives made progress on the formation of the Taskforce by: finalizing the draft Terms of Reference and Operational Guidelines of the Taskforce; and prioritizing activities to be implemented through the Taskforce.

For the capture fisheries sector, the Taskforce identified and prioritized the development of marine aquaculture, the establishment of a regional Fisheries Improvement Project Protocol, capacity building of the industry to combat IUU fishing, development of regional guidelines on the handling and transporting of harvested fish, sharing of experience on the implementation of catch certification, and the consideration to include activities that improves the regional livelihood of small scale fisheries as part of the private sector's CSR efforts, as activities for public-private collaboration.

For the aquaculture sector, the Taskforce identified and prioritized disease management, the harmonization of a standard for shrimp, improving shrimp broodstock/fry quality, feed cost improvement, and trade issues, as activity areas for action through the Taskforce.

The outcomes from the 1<sup>st</sup> Meeting were submitted to the 21<sup>st</sup> ASWGFi Meeting in July 2013 and received comments and suggestions to revise the draft Terms of Reference and Operational Guidelines. Those were consolidated and eventually received endorsement from the ASWGFi through ad-referendum endorsement.

The Taskforce formally adopted its name as the ASEAN Public-Private Taskforce on Sustainable Fisheries and Aquaculture following to the approval of the Terms of Reference and Operational Guidelines by the ASWGFi.

- *The 2<sup>nd</sup> ASEAN Public-Private Taskforce Meeting on Sustainable Fisheries and Aquaculture, 27-28 March 2013, Ha Noi, Vietnam*

Following to the support from the ASWGFi on the formation of the Taskforce and holding its 2<sup>nd</sup> Meeting in early 2014, the 2<sup>nd</sup> Taskforce Meeting finalised the proposed Taskforce members; nominated the co-chairs of the Taskforce; and finalized four activity concept notes to be submitted to ASWGFi for approval. Representatives from Malaysia were nominated as the Co-Chairs of the Taskforce, and the 4 activity concept notes that were finalized are titled: (1) Aquatic Animal Health Management in the ASEAN Region; (2) Zonal Aquaculture Sector Planning to Address Aquatic Animal Health Management and Disease Prevention in Southeast Asia's Shrimp Industry; (3) Development of a Fisheries Improvement Project Protocol for the ASEAN Region; and (4) Improving Feeding Management Practices in Aquaculture.

The outcomes from the 2<sup>nd</sup> Taskforce were submitted to the 22<sup>nd</sup> ASWGFi Meeting which noted and welcomed the concept papers and the conduct of the 3<sup>rd</sup> Meeting. With regards to the proposal from the Taskforce to establish permanent mechanism, ASWGFi suggested to explore the proposal from ASEAN-U.S.MARKET on this issue in coming years.

- *The 3<sup>rd</sup> ASEAN Public-Private Taskforce Meeting on Sustainable Fisheries and Aquaculture, 19-20 November 2014, Penang, Malaysia*

The 3<sup>rd</sup> Taskforce Meeting was held to discuss and updates the Taskforce members with the progress of implementation of the activities endorsed from the 2<sup>nd</sup> Meeting, to evaluate and discussed the potential activities for 2015 and beyond, and to provide future direction of Taskforce after the conclusion of the ASEAN-U.S. MARKET Project in 2015.

The Meeting came up with the conclusions on:

- Agreed to transfer the Secretariat of the Taskforce to Indonesia, as offered by Indonesia, when the USAID MARKET Project ends in March 2015. Currently, the secretariat role is performed by the MARKET Project and ASEAN Secretariat.
- Agreed to use the ASEAN Seafood Website established and operated by Vietnam Association of Seafood Exporters and Producers (VASEP) as a communication tool to present updates on the Taskforce and its activities. VASEP is also publishing the ASEAN Seafood Magazine.
- Agreed that the Taskforce will continue to work on the existing 4 activities.
- Proposed to the ASEAN Sectoral Working Group on Fisheries (ASWGFi) that future Taskforce meetings be closely coordinated with ASWGFi meetings.

### **III. ACTION REQUIRED**

The Meeting may wish to discuss and take note on the activity and support of SEAFDEC to ASEAN-SEAFDEC Cooperation in the Implementation of the ASEAN Integrated Food Security (AIFS) Framework.



## Climate Change and its Impacts on Sustainable Fisheries and Aquaculture: Adaptation and Mitigation towards Food Security

*(With the support of ASEAN-US Cooperation in the implementation of  
the 2011 Resolution and Plan of Action based on the MARKET Programme)*

### Project Proposal

#### **BACKGROUND**

The fisheries sector has long been a main source of protein for the population of the ASEAN Member States (AMS). Fisheries, aquaculture and their allied industries also play a very important role in national and regional economies. Not only is the health of the fisheries sector crucial to ensure food security in the Southeast Asian region, it is also critical for ASEAN livelihoods. It has been estimated, however, that fishing stocks are roughly a tenth of what they were a decade ago, and continue to diminish at an alarming rate.

During the past several decades, the growing international, regional and national demand for fish and fisheries products has led to continual development and modernization of fishing technology. Unfortunately this increased demand and the corresponding technology response has resulted in the over-exploitation of fishery resources in Southeast Asia. The lack of awareness and knowledge of responsible fishing technologies and practices in fisheries, combined with the use of illegal and destructive fishing methods and gear (*e.g.* non-selective fishing gear) are seriously threatening the sustainability of fishery resources and the integrity of the coastal, marine and in-land water ecosystem and environment.

Compounding these problems is climate change, which is already affecting Southeast Asia. Southeast Asia is one of the world's most vulnerable regions to climate change; at risk economically and climatically due to its geography, its long coastlines, and the high concentration of population and economic activity in coastal areas. ASEAN's heavy reliance on agriculture, fisheries, forestry and other natural resources further exacerbates the impact of climate change on the region. The increase in the frequency and the intensity of extreme weather events has huge consequences including, among others, flooding and sea level rise, higher water temperature, higher ocean acidity, change in species composition and distribution, coral bleaching, degraded reefs, and the increase in storms and cyclones. In addition, as a consequence of salt water intrusion and the deterioration of fresh water, former farmers are turning to the sea as an alternative livelihood, thus putting more pressure on already scarce fishery resources. The implications of climate change on ecosystems, livelihoods and food security indicate that a combined response that includes responsible fishing and aquaculture practices as a part of adaptation and mitigation measures is required urgently.

The current status of the fishery resources and aquatic ecosystem in the ASEAN region is now a serious concern. To ensure long-term food security in the ASEAN region in accordance with the:

- ASEAN Integrated Food Security (AIFS) Framework and Strategic Plan of Action (SPA-FS) adopted by the ASEAN Leaders at the 14<sup>th</sup> Summit in March 2009, that addressed the issue of climate change impacts on food security, and the
- ASEAN Multi-Sectoral Framework on Climate Change: Agriculture and Forestry Towards Food Security" (AFCC Framework), which agreed at the ASEAN High-Level Workshop on the ASEAN Multi-Sectoral Framework on Climate Change and Food Security held in September 2009,
- Resolution and Plan of Action on Sustainable Fisheries for Food Security for the ASEAN Region Towards 2020, adopted at the ASEAN-SEAFDEC Conference in June 2011. References were made to Resolution number 2 and 9; and Plan of Action number 7, 11, 12, 20, 37, 43, 44, 46, 54, 55, 63 and 70, that

a project on “Climate Change and its Impacts on Sustainable Fisheries and Aquaculture: Adaptation and Mitigation towards Food Security” will be implemented in the ASEAN Region. This project will focus on responsible fishing technologies and practices as a means to ensure the continued contribution of the fishing and aquaculture sectors to food security in ASEAN, and will strive for greater regional collaboration and commitment towards resource sustainability through climate change adaptation and mitigation measures. Activities undertaken will prioritize developing the knowledge base with respect to fisheries and aquaculture, addressing policy, programmes and implementation frameworks at national and regional international levels, capacity building and supporting enabling mechanisms.

## **OBJECTIVES**

The overall objective of the project is to address and respond to the dual challenges of rapidly diminishing fish and other aquatic stocks and climate change to ensure the continued contribution of the fisheries sector to food security. The specific objectives of the project are as follows:

A. To raise awareness on responsible fisheries practices and climate change impacts (on and from the sector) in collaboration and cooperation with ASEAN Member States and other organizations at the regional and international levels by:

1. building capacity for human and institutions involved in fisheries and ecosystem management, as well as the other relevant sectors, in understanding and responding to the impacts of climate change and the need for adaptive measures;
2. integrating climate change mitigation and adaptation measures/strategies into the economic and social development policy framework for fisheries (inland and marine fisheries and aquaculture);
3. strengthening national and regional information and knowledge sharing, communication and networking on climate change and food security; and
4. enhancing cooperation in the implementation of adaptation and mitigation measures

B. To increase the use of responsible fisheries practices and technologies, adaptive and mitigation measures and promote technologies to save energy and the use of alternative/clean sources of energy in fisheries.

## **EXPECTED OUTCOMES**

Envisaged outcomes of the project:

Fisheries better able to contribute to ASEAN food security

1. Increased regional multi-sectoral cooperation and collaboration;
2. ASEAN fishing, aquaculture and allied industries are better prepared to adapt to climate change;
3. ASEAN fishing, aquaculture and allied industries undertake climate change mitigation measures including energy efficiency programs;
4. Capacity of government officials and fishers in the application and adoption of responsible fisheries technology and practices is enhanced; and
5. Impacts of unsustainable fisheries practices on the coastal marine and inland ecosystem is reduced.

## **RATIONALE FOR THE APPROACH**

In the ASEAN region, there are currently numerous initiatives, programs and projects completed, underway or in planning that concern the sustainability of the fishing sector. These various efforts are either wholly or partially devoted to sustainable fishing and aquaculture; fishing as an aspect of food security; climate change impacts of and on fishing and aquaculture; and the adaptation of coastal communities and the fishing sector to climate change, among others. Most of the activities under these initiatives, however, tend to be national, bilateral, or international, with the Coral Triangle Initiative a notable regionally oriented exception.



In the past, the symbiotic relationship between fish, food security and climate change has not been generally accommodated in the design of such programs. Now, however, with the population increasing, the effects of climate change impacting food prices and production, the continually growing market demand for fisheries and aquaculture products, and the rapidly shrinking supply of stock, there is an immediate and urgent need to think and act more holistically. For example, institutional support in ASEAN for fisheries through SEAFDEC incorporates four technical assistance areas, with climate change and food security understood as underlying factors that help direct the research and training.

The challenge is to better communicate these issues inter ASEAN; accommodate the reality of the co-dependent nature of these issues into policy decisions; synthesize the information to inform decision makers; and integrate these interwoven concepts into the stakeholder mainstream by raising awareness in current initiatives and programs as well as new programs being planned.

## PROPOSED APPROACH

The project will be implemented to strengthen capacity of the ASEAN Member States in addressing climate change and its impact on and from fisheries and aquaculture in line with AIFS Framework (Strategic Thrust 6) and the AFCC Framework.

An ASEAN public private sector Action Task Force: Catalyzing the creation of an ASEAN Action Task Force on Fishing, Food Security and Climate Change will be central to achieving a coordinated regional effort. Hosted by and coordinated through SEAFDEC, this proposed regional task force will be comprised of the public and private sector entities engaged in or with fishing, aquaculture and allied industries across the member states.

The 2011 Resolution and Plan of Action developed and adopted during the *ASEAN-SEAFDEC Conference on Sustainable Fisheries for Food Security Towards 2020 “Fish for the People: Adaptation to a Changing Environment”* will be used to address capacity and technology challenges. The preparatory consultations, dialogs and meetings for the Conference brought together stakeholders from many sectors. From this base, a coalition of like minded champions representing the many facets of the fisheries and aquaculture sectors will be identified and encouraged to step up to form a regional ASEAN Action Task Force to guide a more integrated sustainable approach for ensuring the continued contribution of the fisheries sector to food security.

This ASEAN Action Task Force can bring to bear valuable private sector resources and the public sector political will to both expedite and better coordinate communication and/or collaboration on the numerous national, bi-lateral and international initiatives on sustainable fishing, food security, and adaptation to climate change that are underway, in development, or in early planning. As an informal advisory group, the Action Task Force can also serve, as needed, as a sounding board for ASEAN Senior Officials, providing a unique regional real-time perspective on the status of the fishing and aquaculture industries, and the efficacy of current policies and programs.

### Phase 1: Activity in 2012

Activity 1: *ASEAN Public Private Partnership Dialogue* to identify and share best practices. In close collaboration with regional and local private sector champions and not for profits, responsible fisheries best practices, including best practices in mitigation and adaptation for fisheries and aquaculture operations, will be identified and invited to the Dialogue. These measures and best practices will be disseminated and promoted through the conduct of ASEAN regional dialogue. Effective strategies will be identified and considered for incorporation into guidelines for national development strategies, policies and programs for fisheries. Information will feed into workshop under component 3.

The establishment of an ASEAN Public Private Sector Action Task Force as informal task force, comprised the representative from and public sectors participated in the ASEAN Public Private Partnership Dialogue as a regular mechanism for public private sector dialog, exchange and sector strategy implementation would be considered and discussed in details at the ASEAN Public Private Partnership Dialogue.

Recommended strategies and activities to support the implementation of AFCC components from the Dialogue will be identified to address Fishing, Food Security and Climate Change.

Component 1: Integration of climate change mitigation and adaptation strategies into the economic and social development policy framework for fisheries

**Component 3: Strengthening of national and regional information and knowledge sharing, communication and networking on sustainable fisheries, climate change and food security**

*Strategic Thrust 2:* Strengthen national and regional cooperation, coordination, consultation and communication on the impacts of and response to climate change on fisheries towards food security (AEC A6 and A7)

*Strategic Thrust 4:* Strengthen regional partnerships and coordination with ASEAN partners on climate change and food security (AEC 7)

## **PROJECT IMPLEMENTATION AND ADMINISTRATION**

The initial phase of this project covers a 1-year period in 2012. The proposed project activity will be implemented during September/October 2012 under the ASEAN-SEAFDEC Strategic Partnership (ASSP) arrangement that will provide a regional framework on cooperation and coordination on climate change issues relevant to fisheries and food security in the ASEAN region as the ASSP assists the ASEAN Member States in promoting sustainable fisheries development. Project progress and achievements will be reported as part of the implementation of AIFS Framework and the SPA-FS.



## PROVISIONAL PROSPECTUS

<b>1</b>	<b>Proposed title of project</b>
	Support for the AFCC – organization of an <b><i>ASEAN Public Private Partnership Dialogue</i></b> [to address climate change impacts on sustainable fisheries and aquaculture for increased ASEAN food security]
<b>2</b>	<b>Location of Project</b>
	Bangkok, Thailand
<b>3</b>	<b>Proposed start date</b>
	September/October 2012
<b>4</b>	<b>Project duration</b>
	2 days
<b>5</b>	<b>Project details</b> <p><b>Problem:</b> The <i>ASEAN Integrated Food Security (AIFS) Framework and Strategic Plan of Action (SPA-FS)</i> and the <i>ASEAN Multi-Sectoral Framework on Climate Change: Agriculture, Fisheries and Forestry Towards Food Security</i>" (AFCC Framework), were developed to ensure long-term food security in the ASEAN region. It has been further recognized by the ASEAN leaders that both the private sector and public sectors need to work together to address the multiple challenges facing food security. The 2011 Resolution and Plan of Action adopted at the <i>ASEAN-SEAFDEC Conference on Sustainable Fisheries for Food Security Towards 2020 “Fish for the People: Adaptation to a Changing Environment”</i> will be used to address capacity and technology challenges.</p> <p>An <i>ASEAN Public Private Partnership Dialogue</i> to identify and share best practices. In close collaboration with regional and local private sector champions and not for profits, responsible fisheries best practices, including best practices in mitigation and adaptation for fisheries and aquaculture operations, will be identified and invited to the Dialogue. These measures and best practices will be disseminated and promoted through the conduct of ASEAN regional dialogue. Effective strategies will be identified and considered for further implementation of the AFCC.</p> <p>Recommended strategies and activities to support the implementation of AFCC components from the Dialogue will be identified to address Fishing, Food Security and Climate Change.</p> <p>The possibility for establishment of an ASEAN Public Private Sector Action Task Force as informal task force comprised the representative from public sectors participated in the ASEAN Public Private Partnership Dialogue as a regular mechanism for public private sector dialog, exchange and sector strategy implementation would be considered and discussed in details at the ASEAN Public Private Partnership Dialogue.</p> <p>Catalyzing the creation of a regular mechanism such as an Action Task Force on Fishing, Food Security and Climate Change will be central to achieving a coordinated ASEAN regional effort and implementing activities under the above frameworks. Such a regional task force would be comprised of the public and private sector entities engaged in or with fishing, aquaculture and allied industries across the Member States.</p> <p>a) <u>Activities proposed</u> The ASEAN-US Cooperation/MARKET Programme proposes to conduct a two-day <b><i>ASEAN Public Private Partnership Dialogue</i></b> as the brainstorming session with the public and private stakeholders in the fisheries sector to discuss recommend strategies and activities <b>to support the implementation of AFCC; and how to</b> structure an ASEAN public private sector mechanism to act as an action task force to help support the ASEAN Framework on Climate Change: Agriculture, Forestry (and Fisheries).</p> <p>b) <u>Target participants</u> ASEAN public and private sector stakeholders in the fisheries and allied industries sector.</p>
<b>6</b>	<b>Expected results</b>
	The activity will be implemented to strengthen capacity of the ASEAN Member States in addressing climate change and its impact on and from fisheries and aquaculture in line with AIFS Framework (Strategic Thrust 6) and the AFCC Framework

<b>7</b>	<b>Budget estimate</b>
	The ASEAN-US Cooperation/MARKET Programme will fund the venue and facilities for the dialogue session, as well as travel for ASEC and at least 2 representatives from the public sector, travel for 5 representatives from the private sector ( <i>e.g.</i> fisheries trade associations) in the eligible member states as per USG funding regulations.
<b>8</b>	<b>Source of funding</b>
	The ASEAN-US Cooperation/MARKET Programme
<b>9</b>	<b>Implementing agency</b>
	ASEAN Secretariat and MARKET Programme
<b>10</b>	<b>Contact information</b>



**Annex 9**

**ASEAN FISHERIES CONSULTATIVE FORUM (AFCF)**

**ASEAN Fisheries Consultative Forum (AFCF)**

1. The AFCF is the subsidiary body under ASWGFi to promote and improve the sustainable utilization of the living aquatic resources by the proper management and development of the fisheries and fishing operations, and address common problems of fisheries management and development faced by the AMS. Without prejudice to the sovereign rights of the ASEAN Member States, AFCF shall promote and improve the sustainable utilization of the living aquatic resources by the proper management and development of the fisheries and fishing operations, and address common problems of fisheries management and development faced by the AMSs through the establishment of the ASEAN Fisheries Consultative Forum Body (AFCFB).

2. Since its establishment, AFCF has proactively provided the recommendations with regards to the establishment of policy on fisheries based on a sound scientific basis for ASEAN to develop regional and sub-regional fisheries management measures, a means for cooperation with regional scientific organizations, and other regional/ international organizations, bodies and arrangements, establishment of a long/medium/short term fisheries management vision for ASEAN and to provide a forum for discussion and resolution of regional fisheries issues/problems in the spirit of ASEAN cooperation and solidarity.

3. The 6<sup>th</sup> AFCF Meeting held on June 2014 in Kuala Lumpur, Malaysia, discussed and revised the AFCF Framework and generated the priority issues identified by AFCF, which will become the focus of AFCF in its future Meetings. These include:

- Fishing Capacity & Zoning System Securing Sustainable Small-scale Fisheries (with reference to FAO voluntary guidelines on Small-scale fisheries)
- Resource Rehabilitation/Enhancements
- Impact of Climate Change to Fisheries and Aquaculture
- Combating IUU Fishing (Flag State Guidelines, Port State Measures, etc.)
- Traceability of Fisheries and Aquaculture products

4. The Meeting also discussed on the Updates on the implementation of the AFCF Work Plan 2010-2013. The Meeting noted the progress from the ASEAN Member States with regards to the cooperation with SEAFDEC on the following clusters:

- *Cluster 1: Combating IUU Fishing*

Indonesia informed the Meeting on the progress of the development of the MCS System that in collaboration with SEAFDEC Indonesia has conducted the “On-site Training and Workshop on Offshore and High Sea Fisheries Management and Reducing IUU Fishing Activities” on 10-13 December 2013 in Jakarta, Indonesia. Further, Indonesia propose the training can be conducted regularly and to involve all AMSs. In addition, Indonesia has conducted 2 series of trainings on Fisheries Management/MCS in Benoa and Batam in collaboration with Australia, and another training will be conducted in Ambon/Manado this year. The Meeting took note on the request of Malaysia to participate in the Training program, and also for the Meeting, and Indonesia as lead country on IUUF to take a look at the FAO Voluntary Guidelines for Flag State Performance and develop capacity building activities related to this. Philippines likewise informed the Meeting that it also has come up with its own NPOA-IUU fishing signed by its President through an Executive Order. The Meeting welcomed the sharing of the signed Executive Order and Malaysia’s NPOA-IUU fishing document as reference for other AMS. 2

- *Cluster 2.1: Fishing capacity and responsible fisheries practices*

The Meeting agreed to endorse the Guidelines for Managing Fishing Capacity for the ASEAN Region to the 22<sup>nd</sup> ASWGFi Meeting, and to inquire from SEAFDEC if the offer to host a workshop is still possible. The Guidelines and questionnaire appears as **Appendix 1 and 2**.



- *Cluster 2.3: Fish for Aquaculture Feed*

Myanmar informed the Meeting of their plan to organize, with assistance from SEAFDEC, the Regional Technical Consultation (RTC) on development and use of alternative dietary ingredients of fish meal substitutes in Aquaculture feed formulation on October 2014. Venue will be announced once finalized. Further, Myanmar reported that EU Catch Certification scheme and traceability system has been implemented, as well as the ASEAN Guidelines as a priority in trade activities.

- *Cluster 3: Fisheries co-management and decentralization*

Cambodia informed the progress under this cluster. The Meeting noted that SEAFDEC has already conducted the ASEAN Regional Workshop on Community-based Natural Resource Management which was attended by 65 participants from ASEAN and SEAFDEC Member Countries. Report of the workshop appears as **Appendix 3**.

**Action required**

The Meeting may wish to take note on the activity and support of SEAFDEC to AFCF. With regards to the update on Cluster 2.1 Fishing capacity and responsible fisheries practices, the Meeting may wish to follow up on the proposal from Malaysia on the possibility to conduct a Workshop.

*Appendix 1 of Annex 9*

**Guideline for Managing Fishing Capacity  
THE 4<sup>th</sup> ASEAN FISHERIES CONSULTATIVE FORUM (AFCF)**

**4-5 June 2012  
Melia Purosani Hotel, Yogyakarta, Indonesia  
by**

1. Ahmad Adnan Nuruddin	Director of Capture Fisheries Division, Fisheries Research Institute (Chairman)
2. Mahyam Mohd Isa	Chief, SEAFDEC/MRDMD
3. Abu Talib Ahmad	SDC, SEAFDEC/MRDMD
4. Samsudin Basir	FRI Kampung Aceh
5. Rosidi Ali	FRI Kampung Aceh
6. Alias Man	FRI Kampung Aceh
7. Mohd Mohtar Mahmud	Resource Protection Division
8. Abdullah Jaafar	Licensing & Resource Management Division
9. Sallehudin bin Jamon	FRI Kampung Aceh (Secretariat)
10. Abd Haris Hilmi bin Ahmad Arshad	FRI Kampung Aceh
11. Zulkifli bin Talib	FRI Kampung Aceh
12. Arthur Besther Sujang	Planning & International Division
13. Haryati Abd Wahab	Licensing & Resource Management Division

**Department of Fisheries Malaysia  
Ministry of Agriculture and Agro-based Industry  
Malaysia**



## EXECUTIVE SUMMARY

This document presents the draft Guideline for the Management of Fishing Capacity for Asean Fisheries Consultative Forum (AFCF) Member States.

This is to fulfill a commitment under taken by Malaysia as the lead country for the cluster “Promoting sustainable fisheries practices - Fishing capacity and responsible fisheries practices” as set forth the AFCF Workplan (2010-2012).

This guideline is also to offer AFCF Member States a suggestive template for formulating or modifying their respective National Plan of Action for Managing Fishing Capacity (NPOA-FC). The objective of a NPOA-FC is for the respective country to achieve an efficient, equitable and transparent management of fishing capacity in marine capture fisheries by a specified target date. The formulation of a NPOA-FC will be in accordance to Section II, FAO International Plan of Action for the Management of Fishing Capacity (IPOA-Capacity).

The management of the capture fisheries involves activities such as resource assessment, collection and compilation of fisheries statistics, enforcement of fisheries laws and regulations and implementation of management measures. The responsibilities and roles of the main agencies pertaining to the management of fishing capacity should be defined and elaborated.

Most of the issues in capture fisheries can be addressed through the proper management of fishing capacity. The first step taken is to assess fishing capacity and the results indicated there is either over capacity or excess capacity in some fisheries. In managing fishing capacity, suitable strategies should be set up with relevant action plans. Subsequent implementation, monitoring and evaluation of the strategies and actions have been planned until a specified target date and subsequently reviewed periodically.

### 1. Introduction

The issue of managing fishing capacity has been raised during the THE ASEAN-SEAFDEC CONFERENCE ON SUSTAINABLE FISHERIES FOR FOOD SECURITY TOWARDS 2020, held in Bangkok, Thailand, 13-17 June 2011, under Sub-Theme 1.2: Management of Fishing Capacity.

The National Plan of Action for Fishing Capacity had been introduced under the FAO-CCRF. Formulating a National Plan of Action for the Management of Fishing Capacity (NPOA – Fishing Capacity) will fulfill a commitment undertaken by a country as set forth in the 1999 FAO International Plan of Action for the Management of Fishing Capacity (IPOA – Capacity). Section II (Preparation and Implementation of National Plans) of this IPOA asserts that States should:

*“Develop, adopt and make public, by the end of 2002, national plans for the management of fishing capacity and, if required, reduce fishing capacity in order to balance fishing capacity with available resources on a sustainable basis. These should be based on an assessment of fish stocks and giving particular attention to cases requiring urgent measures and taking immediate steps to address the management of fishing capacity for stocks recognized as significantly overfished.”*

The NPOA - Fishing Capacity will focus on strategies relating to the effective management of national fishing capacity for sustainable exploitation of the fishery resources for future generation.

The plan should be prepared by a committee of researchers and managers under the relevant authorities tasked with managing the fisheries resources of a country, such as the Department or Ministry of Fisheries. This plan should focus only on the management of fishing capacity in marine capture fisheries. The success of this plan depends on close cooperation between implementing agencies and stakeholders.

For the purpose of this document, the term “Fishing Capacity” refers to the ability of a vessel or fleet to catch fish. Over Capacity occurs when actual fishing capacity is greater than the long term

management targets *e.g.* Maximum Sustainable Yield (MSY) and Optimum Fishing Effort. Conversely, “Excess Capacity” occurs when the calculated fishing capacity is greater than the actual harvests or production. Over Capacity has been the cause of overfishing in many countries around the world, and if this can be eliminated from fisheries, there is a good chance that overfishing can also be eliminated.

The objective of the NPOA-FC is for the country to achieve an efficient, equitable and transparent management of fishing capacity nationwide by a specified target date.

Towards this end, governments should be committed to provide the necessary budget or fundings and manpower required to implement the NPOA-FC. Failure to do so would cause the objectives and intentions of the NPOA-FC not to be realised.

## **2. National Fisheries Policy Related to Fishing Capacity**

The respective agencies tasked with the management of fisheries resources is responsible for formulating and setting up relevant management policies. These policies should then be reviewed and monitored at intervals to ensure their effectiveness and suitability and they may undergo amendment to meet current needs.

It is imperative that Fisheries Management Plans (FMP) be formulated to frame these policies. Specific National Plan of Action should then be placed under the FMP, such as NPOA-Sharks, NPOA-Dugong and NPOA-Fishing Capacity (NPOA-FC).

The NPOA-FC should aim to bring about a reasonable balance between fishing capacity and available resources for sustainable development and management of fisheries resources. The relevant agencies must determine and periodically update levels of fishing capacity and establish management targets to ensure that capture fisheries will not suffer from over capacity. In terms of responsible fishing, a precautionary approach in its management strategies, even though data and information can be somewhat limited

Countries that already have NPOA-FC should list all the relevant policies. Countries that have yet to create a NPOA-FC should first of all formulate the relevant and required policies and regulations

## **3. Management Status of Capture Fisheries**

### **3.1 Resource Assessment**

Fisheries management has always taken into account the relevant biological, technological, economical, social, environmental and commercial aspects, towards ensuring effective conservation, management and development of all fishery resources. Determining the current stock biomass and resource potential in the form of Maximum Sustainable Yield (MSY) has always been an important tool for fisheries managers. Sustainable indicators such as fisheries performance indicators (catch rate and exploitation rate) and reference points (MSY, Optimum effort and MEY) have always been used to monitor the status of the stocks. Up-to-date information on the indicators is vital for the management to formulate strategies and measures for the conservation and sustainable exploitation of fisheries resources in the area.

Resource surveys and other research activities have been, and are being, carried out periodically to monitor the status of fishery resources in some countries. The results obtained from these activities should be presented to the top management of the relevant agencies tasked with fisheries management and published. Up-to-date information on the status of the fishery, usually in the form of biological resource advices from relevant researchers and advisors, is required to enable a correct balance be reached between the fishing capacity and availability of the fish resources.

Other management tools should also be used to supplement the information from research activities, such as onboard observers programme, port monitoring programme, Landing of Vessel (LOV)/Log book system, Vessel Monitoring System (VMS).



### 3.2      **Fisheries Statistical Data**

The regular collection of national fisheries statistics, particularly pertaining to catch and effort of capture fisheries should be carried out by relevant agencies. These statistical data will be utilized to determine the status and trend of the fisheries. It is recommended that countries adapt the FAO guidelines that have been adjusted for this region.

### 3.3      **Legal Aspects**

Exploitation of fishery resources in Malaysian waters is controlled through general licensing provisions of the Fisheries Act 1985. Only those with licenses are allowed to fish where strict rules and procedures applied. The terms and conditions printed on the license include, *inter alia*, the tonnage and engine horsepower of fishing vessel, types of fishing appliance, fishing zone, fishing area, fishing time and number of crew allowed. An annual license fee is charged on fishing gear and vessel. Control in the allocation of licenses has regulated fishing effort, thus avoiding excessive fishing activities. Laws and regulations are enforced by the DoFM and Malaysian Maritime Enforcement Agency (MMEA).

Countries that intend to formulate a NPOA-FC should list down:

- Agencies involved in the registration or issuance of licenses for fishing vessels and fishing gears;
- Relevant legislation from all the agencies involved in the registration or issuance of licenses;
- Agencies involved in enforcing fisheries regulations and their relevant legislations; and
- Agencies involved in collecting data and information related to fish resource status and fishing effort which is required by legislation.

### 3.4      **Management Measures**

Countries have developed various comprehensive management approaches to manage their relevant fisheries resources. Existing management measures are usually directed towards the management of the fisheries as a whole. There are specific measures aimed at having a balance among fishing effort, sustainability of resources, and environmental conservation. In order to achieve these, various conservation and management strategies should be implemented, *inter alia*, as follows:

- Limit fishing effort through the issuance of fishing gear and fishing vessel licenses;
- Restructuring of ownership patterns of fishing licenses;
- Registration of fishers;
- Management of a zoning system based on the tonnage of fishing vessels, type of fishing gears used and ownership patterns;
- Relocation of fishers to other economic activities such as aquaculture, ecotourism or other related activities;
- Conservation and rehabilitation of the marine ecosystems through the establishment of marine protected areas and deployment of artificial reefs;
- Continuous research and development, particularly in the monitoring of resource potential and development of resource and eco-friendly fishing gears; and
- Prohibition of methods of fishing such as using explosive and poison, pair trawling, moro-ami, beam trawl, electric fishing, mechanized push net and mesh size restriction of some fishing gears.

### 3.5      **Institutional/Divisional Responsibilities**

Countries should list all agencies involved in fisheries matters, and their responsibilities pertaining to, *inter alia*:

- resource management
- enforcement
- research and development
- extension works
- corporate planning

- legislation
- socio-economic aspects of the fishers and shareholders
- fish marketing
- general management of the fishers associations.

Important issues that may create a serious impact on capture fisheries should be discussed at length within the relevant agencies and also in consultation with stakeholders. This approach is necessary not only to ensure that the best advice is obtained but also to create better compliance and closer working relationship between the relevant authorities and stakeholders.

#### **4. Issues and Challenges**

Among the various issues and challenges in fisheries management that are related to multi-species and multi-fleet, and small scale fisheries are:

- Overfishing
- Habitat degradation
- Encroachment into coastal waters
- Encroachment of foreign fishing vessels
- Illegal fishing vessel
- Use of destructive fishing and less selective gears & methods
- Lack of political will
- Inadequate enforcement capacity and capability
- Lack of public awareness and participation
- Conflicts in policies objectives

One of the means of addressing most of these issues is by the proper management of fishing capacity.

#### **5. Management of Fishing Capacity**

The management of fishing capacity can be defined as the implementation of a range of policies and technical measures aimed at ensuring a desired balance between fishing inputs and production from capture fisheries. The issue of fishing capacity has been at the forefront of fisheries management concerns in recent years. The FAO IPOA in 1999 has called for Member Countries to provide preliminary assessments of the capacity situation in all principal fisheries prior to their proper management of fishing capacity. It is considered that this kind of information would identify any imbalance between capacity and resources. It is proposed that all ASEAN Member States, irrespective of membership to FAO, or otherwise, undertake the following actions in compliance with the above commitment.

In managing fishing capacity three elements need to be considered namely assessment of the current level of fishing capacity, identification of desired level, mechanism for moving from current level to desired level.

##### **5.1 Fishing Capacity Assessment**

Each country should establish its own fishing capacity measurement. Ad-hoc technical committees may be formed to carry out a preliminary assessment of current fishing capacity. Results from such assessments may indicate imbalances existing between capacity and resources.

##### **5.2 Development of NPOA - Fishing Capacity**

The relevant agencies and authorities in each country should establish, and formalize, a technical committee to specifically develop the NPOA-FC. The current level of fishing capacity should be accessed through indicative or analytical measures, as follows:



- (a) Indicative measure:
- Must be based on scientific methods-minimize subjective judgment
  - Indicator approach-make use of existing information and incorporates biological, management & fleet-specific data
  - Use a combination of indicators to determine capacity level
  - Among the potential indicator:
    - The biological status of the fisheries (overfished, approaching, subject to)
    - Management category (open access, Limited access, right-based-ITQ)
    - The harvest-TAC relationship (may not work for multi-species fisheries but may be applicable to inland fisheries)
    - The catch per unit effort (CPUE):
      - Decline over time implies overfishing & overcapacity
- It should be cautioned that: CPUE could remain constant or improve with overcapacity

(b) Analytical measure, some of which are:

- Peak to peak
- DEA (Data Envelope Analysis)
- Stochastic Production Frontier & Inefficiency Model (SPF)
- Ratio VPA

Countries should adopt a method suitable with their availability of data. Countries that are capable are recommended to use any of the analytical measures.

### 5.3 Identifying desired level

Member Countries are suggested to apply the MSY approach in identifying the desired level of fishing capacity. Apart from the use of MSY, reference points from the indicators mentioned above may also be used.

### 5.4 Strategies

The following strategies are aimed at addressing the issues involving fisheries as mentioned in Para 4 above. The key actions, together with the suggested Key Performance Indicators, listed below can be implemented in the management of Fishing Capacity, subject to suitability of individual countries.

#### 5.4.1 Strategy 1: Review and Implement Effective Conservation and Management Measures

No.	Issues and Challenges	Among the Key Actions	Key Performance indicators (KPI)
1.	Overfishing	Allocate adequate asset and financial resources for assessment	
		Control number of fishing effort at MSY level	<ul style="list-style-type: none"><li>- Number of vessel in operation at optimum level (fmsy)</li><li>- CPUE at MSY</li></ul>
		Standardize (regulate) specification of fishing gear (net dimension, number of hook, number of traps, etc) and vessel	
		Implement Individual Quota System (IQS) through Total Allowable Catch (TAC) Estimation	<ul style="list-style-type: none"><li>- CPUE at MSY</li></ul>
		Establish Fish Refugias: <ul style="list-style-type: none"><li>- Declare close season</li><li>- Declare restricted area by gear type</li></ul>	<ul style="list-style-type: none"><li>- Number of spawning/nursery areas of commercially important species</li><li>- Number of close area for trawling</li></ul>

No.	Issues and Challenges	Among the Key Actions	Key Performance indicators (KPI)
		Encourage fishers to exit for sustainable alternative livelihoods	- >10% sustainable alternative livelihood in 3 years. - Training
		Transform/Encourage small scale operators into a group/company/ consortium-based	- 1 consortium in 2 years
		Create and allow carrier vessels to operate to enable fishing vessels to operate in offshore waters.	
		Eliminate illegal fishing vessel (IUU)	- Reduce 20 % per year - (100% in 5 years)
		Moratorium/freeze on new license in over-exploited areas/resources	- 0 % new licence
		Redeployment of vessels based on resources distribution, such as from over-exploited to under-exploited areas	
		Cancel license of non-performing/non-compliance vessels	- 100% cancellation
		Conduct regular assessment on the level of Fishing Capacity and take action to bring the current level to desired level	- Once in 3 years
		Control of low-cost workforce, fuel subsidies and other incentive which may encourage more entry and may mask the presence of overfishing	

#### 5.4.2 Strategy 2: Strengthen enforcement capacity and capability

No.	Issues	Key Actions	Key Performance indicators (KPI)
1.	Inadequate enforcement capacity and capability	Allocate adequate asset and financial resources for enforcement agencies  Enhance skill, capability and competence.  Establish special coordinating body for fishery	- Availability of sufficient funds.  - 1 joint training per year - 1 training for trainer per year  - 1 coordinating body on fishery - 1 revised document on SOP - 4 meetings per year - 2 joint exercises on fishery in a year
2.	Encroachment into coastal waters	Establish mechanism for Co-management  Deploy artificial reefs to deter trawlers  Install Vessel Monitoring System (VMS) and Automatic Identification System (AIS) on fishing vessels  Enforcement boat equip with equipment capable to detect and monitor fishing boat activities	- 1 coordinating body - 4 meetings / year - 1 scheduled training per year for stakeholders - Annual progress report  - 50% reduction in encroachment  - 100% installed on fishing vessels by categories by a target date  - 1 pilot boat
3.	Encroachment of foreign fishing vessels	Conduct systematic surveillance  Strengthen coordination mechanism among the related agencies	- 1 coordinating body - 1 air surveillance / month - 4 times surface surveillance/ area/month  - 1 coordinating body - 1 meeting /year



No.	Issues	Key Actions	Key Performance indicators (KPI)
		Establish cooperation at regional level including sharing of information	

#### 5.4.3 Strategy 3: Promote public awareness and education program

No.	Issues	Key Actions	Key Performance indicators (KPI)
1.	Lack of political will toward conservation and management	Organize frequent dialogue sessions with politicians (State Councils and Member of Parliaments)	- 2 dialogue sessions /year on new issues
		Conduct regular briefing on the status of fisheries issues to politicians (State Councils and Member of Parliaments)	- 3 briefings /year
2.	Lack of public awareness and participation	Build capacity of institutions in all levels of governance	- 1 leadership training/year
		Develop coordination and partnerships among stakeholders	- 1 coordinating body/area
		Facilitate community organizing and development	- 1 training for trainer/year
		Act as key partner in sustainable resource management	- 1 coordinating body/area - 1 pilot project/area
		Stakeholder consultation and participation in decision making process	- 1 consultative forum per year
		Participate actively in action programs at the local level	- 1 Stakeholder meeting/year - 1 pilot project/year
		Disseminate the status of fisheries resources to public at large	- 1 report or document per year

#### 5.4.4 Strategy 4: Promote Responsible Fishing Practices

No.	Issues	Key Actions	Key Performance indicators (KPI)
1.	Use of destructive and less selective fishing gears & methods	Undertake relevant R&D programs for fishing capacity, encourage joint research, information sharing at regional level especially for shared stock	- 1 proposal/year
		Regulate optimum mesh size of trawl net cod-end according to size at first maturity of fish species deemed to be important	- 100% compliances by a target date
		Promote the use of resource and environment friendly devices that reduce the catch of non-target species (By-catch Reduction Device - BRD) and selective fishing gears	- 1 pilot project/area
		Improve existing fishing methods to become environmental friendly fishing methods	- 1 method in 2 years
		Design educational programs to instill the right attitude in responsible fishing practices	- 1 subject for every fisheries training course - 1 educational kit - 1 module on responsible fishing practice

## 5.5 Implementation, Monitoring and Evaluation

All, or at least some, of the various actions listed in the above Para 5.3 should be implemented and monitored periodically to ensure sustainability in the marine capture fisheries. Likewise, the performance of fishing vessels (e.g. landings, CPUE) and the available resources shall be monitored regularly.

As a means of providing effective evaluation to the above strategies and actions, countries should convene an annual workshop to review and verify the status of performance of the above mentioned indicators. The proceedings of this workshop shall be published for public scrutiny and transparency.

It is suggested that Information should be shared among countries through a formalized network/framework in managing fishing capacity.

## 6. NPOA Fishing Capacity

Each Member Countries are recommended to develop their NPOA. For the purpose of effectiveness, it is recommended that this NPOA document shall be revised regularly every four years to include updated information on the various items. The lead implementing agency in the development and review of this NPOA shall be the relevant agency tasked with managing the fisheries.

Each country can select relevant actions under strategies listed in 5.3 for implementation.

## 7. Suggested Work Plan and Timeline (based on NPOA-FC of Malaysia), to be modified to suit each country needs and capabilities.

No.	Strategies/Key Actions	Implementing Agencies	Year 1		Year 2		Year 3		Year 4	
<b>Strategy 1: Review and Implement effective conservation and management measures</b>										
1.	Control number of fishing effort at MSY level:									
	- Assessment present status									
	- Target FC									
	- Adjustment									
	- Evaluation									
2.	Implement Individual Quota System (IQS) through Total Allowable Catch (TAC) I									
	- Feasibility study									
	- Pilot Project									
	- Assessment									
	- Implementation									
3.	Establish fish <i>refugias</i>									
	- Declare close seasons									
	- Declare restricted area by gear type									
4.	Encourage fishers to exit for sustainable alternative livelihoods									
5.	Transform individual operators into consortium-based fishers through buy-back scheme									



No.	Strategies/Key Actions	Implementing Agencies	Year 1		Year 2		Year 3		Year 4	
6.	Eliminate illegal fishing vessel									
7.	Moratorium on issuance of new license in the coastal zone									
8.	Redeploy Zone C2 vessels from overexploited resources to under-exploited resources									
9.	Cancel license of non-compliance in landings for zone C2 vessels									
10.	Conduct regular assessment on the level of Fishing Capacity									
11.	Allocate adequate asset and financial resources for enforcement agencies									
12	Enhance skill, capability and competence									
13.	Establish special coordinating body for fishery									
14.	Establish mechanism for Co-management									
	- Frequent dialogue sessions									
	- Encroachment Monitoring Station									
	- Develop coordination and partnerships among stakeholders									
	- Facilitate community organizing and development									
	- Participate actively in action programs at the local level									
	- Act as key partner in sustainable resource management									
15.	Deploy artificial reefs to deter trawlers									
16.	Install VMS (Vessel Monitoring System) on commercial vessels									
17.	One enforcement boat equip with special radar to monitor fishing boat activities (refer to MV SEAFDEC 2)									
18.	Conduct regular surveillance									
	- Air									
	- Surface									

No.	Strategies/Key Actions	Implementing Agencies	Year 1		Year 2		Year 3		Year 4	
	- Radar Monitoring Approach									
19	Strengthen coordination mechanism among the related agencies through MECC (Maritime Enforcement Coordinating Centre)									
20.	Establish co-operation at regional level									
	- Meetings									
	- Joint-surveillance with neighboring countries									
<b>Strategy 3: Promote public awareness and education program</b>										
21.	Organize frequent dialogue sessions and briefing with politicians (State Councils and Member of Parliaments)									
22	Conduct regular briefing on the status of fisheries issues to politicians (State Councils and Member of Parliaments)									
23	Build capacity of institutions in all levels of governance									
24	Develop coordination and partnerships among stakeholders									
25	Facilitate community organizing and development									
26	Act as key partner in sustainable resource management									
27	Participate actively in action programs at the local level									
<b>Strategy 4: Promote Responsible Fishing Practices</b>										
28.	Undertake relevant R&D programs									
29.	Enforce minimum 38 mm mesh size regulation of cod-end									
30.	Promote the use of JTED, MAED, TED and selective fishing method									
31.	Improve existing fishing methods to become environmental friendly fishing methods									
32.	Design educational programs to instill the right attitude in responsible fishing									



No.	Strategies/Key Actions	Implementing Agencies	Year 1		Year 2		Year 3		Year 4	
	practices									
	- IPM									
	- School / universities									
	- Public									

## 8. Conclusion

The proper management of fishing capacity should be regarded as a high priority and related issues need to be seriously addressed. The implementation of the NPOA-FC will ensure sustainability of fishery resources. In addition, the implementation of the plan needs to be effectively monitored and evaluated from time to time.

In order to obtain the highest level of success toward the achievement of the above targets, a proper integration of all activities as outlined in the work plan is needed. In this context, the relevant agencies shall spearhead all the necessary actions in collaboration with other related agencies.

## 9. Glossary

1	Fish <i>Refugia</i>	Spatially and geographically defined area or coastal areas in which specific management measures are applied to sustain important species (fishery resources) during critical stages of their lifecycle, for their sustainable use
2	Individual Quota System (IQS)	Management system in which a catch limit or quota allocated to an individual fisher, who then has a guaranteed share of a Total Allowable Catch of a particular resources.
3	Juvenile and trash excluder device (JTED)	Device attach to the fishing gear aims to release juveniles and trash species during the fishing operation with expecting of high survival rate.
4	Maximum Economic Yield (MEY)	The yield above which the revenue generated by a marginal increase in effort is less than the cost of that increase; the point at which profits earn in excess of those needed to cover all fishing cost in maximized.
5	Maximum Sustainable Yield (MSY)	Highest yield of fish that can be harvested on a sustainable basis from a fish stock by a given number of fishing efforts within a period of time under existing environmental conditions
6	Malaysian Acetes Efficiency Devices (MAED)	Device attach to the trawl net targeting Acetes (sergestid shrimp) aims to release non targeted species during the fishing operation with expecting of high survival rate.
7	Over capacity	Harvesting the resources exceeding the sustainable management target.
8	Optimum effort	Amount of effort require to harvest resources at optimum level
9	Overfishing	Amount of effort use to harvest the resources exceeding its optimum level
10	Precautionary approach	A set of agreed cost-affective measure and actions, including future course of action, which ensures prudent foresight, reduce or avoids risk to resources, the environment, and the people, to the extent possible taking explicitly into account existing uncertainties and potential consequences of being wrong.
11	Responsible fishing	The use of capture practices (fishing) that are not harmful to ecosystems, resources and their quality.
12	Stakeholders	Individuals or groups of individual who are involved in utilization of fishery resources and have interest in fisheries
13	Turtle excluder device (TED)	Device attach to the fishing gear aims to release turtle species during the fishing operation with expecting of high survival rate. (Rosidi)
14	Total Allowable Catch (TAC)	The maximum catch allowed from the fishery in accordance with a specific management plan.

## Appendix 2 of Annex 9

## QUESTIONNAIRE

<b>Name of respondent :</b>	
<b>Position:</b>	<b>E-mail Address:</b>
<b>Organization :</b>	
<b>Country :</b>	

<b>A. For questions no. 1 to 4, please rate level of involvement of key stakeholder/resource users in sharing the responsibility in managing fishing capacity (with the authority).</b>	<b>Scores:</b> <b>0 = None</b> <b>1 = Low</b> <b>2 = Moderate</b> <b>3 = High</b>
<b>1. Have domestic fishery-related organizations/agencies involved in managing fishing capacity been identified?</b> If "Yes" please answer Question a & b  a. <i>Have arrangements been made to consult with the identified domestic fishery-related organizations/agencies in managing fishing capacity.</i> If Yes, please indicate the type of arrangements (e.g. seminars, workshops, consultative forums). Frequency of the meetings i) ..... 0 1 2 3 ii) ..... 0 1 2 3 iii) ..... 0 1 2 3 iv) ..... 0 1 2 3	Yes/No
b. <i>Please list the 5 most important organizations/agencies involved in managing fishing capacity and their level of involvement</i> i) ..... 0 1 2 3 ii) ..... 0 1 2 3 iii) ..... 0 1 2 3 iv) ..... 0 1 2 3 v) ..... 0 1 2 3	Yes/No
<b>2. Cooperation level by fisheries and non-fisheries organization/agencies in:</b> a. Information gathering 0 1 2 3 b. Research 0 1 2 3 c. Management 0 1 2 3 d. Fisheries development 0 1 2 3	0 1 2 3
<b>3. Consultation of Non-fishery Organizations in formulating fisheries conservation measures.</b>	0 1 2 3
<b>4. Involvement of Non-fishery Organization in the implementation of State action which contributes to the effectiveness of fishery conservation measures.</b>	0 1 2 3
<b>B. For questions no. 1 to 6, please tick factors that supported the participation and extent of sharing responsibility by resource users.</b>	<b>Scores:</b> <b>0 = No</b> <b>1 = Partly</b> <b>2 = Yes</b>
<b>1. Adequate and effective fisheries monitoring, control and surveillance that ensuring compliance to management measures.</b> a. Vessel Registration System 0 1 2 b. Fishing Gear Licensing System 0 1 2 c. Vessel Tracking System 0 1 2 d. Logbook System 0 1 2 e. Zoning System 0 1 2	



f. Regular Surface Surveillance	0	1	2
g. Air Surveillance	0	1	2
h. Community Based (Watch / Surveillance Program)	0	1	2
i. Others (Please list/elaborate)	0	1	2
<hr/> <hr/> <hr/> <hr/>	0	1	2
	0	1	2
	0	1	2
	0	1	2
	0	1	2
<b>2. Established mechanisms to identify, prevent, quantify and eliminate excess fishing capacity</b>			
a. NPOA Fishing Capacity	0	1	2
b. Assessment of fishing capacity	0	1	2
c. Agreed optimum fishing capacity	0	1	2
d. Moratorium on issuance of new license	0	1	2
e. No open access	0	1	2
f. Exit Plan (Vessel buy back scheme, etc.)	0	1	2
g. Alternate livelihood	0	1	2
h. Limited government subsidies	0	1	2
i. Limited usage of foreign crews	0	1	2
j. Others (Please specify) :	0	1	2
<hr/> <hr/> <hr/>	0	1	2
	0	1	2
	0	1	2
	0	1	2
<b>3. What is the outlined strategy in NPOA-Fishing Capacity / Management of Fishing Capacity in your country?</b>			
a. Review and implement conservation and management measures	0	1	2
b. Strengthen enforcement capacity and capability	0	1	2
c. Promote public awareness and education programs	0	1	2
d. Promote responsible fishing practices	0	1	2
<b>4. Methods used for assessment of Fishing Capacity</b>			
a. Peak to peak	0	1	2
b. DEA (Data Envelope Analysis)	0	1	2
c. Stochastic Production Frontier & Inefficiency Model (SPF)	0	1	2
d. Ratio VPA	0	1	2
e. Others (Please specify) :	0	1	2
<hr/> <hr/>	0	1	2
	0	1	2
	0	1	2
<b>5. Regular meetings of relevant governmental, non-governmental organizations and stakeholders to discuss fisheries.</b>			
a. Meetings on fishing capacity	0	1	2
b. Meetings on compliance of the regulations	0	1	2
c. Meetings on alternate livelihood	0	1	2
d. Meetings on Exit Plan	0	1	2
e. Meetings on combating IUU	0	1	2
f. Others (Please specify) :	0	1	2
<hr/> <hr/>	0	1	2
	0	1	2
	0	1	2
<b>6. Availability of conflict resolution mechanisms</b>			
a. Fisherman association	0	1	2
b. Fishing area zoning system	0	1	2
c. Industrial Consultation Council (Government & stakeholders)	0	1	2
d. Customary Law (Please list/elaborate)	0	1	2
<hr/> <hr/> <hr/>	0	1	2
	0	1	2
	0	1	2

e. Others (Please specify) :	<hr/> <hr/> <hr/>	0    1    2 0    1    2 0    1    2
<b>7. Please state the unit of fishing effort measurement for major fishing methods (e.g. number of vessels/boats, length of nets)</b>	<hr/> <hr/> <hr/> <hr/> <hr/>	
a. Trawl b. Purse seine c. Drift net d. Gill net, e. Push net f. Hooks & line g. Others (Please specify)		
<b>C. For questions no. 1 to 10, please identify ways to enhance participation and interaction of key stakeholders in promoting governance in the management of fishing capacity</b>	Scores: 0 = No 1 = Partly 2 = Yes	
<b>1. Promotion on alternative management options for rationalizing fishing especially relating to excessive capacity and fishing effort.</b>	<hr/> <hr/> <hr/>	
a. Co-management b. Community Based c. Right-Based d. Others (Please specify)	0    1    2 0    1    2 0    1    2 0    1    2	
<b>2. Prevention of fishing vessels from harvesting fisheries resources without authorization.</b>	<hr/> <hr/> <hr/>	
a. Establishment of Marine Protected Area b. Deploy artificial reef in coastal area c. Logbook system d. Vessel tracking system e. Others (Please specify)	0    1    2 0    1    2 0    1    2 0    1    2 0    1    2	
<b>3. Established mechanisms to reduce fishing capacity to a level consistent with sustainable use of the resources.</b>	<hr/> <hr/> <hr/>	
a. Buy back scheme b. Alternate livelihood c. Venture into new fishing ground (Offshore, high seas, untrawlable areas, slope, etc.) d. Shifting to selective fishing gear e. Limit fishing hours f. Others (Please specify) :	0    1    2 0    1    2 0    1    2 0    1    2 0    1    2 0    1    2	



<b>4. Evaluation and monitoring of fishing fleets to promote effective capacity and responsible fishing.</b>	0 1 2
<b>5. Review the performance of existing fishing gear and practises.</b>	0 1 2
<b>6. Are fishing gear, methods and practices which are inconsistent with responsible fisheries, have been or are being phased out?</b>	
a. Destructive fishing gear, methods and practices in your country.	0 1 2
i. Explosive / dynamite	0 1 2
ii. Poison / cyanide	0 1 2
iii. Electrical stunning	0 1 2
iv. Muro-ami (drive-in net)	0 1 2
v. Others (Please specify) _____ _____	0 1 2 0 1 2
b. Non-selective fishing gear	0 1 2
i. Push net	0 1 2
ii. Trawl	0 1 2
iii. Lured (light) Purse seine	0 1 2
iv. Stick-held deep net	0 1 2
v. Others (Please specify) _____ _____	0 1 2 0 1 2
<b>7. Transparent process in:</b>	
a. Fishing capacity assessment	0 1 2
b. Decision-making on management measures	0 1 2
<b>8. Effective dissemination of conservation and management measures for fishing capacity.</b>	
a. Printed document (pamphlete, poster, bulletin, etc.)	0 1 2
b. Website	0 1 2
c. Broadcasting (radio, television, etc.)	0 1 2
d. Meetings	0 1 2
e. Others (Please specify) _____ _____	0 1 2 0 1 2 0 1 2
<b>9. Basis and purpose of conservation and management measures are explained to users.</b>	0 1 2
<b>10. Scientific community trust and respect the fishing community</b>	0 1 2

A. For questions no. 1 to 7, please rate the levels of awareness, capability and compliance to the international and regional instruments/agreements that affect the fisheries. What is your country status for those instruments/agreements.	Status: 0 = Not signatory 1 = Signatory 2 = Ratify	Scores: 0 = Not compliance 1 = Not capable of complying 2 = Limited compliance 3 = Limited capability to comply 4 = full compliance
1. Agreement to Promote Compliance with International Conservation and Management Measures by Fishing Vessels	0 1 2	0 1 2 3 4
2. European Community Catch Certification Scheme	0 1 2	0 1 2 3 4
3. FAO Code of conduct for responsible fishing	0 1 2	0 1 2 3 4
4. FAO Port State Measures	0 1 2	0 1 2 3 4
5. International Plan of Action for Management of Fishing Capacity (IPOA-FC)	0 1 2	0 1 2 3 4
6. International Plan of Action on Illegal, Unreported, and Unregulated Fishing (IPOA-IUU)	0 1 2	0 1 2 3 4
7. Regional guidelines for responsible fisheries in the Southeast Asia (Responsible fisheries management)	0 1 2	0 1 2 3 4



Appendix 3 of Annex 9

**REPORT OF  
THE ASEAN REGIONAL WORKSHOP FOR FACILITATING COMMUNITY-BASED  
RESOURCES MANAGEMENT IN COASTAL AND INLAND FISHERIES**

**18-21 February 2014, Phnom Penh, Cambodia**

1. The ASEAN Regional Workshop for Facilitating Community-based Resources Management in Coastal and Inland Fisheries was organized on 18-21 February 2014 in Phnom Penh, Cambodia, with support from the ASEAN Foundation. The objectives of this Workshop were to: 1) review country's activities and legal framework for facilitating community-based resources management with fishing right system; 2) identify key factors for successful implementation of community-based management; and 3) identify ways and means for future promotion of community-based resources management by the countries. The Workshop Prospectus appears as **Annex 1**. The Workshop was participated by the representatives from the ASEAN-SEAFDEC Member Countries, experts on community-based resources management as resource persons, SEAFDEC Secretary-General, Deputy Secretary-General and officials from SEAFDEC Secretariat and Training Department. The List of Participants appears as **Annex 2**.

**I. OPENING OF THE WORKSHOP**

2. The Opening of the Workshop was officiated by *H.E. Mr. San Vanty*, Under-Secretary of the State, Ministry of Agriculture, Forestry and Fisheries of Cambodia, together with *H.E. Prof. Dr. Nao Thuok*, Director of Fisheries Administration and the SEAFDEC Council Director for Cambodia, and *Mr. Hajime Kawamura*, the Deputy Secretary-General of SEAFDEC.

**1.1 Remarks by SEAFDEC**

3. The Deputy Secretary-General of SEAFDEC, *Mr. Hajime Kawamura*, reiterated the significant contribution from inland and coastal small-scale fisheries for countries in the Southeast Asian region, and emphasized the need for appropriate management measures in order to effectively control the utilization of resources in sustainable manner and mitigate possible conflicts that may arise from resources utilization. He noted that countries in the region have been exploring management approaches to ensure sustainability of fishery, while the "ASEAN-SEAFDEC Resolution and Plan of Action on Sustainable Fisheries for Food Security for the ASEAN Region Towards 2020" adopted in 2011 also aim to enhance the contribution from fisheries to food security and the well-being of people in the region. It was further noted that community-based fisheries management has been promoted by several countries as one of the appropriate management approaches to ensure sustainability of fisheries; however, this requires support from governmental sector. This Workshop is therefore convened to exchange views and experience among countries in the implementation of community-based fisheries management in order to come up with appropriate ways and means for effective promotion and implementation of the approach in the future. His Remarks appears as **Annex 3**.

**1.2 Remarks by the Government of Cambodia**

4. The Under-Secretary of the State, Ministry of Agriculture, Forestry and Fisheries of Cambodia, *H.E. Mr. San Vanty*, expressed his appreciation to the close cooperation extended by SEAFDEC to the Fisheries Administration of Cambodia for the conduct of this Workshop, as well as for supporting capacity building that contribute to the fisheries reform of Cambodia. He informed the Workshop that the Government of Cambodia had identified strategy for community fisheries management in order to ensure sustainable utilization of fisheries resources. It was further noted that Cambodia is endowed with rich fishery resources that contribute to national economy and food security of people in the rural areas, as well as over 80% of animal protein consumption of the country; however, the changes in ecological system due to upstream dam construction, combined with other activities including climate change led to deterioration of aquatic habitats. The Prime Minister Hun Sein therefore had policy to reform the fisheries sector, which resulted in transferring of over



900,000 ha of fishing grounds to the communities, with more than 500 fishery communities established. The Government also implemented policy for promotion of sustainable fisheries sector and ensuring that community can access to public fishing grounds, as well as enhancing active participation of communities in fisheries management. It is therefore envisaged that this Workshop would provide very good opportunity for ASEAN-SEAFDEC countries to share experiences and views on improving sustainable fisheries management through participation of local communities. He emphasized that community-based management requires commitment from both government officers and stakeholders in local communities, and declared the Workshop open. His Remarks appears as **Annex 4**.

5. After delivering his Remarks, *H.E. Vanty* requested the organizer to consider submitting the outputs of this Workshop to the Special SOM-AMAF and subsequently to the AMAF in order that the regional effort in conducting this Workshop is acknowledged by the high-level authority of ASEAN.

## II. KEYNOTE SPEECH: IMPORTANCE OF COMMUNITY-BASED MANAGEMENT

6. The former Assistant Director-General of Fisheries and Aquaculture Department of FAO, *Mr. Ichiro Nomura*, delivered a Keynote Speech on “Importance of Community-based Management for Southeast Asian Small-scale Fisheries” (**Annex 5**). He provided a brief background on the state of world fisheries, particularly the capture and aquaculture production from 1950 to 2010, which showed that the production from capture fishery has been at a plateau over the past decade. With the high percentage of fully-exploited fishery resources and many resources that are already overfished, he emphasized the necessary for more effective conservation and management measures, and ratification/implementation of international fisheries instrument including combating IUU fishing in order to maintain the level of capture fisheries production. He further reiterated the characteristics of fisheries in the Southeast Asian region with large areas of archipelagic waters and disputed maritime boundaries, resulting in limited intervention by international organizations in the management of fishery resources. There are also extremely large numbers of small-scale fisheries targeting multi-species of fishes, making management models existing in other regions not applicable for the region. The collection of fishery statistics also faced problems where large portion of statistics could not be reported at species level, resulting in insufficient information for stock assessment and effective management of the resources.

7. Mr. Nomura further informed the challenges for small-scale fisheries in the region, including in the application of ecosystem approach to fisheries management, application of precautionary principle, inclusive of stakeholders in fisheries management, dealing with social and equity aspects of resource users and impact of allocation of access to fishery resources, etc., and emphasized the necessity for managing people’s fishing activities, rather than focusing solely on the biological aspects of the species and ecosystem dynamics. He then elaborated the fisheries management schemes, which could be categorized into three (3) types, namely: 1) Input Control, *e.g.* licensing, effort control, restriction on size/number of vessels, restriction on number of gears; 2) Technical Measures, *e.g.* time and area of closures, gear restriction, size/sex selectivity; and 3) Output Control, *e.g.* Total Allowable Catch (TAC). It was noted that some of the tools such as TAC might not be applicable for small-scale and multi-species fisheries of Southeast Asia.

8. It was noted that there are two different management practices in Japan, which are top-down approach (for offshore and long-distance fisheries) and bottom-up approach (for coastal and small-scale fisheries), the latter of which delegates territorial use rights to fishing communities in Japan. It was further noted that the application of bottom-up approach is very effective for Japanese coastal fisheries, as the conservation cost and the benefits incurred are shared by the same stakeholder group, while fishers need to pay attention not only on fish stocks but also on habitats. Important roles of government in this system was also emphasized, particularly in controlling new entry of fishers through limiting fishing licenses, encouraging fishing organizations to work closely with communities, and ensuring sustainable use of resources.

### **III. ELECTION OF THE CHAIRPERSON**

9. The Director of the Fisheries Administration of Cambodia, *H.E. Prof. Dr. Nao Thuok*, was elected as the Chair of the Workshop, as proposed by the delegates from Malaysia and supported by the delegates from Indonesia, Japan, Lao PDR and Thailand. He was also supported by the SEAFDEC Secretary-General as co-chair of the Workshop.

### **IV. ADOPTION OF THE AGENDA**

10. The Agenda of the Workshop which appears as **Annex 6** was adopted.

### **V. BACKGROUND AND INTRODUCTION OF THE WORKSHOP**

11. The Workshop noted the background, objectives and expected outputs from the Workshop as presented by *Mr. Lieng Sopha*, from the Fisheries of Administration of Cambodia.

### **VI. OVERVIEW OF COUNTRIES' ACTIVITIES, LEGAL FRAMEWORK AND DIFFICULTIES/PROBLEMS FOR FACILITATING COMMUNITY-BASED RESOURCES MANAGEMENT**

#### **6.1 Brunei Darussalam**

12. *Mr. Muhammad Khairul Hafizudin Shamsudin* made presentation on the country's experiences relevant to community based resources management, which appears as **Annex 7**. The presentation revealed the fishery resources and situation of Brunei Darussalam, showing declination of resources. Management measures were therefore undertaken through resources protection and promotion of responsible fishing, *e.g.* fishing zonation, moratorium on issuance of new fishing licenses (for all bottom trawl fisheries, and small-scale fisheries in Zone-1), mesh size regulation, habitat conservation/enrichment program, prohibition of destructive fishing practices. The measures resulted in positive impacts including in increase public awareness on fisheries management. Brunei also proposed to implement Marine Protected Areas in three (3) coral reef areas.

13. For Community-based Resources Management, it was noted that Brunei has only small coastal area with extensive gas and oil related activities, making selection and monitoring areas for marine CBRM difficult comparing to inland areas, where Belait District was selected as CBRM site. Although fisheries is a small sector, comparing with gas and oil which share the same water areas, Brunei viewed that CBRM could be effective tools to support more effective fisheries management.

- The representative from Malaysia offered Brunei Darussalam to visit the CBRM site and learn experience from activities in Malaysia, *e.g.* in Sabah. In response to the inquiry on possible conflicts between fishery activities in areas with gas and oil drilling and pipe, it was informed that areas near gas and oil drill and pipe are prohibited for other activities including fishing. Furthermore, on the moratorium of small-scale fisheries in Zone-1, it was clarified that there are different measures for small-scale fisheries, *i.e.* Transferring fishermen with companies who use foreign workers from zone 1 to zone 2.
  - To suspend licenses for new fishing gears that exceeds the limit such as *Ancau, Andang, Bubu, Lintau, Pukat Duai/Panau, Pukat Ambit/Kikis, Andang Jarang, Pukat Kembura/Kuasi, Rambat, Selambau* and *Tugu*.
  - Placing new part time fishermen and applicants under companies to zone 2.

#### **6.2 Cambodia**

14. *Mr. Ly Vuthy* from the Fisheries Administration of Cambodia informed the Workshop on the "Overview of Activities, Legal Framework and Difficulties and Problems for Facilitating Community-based Resources Management in Cambodia" (**Annex 8**). He provided brief background on the development of Community Fisheries (CFi), which is a co-management arrangement between the government and group of local people in Cambodia. Fisheries reform was implemented in Cambodia starting from 2000, where the government decided to cut 56% of fishing lot concession equivalent to



538,522 ha for local people, and encouraged establishment of Community Fisheries (CFi). In 2012, further reform was carried out, and the remaining fishing lots (412,534 ha) were also abolished with over 75% transferred for local people use, and the remaining kept for conservation.

15. Relevant legal framework of Cambodia included: Law on Fisheries (1996), Sub-decree on CFi Management, Ministerial Prakas on CFi guideline. Steps for establishment of CFi, structure, and activities undertaken by CFi were also presented. Up to present 516 CFis have been established throughout the countries (477 CFi are in the freshwater region and 39 CFi in the coastal region). Out of this 360 CFis have been registered at MAFF. Nevertheless, the promotion of CFi also faced challenges as CFi still depend on the external supports, the lack of budget and resources for implement of CFi activities; lack of incentive for and capacity of CFi committee, etc.

16. The representative from Malaysia congratulated Cambodia for the establishment and implementation of good community-based resources management system in the country.

### **6.3 Indonesia**

17. *Mr. Diky Suganda* from the Ministry of Marine Affairs and Fisheries (MMAF) of Indonesia presented “Community Based Resources Management in Indonesia” (**Annex 9**). He presented potential of inland and marine areas of Indonesia for fisheries and mariculture production. The Workshop noted the large number (3.3 million) of fishermen involved in marine/coastal and inland small-scale fisheries. Management regimes in Indonesia include Top Down (1965-1999); however, from 1998, based on the Reform Order, the Bottom Up was applied in fisheries management. The legal framework, both at national and region/local levels for CBRM in Indonesia were also presented. There are some models of CBRM implemented in Indonesia, such as in Sasi, Panglima Laot, Awig-awig and Mangku Laut.

18. The Workshop was informed in particular on “Awig-awig”, which is an agreement within community (customary law) to ensure harmony and mitigate conflicts in the society. “Awig-awig” has also been used for management of fisheries in the communities; however as the authority of formal institutions gained strength in the decade between 1960 and 1970, this “awig-awig” slowly disappeared, but the modern “awig-awig” still applied in some region, e.g. in Lombok. Regulation under “Awig-awig” is a combination of various measures, e.g. zoning, regulating period of utilization, type of technology restriction, collection of fine, etc. Indonesian successful experience on the implementation of CBRM in Rawa Pening was also shared. Nevertheless, there are also difficulties included in establishing CBRM, among other: low education and awareness of the fishers, low scientific consideration, lack of law enforcement and mostly vulnerable to external changes. It was also suggested that CBRM seems to be effectively applied in simple community where activities are not extensive.

19. It was informed that Indonesia has 11 Fisheries Management Areas (FMAs), of which fishery resources are mostly fully exploited. As mandated in the National Fisheries Law, there will be 11 Fisheries Management Plans (FMP) for the respective FMAs, but only one FMP has been issued up to present. The development process of FMP involves all stakeholder participation, such as public consultation and can be reviewed by periodic monitoring and evaluation. The remaining 10 (ten) Fisheries Management Plans will be established in the future.

### **6.4 Japan**

20. Senior Expert from Japan, *Mr. Hidemao Watanabe*, presented “Japan’s Experiences on “Community-based Fisheries Management and Right-based Fisheries” (**Annex 10**). The Workshop was informed that management measures for coastal and inland fisheries of Japan were executed through fishery rights and licensing. For fishery rights, there are three (3) kinds of rights, namely: 1) Fixed shore net fishery right; 2) Demarcated (aquaculture) fishery right; and 3) Common fishery rights (which are community-based fisheries management rights). The Common fishery right in Japan is the fishery right permitted by the prefectural governor in accordance with Japan’s Fishery Act.

21. Mr. Watanabe emphasized that local fishers should be the main actors for fisheries management, with the roles of government to facilitate community-based fisheries management (CBFM) through the use of fishing rights. CBFM system is envisaged to create benefits for fishers for deciding rules and regulations by themselves, which could be voluntarily and flexible taking into consideration the fluctuation of resources and situation; while also beneficial for government in reducing cost for fisheries management as well as for data collection. It was further noted that government support system and support officers system are envisaged to be indispensable to ensure effective CBFM. He also presented the activities of Japan's Fisheries Cooperatives Association (FCA), and the collection of catch data through auction, which is also operated by FCA.

22. In response to the question on the scale of FCA, it was clarified that the original scale of FCA was rather small, e.g. covering the same group of resource users. However, such scale has become larger in response to the economic activity of the FCA. On the possible conflicts (and mitigation of conflicts) between communities, where fishers may cross border of one community to undertake fishing activities in other community, it was informed that this could be undertaken under appropriate negotiation with the FCA where such fishing ground belongs and sharing of cost. It was further added that cooperation of users/stakeholders including their involvement in establishment of rules/regulations are very necessary in building attitude of fishers towards good cooperation in ensuring effective resources management.

## 6.5 Lao PDR

23. The Acting Director of Fisheries Division of Lao PDR, *Mr. Sommano Phouunsavath*, presented “Overview of Legal Framework, Problems and Challenges for Facilitating Community-based Fisheries Management in Lao PDR” (**Annex 11**). Noting that being the only landlocked country in the Southeast Asian region, Lao PDR faced a lot of pressure and need for appropriate management for inland fisheries, which are mainly based on inflow water from the Mekong River. It was also noted that the majority of Lao’s population relies on the availability of aquatic resources for their food security and livelihood; and there are five (5) categories of inland water bodies in Lao PDR, which are: 1) Mekong River and its tributaries; 2) Reservoirs; 3) Natural ponds – being promoted as community pond; 4) Wet season rice field; and 5) Areas for aquaculture.

24. Mr. Phouunsavath further informed on the governmental administration system that deals with fishery resources, particularly the Ministry of Agriculture and Forestry (MAF) – DLF, DOI, DOF; and the Ministry of Natural Resources and Environment (MONRE) – DWR, DFRM. It was noted that the Fisheries Law of Lao PDR was recently developed in 2009, with Articles that provide framework for community-based management, namely: Article 4 on The ownership of fish and other aquatic fauna; Article 5 on State policies on fisheries; Article 6 on Basic principles of fisheries; Article 48 on Fishermen’s associations; Article 50 on Establishment of Fisheries Management Committees (FMCs) in Water Bodies; Article 51 on Structure of Fisheries Management Committees in Water Bodies; Article 53 on Village Fisheries Regulation; and Article 54 on Content of the Regulations.

25. After the presentation, Mr. Phouunsavath further introduced three case-studies relevant to community-based management, namely: 1) Pilot areas reservoir fisheries management and conservation in Nam Houm reservoir; 2) Case in Nam Ngum 1 (areas with large hydro-power dam construction); and 3) Deep pool fisheries co-management in Khong District, Champasak Province.

## 6.6 Malaysia

26. *Mr. Jephrin Zefrinus Wong* from Department of Fisheries Sabah presented “Overview of Malaysia’s Community-based Resources Management in Inland and Coastal Fisheries”, taking Sabah Tagal system as the case (**Annex 12**). Tagal system was initiated by the DOF Sabah to promote co-management and CBRM since 2000, aiming to enhance awareness and cooperation among stakeholders and the DOF in resources protection and conservation in order to sustain catch and income for river fishers and other stakeholders. Legislation/laws that are used to empower local community to implement the CBRM under the Tagal System include: 1) The Sabah Natives Courts (Native Customary Laws) of 1995, and Sabah Inland Fisheries & Aquaculture Enactment of 2003.



Basic rules for CBRM and Tagal System and basic criteria for starting of CBRM in a village, as well as the roles of local community and the DOF Sabah in CBRM were established.

27. In 2004, the DOF Sabah introduced innovative “Zoning of the Tagal Sites” into red, yellow and green zoning in order to make Tagal System more successful and sustainable. The DOF also provided assistance to communities, e.g. through provision on the cost of ceremonial launching for all new Tagal sites, fishing equipment, infrastructures for tourism activities, patrolling boats, fish fingerlings for restocking (focusing on species with high price), training/study visit to successful Tagal sites, etc. At present, there are 511 tagal sites for river CBRM involving more than 200 rivers and 20 sites for coastal CBRM, and the successful Tagal systems have now been promoting for eco- and agro-tourism in order to generate more new income to local communities. The difficulties faced in the implementation of the Tagal system, e.g. some people that may still not agree with the implementation, and insufficient funding support from government, were also noted.

## 6.7 Myanmar

28. *Mr. Aung Nyi Toe* from the Department of Fisheries of Myanmar presented “Fisheries Development & Management in Myanmar” (**Annex 13**). It was noted that marine fisheries of Myanmar could be defined to comprise inshore and offshore fisheries, with the annual production of 1.37 million MT (in 2011-2012). Important fishing gears are trawls, and purse seines, etc. Boat registration for inshore fisheries is under the General Administration Department; while for offshore fisheries is under the Department of Marine Administration. Other fisheries management measures undertaken for marine fisheries include gear restriction; prohibition of certain fishing activities in particular seasons/areas; and restriction of fishing, collection and trade for some threatened species.

29. For inland fisheries, which cover lakes, rivers and reservoirs, the production was reported to be approximate 0.63 million MT annually. There are 3,722 leasable fisheries, of which 3,490 are under operation that support the livelihood of fishing communities. Culture-based fisheries are also practiced in some leasable areas. For Leasable Fisheries, fishing rights are granted by the DOF; while Open Fisheries (Tender Fisheries) was operated by larger fishing gears, with fishing rights permitted under a license, and amount of fee vary by gears. There are fish restocking programs undertaken in collaboration with communities to enhance production from culture-based fisheries.

30. In conclusion, Mr. Toe reiterated some of the constraints faced by Myanmar in fisheries management, particularly the inadequate capacity to strengthen the MCS functions along the coastal areas, insufficient of port and landing facilities, inadequate of knowledge for international fishing port inspection and management, the need for human capacity building for management and utilization of coastal resources, the excess fishing capacity with decreased coastal resources, ineffective implementation of existing management measures and law enforcement, and limited capacity and awareness within the community fishers. He also expressed necessity to establish and motivate MCS systems, as well as cooperation with neighboring countries for effectiveness in combating IUU fishing.

## 6.8 Philippines

31. *Mr. Arnold V. Velarde* from the Bureau of Fisheries and Aquatic Resources of the Philippines presented the “Community-based Resource Management in the Philippines” (**Annex 14**). The legal framework for fisheries of the country include: the 1987 Philippine Constitution; Philippine Environment Policy; Philippine Environmental Code; Local Government Code 191; Pertinent Provision of RA 7160; Philippine Fisheries Code 1998; and RA 7586, The National Integrated Protected Areas System (NIPAS) Act of 1992. The relevant programs/projects/activities related to fisheries coastal communities and resources management were also presented.

32. *Ms. Milagros L Chavez*, from fisherfolks organization of the Philippines also presented the “Legal Framework and Difficulties/Problems for Facilitating Community-based Resources management” (**Annex 15**). Issues and concerns faced in the fisheries sector were elaborated, which include: multi-facet problems in environmental degradation, overfishing, destruction of habitats, weak laws and regulation, and ineffective management system; over population of coastal communities and

resource use conflict; situation where incremental in marine biodiversity in fish catch could not contribute to better economic of fishers; and too much focus of government and NGOs on resources management, while overlooking other aspect on pre- and post-harvest, marketing and finance, etc.

33. Ms. Chavez therefore outlined the Strategies for Municipal Fisheries, through: enforcement of laws pertaining to the use of illegal fishing gears, and conduct of scientific and studies on fishing gears that are environment friendly. She further suggested ways and means for improvement of municipal fisheries, *i.e.* provision of funds for municipal fisheries development; establishment of guidelines on resettlement issues concerning displaced fisherfolks; promotion of municipal fishing technologies; enhancing stakeholders responsibility, inter-agency cooperation, as well as the roles of the Local Governmental Units (LGUs), DA-PFDA, People's Organization, NGOs and other relevant organizations. In addition dialogue should also be initiated with other agencies including the Armed Forces and Religious Organizations particularly for the concerns on economic displacement in conflict areas.

## 6.9 Thailand

34. Ms. Pakjuta Khemakorn from Marine Fisheries Research and Development Bureau, Department of Fisheries of Thailand presented the “Overview of Thailand Activities, Legal Framework, and Difficulties and Problems for Facilitating Community-based Resources Management” (**Annex 16**). It was noted that while fisheries plays crucial roles for national incomes and livelihood, the open access to fisheries resulting in resources depletion. The DOF therefore attempts to use “input control” to manage fisheries. However, the long coastlines result in limited MCS activities, thus alternative tools such as CBRM is being introduced. Noting some legal framework of Thailand, *i.e.* the Constitution B.E. 2540, the Fisheries Act B.E. 2490 (not mention about CBRM), the 11<sup>th</sup> National Economic and Social Development Plan (2012-2016), the Master Plan for Marine Fisheries Management of Thailand, which enhance the roles and responsibility of community in resources conservation and management, Thailand, however, has no legislation specifically governing the CBRM and fishing rights.

35. Ms. Khemakorn further informed the situation of fisheries community organization in Thailand, which involves a wide range of activities, concerning the management, conservation and rehabilitation of the resources, as well as promoting alternative and/or supplementary livelihood.

36. Ms. Khemakorn also summarized the roles of government in undertaking MCS and law enforcement in coastal and inland areas of Thailand, as well as the roles of fisheries community participating in CBRM. However, the community still requires support and assistance from government, particularly as seed money at the beginning of the project as well as for capacity building activities. The difficulties faced by the government and community sides in the implementation of CBRM were also presented. For future promotion of CBRM, DOF Thailand has proposed the Fisheries Bill (2012), which states the need for DOF to encourage the participation of fisheries communities in sustainably managing resources. Nonetheless, there is no provision concerning the establishment of the local fisheries committees under this Fisheries Bill. Thailand also needs to further strengthen fisheries community organization through various means.

37. During the discussion, Ms. Ravadee Prasertcharoensuk, added that capacity building of human resources from various sectors (government and non-governmental sectors) is necessary for enhancing the promotion of CBRM in Thailand. DOF may consider establishing mechanism to promote CBRM through enhanced participation of multi-stakeholder participation. In addition, Thailand may also consider upgrading data/information system to monitor the results and impacts from the implementation of CBRM in pilot site(s), and integrating gender issues to enhance gender equity in accessing and managing resources.

## 6.10 Vietnam

38. Mr. Nguyen Minh Tan From the Fisheries Administration, made a presentation on “Community-based Resources Management for Coastal and Inland Fisheries in Vietnam” (**Annex 17**).

The presentation outlined the situation of resources management in coastal and inland areas, *i.e.* the fishing capacity and fishery production during the past decade. It was noted that the use of prohibited fishing gears has been an on-going problem in Vietnam, while there are limitations in fisheries management to control exploitation activities. Co-management was therefore introduced and applied. The relevant laws and regulations for facilitating co-management and right to fishing in the country were also presented.

39. *Mr. Tanh* further presented the case study for application of Co-management in Vietnam in Tam Hai Commune, Nui Thanh District, Quang Nam Province; Buon Triet Commune, Lak District, Dak Lak Province; and Cu Lao Cham Marine Protected Area. In future promotion of co-management, it is necessary to improve policies and legal framework for co-management; while co-management should also be applied in fishing ports, fish landings and anchorage area. In addition, there is also a need to improve human resources to support effective implementation of co-management in the future.

## **VII. SEAFDEC SUPPORT ACTIVITIES TO MEMBER COUNTRIES FOR FACILITATION OF IMPLEMENTATION COMMUNITY-BASED MANAGEMENT**

40. *Dr. Yuttana Theparoornrat* from SEAFDEC made presentation on “SEAFDEC Support Activities to Member Countries for Facilitation of Implementation Community-based Management” (**Annex 18**). His presentation outlined the “Resolution and Plan of Action on Sustainable Fisheries for Food Security for ASEAN Region Towards 2020” adopted by the ASEAN-SEAFDEC Ministers and Senior Officials in 2011, particularly on those that relevant to the decentralization of management authority including co-management and rights-based fisheries. The on-going projects/activities of SEAFDEC were also presented, *e.g.* particularly the training of the trainers (ToT) conducted in Cambodia, Lao PDR, Myanmar, Philippines, and Vietnam, aiming to enhance the capacity of fisheries officers and trainers of these countries on fisheries management approaches, co-management, so that these trainers could further conduct mobile on-site trainings (MoT) in their respective countries. In addition to topics on management, other aspects as required by countries could also be incorporated in the training.

41. The representative from Cambodia while supporting the conduct of training activities by SEAFDEC, requested SEAFDEC to continue implementing activities at the community level. The Workshop further noted that SEAFDEC has integrated the aspect on improving information collection by autonomous community under the training, and countries that interest to involve in the activities could convey their requests to SEAFDEC.

42. In response to the inquiry from Malaysia on the cost for the conduct of training courses, it was clarified that SEAFDEC is responsible for the cost in conducting ToT, while the respective country should be responsible for the cost of their MoT. However SEAFDEC could also provide support to MoT by sending resource persons to provide inputs to the activities. The Workshop expressed views that in addition to the conduct of ToT, SEAFDEC could also consider providing forum for various local organizations and relevant agencies to review relevant laws and policies of respective countries, in order to come up with strategic policy to support coastal resources management and community-based fisheries management and provide enabling environment for future implementation of CBRM.

## **VIII. PRESENTATION BY INVITED EXPERTS**

### **8.1 Community-Based Management with Fishing Rights in Japan**

43. *Dr. Mitsutaku Makino* from Fisheries Research Agency (FRA) shared experiences on “Community-based Management with Fishing Right in Japan” (**Annex 19**). He emphasized the necessity for fisheries management measures to be compatible with types of ecological systems (*e.g.* diversity of resources) and social systems (*e.g.* importance/percentage of seafood as source of animal protein – which could differ by preference, economic status, need for food security, etc.), which are different among regions/countries. He further summarized the social and ecological conditions of the Asia-Pacific fisheries, where expensive policy measures are financially impossible, fisheries are small-

scale with diversity of resources, people largely rely of fish for food, fisheries is important for employment, with high human resource in the coastal area.

44. *Dr. Makino* further informed the history of fisheries management in Japan, where Fisheries Law 1949 provides legal base for Fishing Rights, executed by Fisheries Cooperatives Associations (FCAs) to work in consultation with their members and issue rules/regulations in accordance to resources and situation of different localities. While noting that co-management is very important for coastal areas of Japan where top-down approach is impossible, *Dr. Makino* further elaborated the important features of co-management in Japan, where local fisheries are engaged not only in fisheries operation but also resources conservation and management; management by community has lower cost and is more flexible; and local people could be proud to be part of the management scheme. Nevertheless, it was noted that government still need to monitor co-management activities, and provide capacity building as necessary. He also emphasized on the ultimate goal for “conservation” in Japan which does not eliminate local people’s life from the ecosystem, but integrate human as indispensable component of the ecosystem.

45. *Dr. Makino* further reiterated the concept on “Balanced Harvesting” (BH) developed by the IUCN Fisheries Expert Group to bridge the “protection of wilderness” and “sustainable use”, through the balance/distributed use of high- and low-trophic level resources. Japan has been applying this concept by utilizing wide range of resources (low-high trophic organisms, small-large size, juvenile-adult fish, etc.). It was noted that to successfully encourage fishers to distribute the harvest and not focusing only on high-value species, it is necessary to create good market system that enable the utilization of wide ranges of species, and such market system should also reflect the value of fish species in the ecosystem.

46. Concern was also raised that the UNESCO is not convinced on the concept that government allow local community to manage their own resources and habitats. In response it was informed that the local fish markets under FCA has collected detailed market data (*e.g.* fish species, size, price, etc.) throughout the past decades, and these data could support ecosystem monitoring to demonstrate the effectiveness of community-based management.

47. Observation was made that CBRM requires strong roles of government to cooperate closely with local community. It was further noted that while fisheries communities and fishers in Japan accepted the application of limited access to fisheries very well; fishers in other countries are generally familiar with open access, and may not apply limited access regime easily.

## **8.2 Effectiveness and Efficiencies of Autonomous Resource Management by Fishery Group and Case Study in Japan**

48. *Mr. Rikio Sato*, who had served as government official under the Fisheries Agency of Japan and recently retired to be a fisherman in Japan, presented the “Effectiveness and Efficiency of Autonomous Resources Management (ARM) by Fishery Group and Case Study in Japan” (**Annex 20**). He shared the experience fishery-related activities in the community, and emphasized that in the implementation of ARM, it is necessary that fishers and community members are properly educated on the importance of resources management for their sustainable use. He further compared the application of top-down and bottom-up (autonomous) management approaches, and reiterated the limitation of top-down approach in fisheries management.

49. *Mr. Sato* informed the Workshop on the successful implementation of resource recovery plans, such as “Hata hata”, with few years banning of fishing activities; resource recovery plans for Spanish mackerels and common mackerels by decreasing fishing pressures, resource recovery plan for red snow crabs by increasing mesh size and limiting fishing days, etc., which showed that resources could be restored after the implementation of such plans. Technical strategy for successful resources recovery activities are: avoiding total ban of fishing operation, but using different ways of reducing fishing efforts (reduce fishing days, limited gears, limited minimum size, limited areas); timing for implementation should correlate with biomass recruitment; measures may start from banning of catching small fish first (*e.g.* using larger mesh size), improving quality of harvested fish; provision of



compensation to reduce fishing operation. It was noted that important factor for the success of resource recovery plan is the establishment of consensus through discussion among stakeholders and government agencies, which is in line with the co-management approach.

### **8.3 Ecosystem-based Management as a Tool for Conflict Resolution and Conservation of Marine Fisheries: Experience from MFF's Large Project**

50. *Ms. Ravadee Prasertcharoensuk*, Director of Sustainable Development Foundation (SDF) presented on “Ecosystem-based Management as a Tool for Conflict Resolution and Conservation of Marine Fisheries: Experience from MFF’s Large Project” (**Annex 21**). Taking the project undertaken in “Had Chao Mai National Park” in Trang Province of Thailand as a case study, the coastal fisheries issues include: the segregated functions/works of governmental agencies; the top-down/centralized management; the use of destructive fishing gears, with conflict between small- and large-scale fishers; resources depletion and lost of biodiversity; unsecured livelihood of small-scale fishers; vulnerability from climate change and other disasters.

51. Approach that has been used to address the problems include the identification of common norms among different groups of resource users, encouraging communication and sharing of information among stakeholders (government sectors, fisherfolks, business sector, academes, etc.), the use of scientific data/information as a basis for formulation of rules/regulations. The working process/mechanism have been established to integrated stakeholders and institutions at various levels (local – technical – policy). As a result, ecosystem-based management could be established for the area with rules/regulations endorsed/implemented by stakeholders, ecosystems could be rehabilitated, people in the area was empowered, the use of inappropriate fishing gear reduced, with increasing aquatic diversities and incomes, etc.

52. Based on the lessons learnt from this project, the factor that lead to success of the project include: “meaningful” participation of stakeholders, the necessity for actual data to serve as basis for establishment of rules/regulations, the need for enabling environment (legal framework and working mechanism), etc. There is also a need to ensure gender equity, e.g. in accessing resources, using information, decision making. In addition, as the rights of fishers should be integrated in fisheries management plan, capacity building should be provided to fisheries officers to understand the concept of rights-based fisheries and co-management.

### **8.4 Activities Facilitate of Community-based Management in ASEAN**

53. A resource person, *Dr. Kungwan Juntarashote*, presented the “Activities Facilitate of Community-based Management” (**Annex 22**). He outlined the problems that make fisheries difficult to be managed. It was noted that while fisheries management has been undertaken to some extent, there are limitations of management, which led to poverty of small-scale fisheries in the region. He also summarized the key factors for success in the implementation of co-management. At the end, he expressed view to support the use of “Sufficiency economy philosophy”, which implies a “moderate” and “reasonable” path to pursuing economic development while keeping with the globalized world, for fisheries co-management.

54. The representative from Lao PDR sought advice on appropriate management scheme for inland water bodies like Mekong River Basin. In response, it was informed that the implementation may initially start from co-management between government and communities, and at the later stage transformed to CBRM when appropriate.

55. Furthermore, in response to inquiry of Cambodia whether how long financial support should be extended from Government to support co-management, it was viewed that the support may be gradually reduced over time, and once the community could successfully implement CBRM, additional funding support may be not necessary.

## **IX. KEY FACTORS OF THE EFFECTIVE AND EFFICIENT IMPLEMENTATION OF COMMUNITY-BASED RESOURCES MANAGEMENT WITH FISHING RIGHTS SYSTEM**

56. Based on the countries' presentations and the experiences shared by resource persons, the Workshop concluded the key factors for the success implementation of the CBRM and fishing right system, as follows:

### **Government Factors**

- Availability and implementation of legal and policy framework that support the establishment of CBRM and rights-based fisheries; and allow fishers group/organization to manage their own resources, with clear roles and responsibilities defined for resource users, government and concern stakeholders.
- Government and/or other agencies to provide support to community-based co-management, such as in term of financial/technical supports to the activities, and capacity building to enhance awareness and understanding of fisheries officers and resource users to fully understand the management concept.
- Set clear process for the implementation and facilitation of CBRM, the process should include: Set up of support official team to facilitate CRFM; Pre-survey on fisheries condition of community for making strategies to facilitate CBRM; Education to community fishers on community-based fisheries management; Conduct of planning meeting with core persons; and establishment of CRCMO.
- External agencies (*e.g.* NGOs, academic and research institutions) could play roles in expedite the co-management process (define problems; provide independent advice, ideas and expertise, etc.).
- Community resource management rights are defined (with legal basis), and mechanism/structure established for allocation of rights to community members. Rights should be referred to territorial and use right, and should not be treated as property rights or could not be transferred to others.

### **Fisheries Community Factors**

- Fisheries resource boundaries should be clearly defined. Boundary should take in to consideration watershed or life cycle of target species, in order to ensure effective management. Cooperation among fisheries communities is necessary for management of resources that share similar ecosystem, particularly migratory and shared resources.
- Community membership could be clearly defined, *e.g.* individual fishers or households with rights to fish in the area, and to participate in area management. Group members should also be homogenous, *e.g.* in social dimension, types of fishing operation, with common problems and needs.
- Community members, resource users and stakeholders that could be affected by management measures should be included and actively participated in the formulation/adjustment in the implementation of such management measures. Community could also take active roles in data collection to support formulation of appropriate management measures. Migrant fishers should also be joined on the decision of management measures.
- Establishment of management measures should be based on available data (*e.g.* daily catch, fishing effort, etc.) and information, taking into consideration specific situation and requirements of different localities, as well as culture and traditional knowledge of the communities. Management measures should be based on holistic approach, and consider ecosystem approach that balances the need for social-economic and ecology dimensions.



- Individual community members should find rules/regulations for management credible and equitable to encourage participation of all partners.
- Community has active/responsible leader.
- Community members should be encouraged to have willingness to cooperate and contribute (time, effort, etc.) to management process. In this regard, incentive structure for individual community members should be clearly defined (incentives in social and economic aspects) in order to encourage community participation. Compensation should be considered, e.g. for reducing fishing pressures, etc. In addition, fisheries organization should also have incentives for undertaking management roles/functions.
- Community members educated and empowered, to have full awareness on their rights to participate in decision-making and implementation process of management measures.
- Under the community resource users rights, all member of CBRM must take responsibility for their activities decisions without being pressured from government and politics.
- Membership of local organization should be clearly defined.
- Community has adequate financial resources to sustain community-based co-management activities. To sustain the management activities, financial resources should not rely only on external support, but community should also earn incomes from other sources such as membership fee, etc.

## X. REVIEW OF THE DIFFICULTIES AND WAY FORWARD OF MEMBER COUNTRIES IN ASEAN TO FACILITATE COMMUNITY BASED RESOURCES MANAGEMENT

57. Based on the countries' presentation, the difficulties and problems of the ASEAN Member Countries in facilitating CBRM as well as the way forward for the promotion of CBRM and related initiatives in their respective countries, as follows:

Country	Difficulty and Problem	Way forward
Brunei	<ol style="list-style-type: none"><li>1. Multi-user/functions such as the involvement of: Brunei Shell Petroleum-cable lines/ Pipe lines.</li><li>2. Firing exercise area</li><li>3. Less priority on CBFM on coastal area.</li></ol>	<ol style="list-style-type: none"><li>1. Research and Development of Inland Fisheries.</li><li>2. Learn the experience of Sabah, Malaysia on inland CBRM (Tagal system). Used the Fisheries Order 2009 and cooperate and link with District Office of each Districts.-Expand CBRM to other districts</li></ol>
Cambodia	<ol style="list-style-type: none"><li>1. The step of Community Fisheries establishment have 9 steps, it is too long and difficult by fishermen situation.</li><li>2. Almost CFi is still need supporting from government and external support (financial support).</li><li>3. Boundary demarcation of each community fisheries</li><li>4. Not update legal framework.</li><li>5. Migrant fishers.</li><li>6. Difficult to manage the coastal area.</li><li>7. Lack of sustainable income of fishers (need government support).</li><li>8. Lack of sense of ownership to protect of the resources.</li><li>9. Limited capacity and knowledge of CFicommittee /local fisheries officers and local authority on fisheries management and community fisheries management.</li></ol>	<ol style="list-style-type: none"><li>1. Revising legal framework</li><li>2. Establishment of pilot model for fisheries community, with no illegal fishing activities, having sustainable income generation activities and regular record on fish catch data.</li><li>3. Capacity building for fisheries officer and local community members,</li><li>4. Integrate CFi Management plan into commune development plan</li><li>5. Securing fund to sustain CBRM activities, including sourcing external funding to support activities on CBRM</li><li>6. Engage migrant fisher in CBRM as appropriate</li></ol>

<b>Country</b>	<b>Difficulty and Problem</b>	<b>Way forward</b>
Indonesia	<ul style="list-style-type: none"> <li>1. Low education and awareness levels of fisherman.</li> <li>2. Low scientific considerations.</li> <li>3. Law enforcement is still lacking.</li> <li>4. Can only be effectively applied to simple structure community and activity areas are not extensive.</li> <li>5. Mostly vulnerable to external changes.</li> </ul>	<ul style="list-style-type: none"> <li>1. Strengthening existing co-management</li> <li>2. Establishing fisheries management plan based on 11 management areas</li> </ul>
Lao PDR	<ul style="list-style-type: none"> <li>1. Lack of alternative livelihood strategies for fishing community development.</li> <li>2. Need a legal framework and incentives for the organization of fishers.</li> <li>3. Changing practices of controlling fish market, fish prices and taxation system by the local provincial authorities.</li> <li>4. Lack of experience in cooperative setup.</li> <li>5. Lack of services to support fishers such as credit, fishing craft and gear.</li> <li>6. Encounter poor marketing system.</li> <li>7. Lack of investment into basic infrastructure and facilities for local fishing communities.</li> <li>8. Difference type of water body</li> <li>9. Limited capacity of local government staff (Provincial/district) and local communities to manage fishery resources (e.g. MCS) and promote CBFM.</li> <li>10. Over fishing and illegal fishing.</li> </ul>	<ul style="list-style-type: none"> <li>1. Conduct an inventory and assessment of different types of water bodies (river, reservoirs, wetlands) that have potentials for developing CBFM.</li> <li>2. Integrate fisheries management and development (CBFM) into the overall natural resources management and development at the national and local levels (province/district) as well as into the community development plan. (For example: include CBFM into River Basin Management)</li> <li>3. Conduct awareness activities for promoting CBFM for local government staff and local communities.</li> <li>4. Improve the institutional framework for promoting CBFM especially with regards to management zoning (administrative/management boundaries) in each specific water body.</li> <li>5. Support the development of legal framework and management instruments for promoting CBFM.</li> <li>6. Develop model for CBFM in three ecological areas( Northern, Central and Southern) for the following types of water body Mekong river and tributaries, Reservoirs (Hydropower and irrigation) and Small scale wetland (Community ponds)</li> </ul>
Malaysia	<ul style="list-style-type: none"> <li>1. Not much funding (not enough and still need more funding support from government).</li> <li>2. Lack of manpower on CBRM</li> <li>3. Many migrant ( illegal ) fishers in coastal waters</li> <li>4. Not all states have legal framework on CBRM on inland fisheries</li> <li>5. In coastal water, Fisheries Act 1985 still has no provision to empower of local community to introduce of CBRM.</li> </ul>	<ul style="list-style-type: none"> <li>1. Increase funding to CBRM program</li> <li>2. Increase manpower to CBRM program to fisheries department</li> <li>3. Strengthening the existing legal framework of existing Sabah and Sarawak inland CBRM</li> <li>4. Introduce legal framework to all States that yet to have legal framework on inland CBRM</li> <li>5. Introduce CBRM legal framework to Fisheries Act. 1985 (Coastal fisheries )</li> <li>6. Strengthening existing Sabah CBRM</li> <li>7. Gazette all the existing CBRM sites/zones</li> <li>8. More R &amp; D on biodiversity and socio-economic impact of CBRM</li> <li>9. More capacity building to the staffs of fisheries department and community members/ stakeholders</li> <li>10. Target at least 20 coastal CBRM by 2016 (specific Sea cucumber, Cockles, Screw shell/Tontol and Crabs)</li> <li>11. Increase promotion of CBRM program as one of the eco-tourism in product of Malaysia</li> </ul>



<b>Country</b>	<b>Difficulty and Problem</b>	<b>Way forward</b>
Myanmar	<ol style="list-style-type: none"> <li>1. Inadequate to strengthen the MCS functions.</li> <li>2. Uncover the long coastal areas.</li> <li>3. Insufficient of port and landing facility.</li> <li>4. Inadequate of knowledge for international fishing port inspection and management.</li> <li>5. Inadequate on promoting human capacity building for the management of coastal resources utilization.</li> <li>6. Limited Financial &amp; technical support.</li> <li>7. Excess fishing capacity, decreased coastal resources and illegal and destructive fishing were a major concern.</li> <li>8. Ineffective implementation of existing management measures and law enforcement.</li> <li>9. Limited capacity and awareness within the community fishers.</li> </ol>	<ol style="list-style-type: none"> <li>1. Protect and encourage to establishment the CBFM model initiative and awareness through the capacity training program</li> <li>2. Strengthening legal framework for management, in collaboration with other agency agencies</li> <li>3. Strengthening CBFM right implementation respective in inland fisheries areas</li> <li>4. Promotion reservoir fisheries through the CBFM process</li> </ol>
Philippines	<ol style="list-style-type: none"> <li>1. Conflicts between the national government programs in infrastructures and local government initiatives in coastal management.</li> <li>2. Political and land conflict between neighboring Local Government Units (LGUs).</li> <li>3. Discrepancies in the interpretation of jurisdiction among all agencies concerning with coastal management at national and local levels.</li> <li>4. Inadequate support and non-recognition of some LGUs to the FARMC resource for coastal resource management by the LGUs.</li> <li>5. Conflicting local policies and laws supporting coastal management between neighboring LGUs.</li> <li>6. Lack of mechanisms and support for community participation.</li> <li>7. Inadequate personnel and support facilities and skills</li> <li>8. Informal settlers in coastal areas.</li> <li>9. Natural and manmade calamities.</li> <li>10. Lack of health and sanitation of fisheries community.</li> </ol>	<ol style="list-style-type: none"> <li>1. Continue the program in all the national program of BFAR such as aqua-silviculture to afforest the dwindling mangrove and establish incrementally the areas in the country which will support the nursery areas for the young fishes.</li> <li>2. Establish more multi-species hatchery-nursery to support the declining number of various standing crop in the coast or inland waters.</li> <li>3. Establish early warning mechanisms among stakeholders against illegal fishing and disaster occurrence,</li> <li>4. Continue the advocacy in coastal resource management by incorporating this as a special subject in elementary, secondary and tertiary level of education in those academic institutions existing in coastal areas.</li> <li>5. Provide a mechanism that will enhance the synergy of cooperation among stakeholders in coastal management</li> <li>6. Review and improve CBRM plan for all Municipalities</li> </ol>
Thailand	<ol style="list-style-type: none"> <li>1. Inadequacy of legal arrangements and administrative supports needed to facilitate CBRM in Thailand.</li> <li>2. Insufficiency of cooperation among involved government agencies in implementation of the CBRM project.</li> <li>3. Inadequacy of government budget specifically used for promoting and implementing CBRM in coastal and inland fisheries of Thailand.</li> <li>4. Incapability of fishers and fisheries community to fully participate in CBRM due to the lack of legitimate power prescribed in the law.</li> <li>5. Less opportunity for fisheries</li> </ol>	<ol style="list-style-type: none"> <li>1. Establishing legal framework that facilitate the CBRM such as enacting the new Fisheries Act., amending the Cooperative Act., arranging supportive legislation in terms of the establishment of the local fisheries committees, and the process carried out to issue the fisheries regulations at local level.</li> <li>2. Establishing institutional arrangements to support CBRM</li> <li>3. Implementing pilot projects on CBRM</li> <li>4. Strengthening fisheries community organization, such as providing capacity building, supporting market system.</li> </ol>

<b>Country</b>	<b>Difficulty and Problem</b>	<b>Way forward</b>
	<p>communities to seek for assistance and support due to their informal establishment.</p> <p>6. Lack of leadership and systematic administration within the fisheries community.</p> <p>7. Members of fisheries community organization have the deficiency of necessary knowledge and skills to carry out the activities under CBRM</p> <p>8. Lack of fund needed for fisheries community organization to pursue their activities</p>	
Vietnam	<p>1. Lack of initiative and flexibility in deployment, depending on project management board and local government.</p> <p>2. The goal of some models is not clear.</p> <p>3. Conflict within the fisheries as well as with other sectors.</p> <p>4. Lack of a solid legal basis.</p> <p>5. Lack of data on biodiversity and environment.</p> <p>6. Lack of specific financial mechanisms and fund is not enough to guarantee the sustainability of the model.</p> <p>7. Lack of attention and support by local agencies.</p> <p>8. Insufficient of alternative livelihood.</p> <p>9. Natural disaster problems.</p>	<p>1. Revising legal framework</p> <p>2. Capacity building to strengthen human resource for promotion of Co- management</p> <p>3. Establishing more than 100 co-management pilot sites in coastal provinces (within 5 years)</p> <p>4. Upgrading fishery database system</p> <p>5. Strengthening MCS system at local level</p> <p>6. Supporting integrated spatial planning at local level</p> <p>7. Upgrading fishing ports and landing sites along the coast</p>

## XI. CONCLUSION AND RECOMMENDATIONS

58. The Workshop suggested SEAFDEC to consider preparing a policy brief on CBRM, which could compile lessons learnt from various CBRM-related initiatives, in order to promote understanding on CBRM for policy makers and relevant stakeholders. The Workshop also suggested the compilation of success stories on CBRM in order to facilitate sharing of lessons learnt and implementation in other countries. This could be done through production of tools and materials, including audio-materials. Representatives attending in the Workshop were also encouraged to continue promoting CBRM, as well as to encourage policy makers in their respective countries to promote the application of CBRM concept in the future.

59. The Workshop was informed that the results from this Workshop would be further submitted to the higher authorities of ASEAN (through the ASWGF) and the SEAFDEC Council for their consideration and to seek policy support.

## XII. CLOSING OF THE WORKSHOP

60. SEAFDEC Secretary-General, *Dr. Chumnarn Pongsri*, extended his sincere gratitude to all participants and resource persons for their active participation, which led to the success of the Workshop, as well as to those who worked in making arrangements for this Workshop. He reiterated that the experiences shared and recommendations developed through the Workshop would pave the way forward to future promotion and implementation of CBRM. He then expressed appreciation to the warm hospitality extended by the Government of Cambodia, which allows the Workshop to come up with fruitful results, as well as for the ASEAN Foundation in providing financial support to the Workshop.



61. Secretary of State, Ministry of Agriculture Forestry and Fisheries of Cambodia, *H.E. Yuth Phou Thong*, on behalf of the Minister of Agriculture, Forestry and Fisheries, expressed his gratitude and sincere thank for the active participation from all countries and participants for sharing of information and providing recommendations for further promotion of CBRM to ensure sustainable fisheries resources management and utilization. He also expressed appreciation to all experts for sharing experiences, as well as to SEAFDEC, ASEAN Secretariat and the Japanese Trust Fund for cooperation in the organization of the Workshop and extending capacity building for promotion of community-based management to the Fisheries Administration of Cambodia. He further emphasized that the success in the implementation of CBRM rely very much on the availability of legal framework, the cooperation and active participation of fisheries communities, as well as support from governmental sectors, national and regional organizations in facilitating the relevant activities.

62. *H.E. Yuth Phou Thong* expressed his strong support to the results from the discussion, which outlined the key factors for successful implementation of the CBRM. He further expressed his hope that the recommendations from the Workshop would be used to support CBRM and contribute to improved food security and well-being of people in the region in line with the Resolution and Plan of Action adopted in 2011. He shared view that strengthening of human capacity in the community is very essential both for inland and coastal fisheries management. In addition, enhancing the awareness on the success cases of CBRM would also expedite management, while collaboration among stakeholders needs to be strengthened. He then encouraged SEAFDEC, ASEAN Foundation and the Japanese Trust Fund to continue providing further supports to capacity building and activities that promote community participation in fisheries management in the ASEAN countries. After wishing participants to have fruitful excursion program and safe journey home, he declared the Workshop closed.

**Annex 10**

**ASEAN SHRIMP ALLIANCE (ASA)**

**INTRODUCTION**

The ASEAN Shrimp Alliance Term of Reference was endorsed by the 29<sup>th</sup> Meeting of the ASEAN Ministers on Agriculture and Forestry (29th AMAF) on 1 November 2007 in Bangkok Thailand. All 10 ASEAN Member States are member of ASEAN Shrimp Alliance (ASA). Department of Fisheries, Thailand is the Secretariat of ASA and SEAFDEC is the collaborating partner of ASA. Objectives of ASA are to develop ASEAN Shrimp Culture Practices; discuss on trade related issue; and enhance ASEAN negotiation power in shrimp world market through formation of common issues in relevant international fora. Since its establishment, ASA priority activity is the development of the ASEAN Shrimp Culture Practices including its Strategic Plan on development and implementation of ASEAN Shrimp Standard. Regional Expert Group Meetings were organized during 2009-2011 to develop the ASEAN Shrimp Good Aquaculture Practices (ASEAN Shrimp GAP). The ASEAN Shrimp GAP was developed based on FAO Technical Guideline of Aquaculture Certification. Consequently, the Standard on ASEAN Good Aquaculture Practices for Shrimp Farming or ASEAN Shrimp GAP together with the Strategic Plan on Development and Implementation of ASEAN Shrimp GAP was endorsed by the 33<sup>rd</sup> Meeting of AMAF in October 2011, Indonesia. ASEAN Shrimp GAP comprises four modules as recommended in the FAO Guidelines on Aquaculture Certificate with slightly difference in details of each module. The four modules comprise: 1) Food Safety and Quality, 2) Animal Health and Welfare, 3) Environment Integrity, and 4) Socio-economic Aspects.

**PROGRESS OF ASEAN SHRIMP ALLIANCE FOR NOVEMBER 2013-NOVEMBER 2014**

The Fifth Meeting of ASEAN Shrimp Alliance (ASA) was organized on 16 June 2014 in Putrajaya, Malaysia and was hosted by the Department of Fisheries, Malaysia. The Meeting was attended by the representatives from the ASEAN Member States (AMSSs) namely, Indonesia, Malaysia, Philippines, and Thailand.

The participating ASEAN Member States presented national shrimp farming and aquaculture certification scheme. The Meeting also shared current situation of Early Mortality Syndromes including prevention and mitigation measures.

The meeting discussed on certification scheme for ASEAN Shrimp GAP and agreed that since the ASEAN-Australia Development Cooperation Program (AADCP) phase II will formulate the ASEAN Good Aquaculture Practices Certification Scheme which could be applied for all aquaculture species including shrimp therefore to ensure that ASEAN GAqP Certification Scheme is applicable for all ASEAN Member States, the national ASA focal point should attend the AADCP meeting scheduled to be held in July 2015.



**Annex 11**

**DECLARATION AND ACTION PLAN FOR THE IMPLEMENTATION OF CITES REQUIREMENTS IN RELATION TO SHARKS AND MANTA RAYS**

**INTRODUCTION**

1. This paper compiles information on the implementation of CITES-related matters especially on improving data collection on shark and how regional approach is being developed in the Southeast Asia. This paper is prepared to support the discussion during the Seventeenth Meeting of Fisheries Consultative Group (FCG) of the ASEAN-SEAFDEC Strategic Partnership (ASSP) to be convened from 4 to 5 December 2014 in Ubon Ratchathani, Thailand.
2. Refers to the sixteenth meeting of the Conference of the Parties (CoP16) to the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES) convened from 3 to 14 March 2013 in Bangkok, Thailand, which five out of seven proposals relevant to shark and ray species were accepted and was put in place in September 2014. Noting that, the SEAFDEC Council during its 45<sup>th</sup> Meeting recommended that SEAFDEC should closely cooperate with FAO and relevant organizations in jointly addressing the CITES issues, and that FAO should consider not only in developing scientific advice but also raising practical and general problems associated with CITES listings of aquatic species such as the **non-detriment findings (NDF)**, and the inertial nature of CITES decisions, *i.e.* once listed will never be delisted. The Council also requested SEAFDEC to seize the opportunity to utilize the pledge of EU to provide funding for capacity building in activities related to the listing of marine species in the CITES Appendices for the benefit of the region. Such activities could focus on shark-related studies particularly on taxonomy, NDF and in updating the information on marketing of shark products in the region.
3. In addition, the SEAFDEC Council during its 46<sup>th</sup> Meeting encouraged SEAFDEC and the ASEAN Secretariat to carry out proactive initiative in enhancing the capacity of the ASEAN-SEAFDEC Member Countries in addressing concerns related to the listing of commercially-exploited aquatic resources in the CITES Appendices and to explore potential donors to support their relevant capacity building activities. Furthermore, the Council reiterated that the Member Countries could directly discuss CITES-related issues with the CITES focal point in each country.

**PROGRESS MADE FOR REGIONAL IMPLEMENTATION SUPPORT IN RESPONSE TO THE REGULATION ADOPTED AT THE COP16**

**A. Declaration and Action Plan for the Implementation of CITES Requirements in Relation to Sharks and Manta Rays**

4. CITES-Secretariat in collaboration with FAO organized the “Asian Regional Consultative Workshop on Capacity Assessments for the Implementation of new CITES Listing of Sharks and Manta Rays” at Xiamen, Fujian Province, P. R. China, from 13 to 15 of May 2014, where the representatives of fisheries and CITES authorities from China, Hong Kong (China), Macao (China), India, Indonesia, Iran, Japan (as an observer), Republic of Korea, Malaysia, Maldives, Pakistan, Singapore, Sri Lanka, Thailand and Yemen attended the meeting.
5. Having in mind the importance of conservation and sustainable use of sharks and rays and after scrutinizing the limitations, challenges and needs of the countries in the region, the results of meeting, therefore adopted the Xiamen Declaration and Action Plan for the Implementation of CITES Requirements in Relation to Sharks and Manta Rays (**Appendix 1**) particular on the priority actions to effectively implement the new listing of sharks and manta rays in CITES Appendix II as follows:
  - Improvement of data collection
  - Strengthening national legislation, enforcement (monitoring, control and surveillance) and international cooperation
  - Strengthening conservation and management measures



- Enhancing training and capacity building/human resource development
- Securing funding

## B. EU Funding Support on Capacity Building Program Through CITES Secretariat

6. In response to the request from the Member Countries abovementioned, SEAFDEC has informal communication with Dr. HARUKO Okusu, Capacity Building Coordinator of the CITES Secretariat who is the contact person for EU funding support through the CITES Secretariat.

7. In addition, SEAFDEC, through its Japanese Trust Fund, has initiated a regional collaborative program to support ASEAN countries on their stock assessment of shark and rays species listed during the CoP16. The collaborative program activity started with the conduct of ‘Regional Workshop on Data Collection Methodology for the Assessment of Shark Stock Status’ which was convened in October 2013 to gather ideas on how to deal with sharks data collection, and regional support from SEAFDEC and others to the Member Countries on implementation of CITES listing shark species.

8. According to the reports by the countries on utilization of sharks in their respective countries, it is clear that sharks and rays are non-target catch. Available national statistic in all countries recorded sharks and rays by group but not up to species level. The common issues in the region also included inadequate experts and competent officers in elasmobranchs taxonomy, insufficient knowledge and expertise to identify shark’s part and derivatives, biological data, stock structure, and spatial and temporal distribution of sharks and rays are still lacking.

9. In order to improve assessment of stock status of sharks/rays in the region, the Workshop suggested that data collection on these species should be started up with some major species, such as CITES listed species including hammerhead and oceanic whitetip sharks, manta rays and thresher sharks (IOTC). Species identification may be too difficult for routine data collection, it was therefore recommended to make more use of illustration, group of species, etc. The Workshop also recommended that the current data sheet used by enumerators in Malaysia should be used as guidelines for other countries and for SEAFDEC to develop a standardized data sheet for this region to record CPUE data specific to the type of fishing gears as well as logbook.

10. In this regard, SEAFDEC/TD in cooperation with MFRDMD have worked closely with the Member Countries to come up with the set of pilot activities. Sampling sites of the pilot activities include area of: Andaman Sea (Myanmar, Thailand, and Indonesia); Gulf of Thailand and South China Sea (Thailand, Malaysia, and Vietnam); and Sulu Sulawesi Seas (Malaysia and Philippines). Possible pilot sites, to be partly supported by the Japanese Trust Fund Program through SEAFDEC/TD, appeared in **Appendix 2**. It was planned that three (3) species of hammerhead sharks (CITES Appendix II), Thresher sharks (IOTC), and manta ray (CITES Appendix II) will be recorded at that selected pilot sites. In this connection, TD will closely coordinate with CITES Secretariat for EU funding support capacity building program for implementation of CITES listed species of sharks/rays.

11. In 2014, the activities emphasized on alleviating problem of shark data collection by improving capacity on species identification of enumerators of Member Countries through the conduct of ‘training of trainer’. Shark data landing at pilot sites of some SEAFDEC Member Countries was initiated in August 2014 under technical support by TD and MFRDMD. Participating countries of the project have agreed on the format and template for data collection on sharks. SEAFDEC has been trying to encourage data collection of the shark landing in selected pilot sites of the participating countries. However, it is likely that the current financial support from JTF through SEAFDEC for implementing the activities may not sufficient for 2015 and onwards. In this connection, SEAFDEC has communicated with the officer-in-charge of the EU funding support (in the budget category of supporting formulation of national NDFs) for possible financial support from CITES Secretariat. The results from the informal communication tuned very positive. It is envisaged that project activities on data collection, including organization of the onsite training for enumerator, national planning meeting for shark data collection, allowance for local enumerators to collect data on shark landing, reports of

the data collection, will be borne by the financial support from EU funding through the CITES Secretariat.

12. In this connection, TD in collaboration with MFRDMD has developed the project proposal on “Data Collection on Catch Landing of Sharks in Southeast Asian Countries: *Sharks and Manta Rays Landing Stock Data Collection towards Sharks NDF*” to request the financial support from EU through the CITES Secretariat. In order to receive such fund, it was recommended that SEAFDEC should get the agreement of the CITES Management Authorities of the participating countries. The Project Proposal appeared in **Appendix 3**.

13. In this regard, SEAFDEC in close collaboration with the fishery authorities of participating Member Countries will be responsible for providing all technical inputs and arrangements that is associated with the implementation of the data collection on shark at the selected sites for twelve months duration of the project, including; organization of the national workshop, onsite training for local enumerators for data collection, assistance on data input-analysis-reporting, and organization of the end-of-project meeting which the cost of project implementation will be jointly shared by the Japanese Trust Fund (through SEAFDEC) and EU’s Funding on Support to Development of Sharks NDFs (through CITES Secretariat). SEAFDEC will also be responsible for documenting the compilation of data collected in the participating countries, namely, Cambodia, Indonesia, Malaysia, Myanmar, Philippines, Thailand, and Vietnam as well as the dissemination of the results. The fishery authorities of participating Member Countries will be also responsible for providing all local logistics, as well as making available the necessary arrangements for conducting the data collection during the implementing period.

#### **REQUIRED CONSIDERATION BY THE MEETING**

14. The Meeting is requested to take note the Declaration and Action Plan for the Implementation of CITES Requirements in Relation to Sharks and Manta Rays based on the Asian Regional Consultative Workshop on Capacity Assessments for the Implementation of new CITES Listing of Sharks and Manta Rays” organized by CITES-Secretariat in collaboration with FAO at Xiamen, Fujian Province, P. R. China, as well as the progress made by SEAFDEC in relation to CITES-related issues. The Meeting is also requested to support the implementation of CITES-related matters especially on improving data collection on sharks at national and regional levels. Lastly, the Meeting is cordially invited to provide policy recommendations on the future direction and way forwards in relation to CITES-related issues.

**Xiamen Declaration**  
**&**  
**Action Plan for the Implementation of CITES Requirements  
in Relation to Sharks and Manta Rays**

**Xiamen, China, from 13 to 15 of May 2014**



**Main outputs of the FAO/CITES Regional Consultative Workshop on  
Capacity Assessments for the Implementation of New CITES listing of  
Sharks and Manta Rays**



## XIAMEN DECLARATION

We, the representatives of fisheries and CITES authorities from China, Hong Kong (China), Macao (China), India, Indonesia, Iran, Japan (as an observer), Republic of Korea, Malaysia, Maldives, Pakistan, Singapore, Sri Lanka, Thailand and Yemen at the FAO/CITES "Asian Regional Consultative Workshop on Capacity Assessments for the Implementation of new CITES Listing of Sharks and Manta Rays" (Xiamen, Fujian Province, P. R. China, from 13 to 15 of May 2014), reviewed and discussed the implementation of the new CITES listing for sharks and manta rays<sup>1</sup> agreed at the 16th meeting of the Conference of the Parties to CITES to be effective from 14<sup>th</sup> September 2014.

Having in mind the importance of conservation and sustainable use of sharks and rays and after scrutinizing the limitations, challenges and needs of the countries in the region, we recommend the following priority actions to effectively implement the new listing of sharks and manta rays in CITES Appendix II:

- IMPROVEMENT OF DATA COLLECTION
- STRENGTHENING NATIONAL LEGISLATION, ENFORCEMENT (MONITORING, CONTROL AND SURVEILLANCE) AND INTERNATIONAL COOPERATION
- STRENGTHENING CONSERVATION AND MANAGEMENT MEASURES
- ENHANCING TRAINING AND CAPACITY BUILDING/HUMAN RESOURCE DEVELOPMENT
- SECURING FUNDING

We encourage all countries to closely collaborate with Regional Fisheries Bodies and fully use existing regional wildlife enforcement networks in relation to CITES-listed marine species, to enhance sharing of information and expertise with regard to the management and sustainable utilization of shark and ray species.

We appeal to our governments and donors to support the efforts by Asian countries to improve measures for implementing CITES regulations for sharks and manta rays, and for the conservation and sustainable utilization of sharks and rays.

We thank the European Union and China for funding the workshop, China for hosting the workshop, and FAO and the CITES Secretariat for their support in the organization of the event.

Xiamen, Fujian Province, P. R. China, 15 May 2014

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<sup>1</sup> Oceanic whitetip (*Carcharhinus longimanus*), scalloped hammerhead (*Sphyrna lewini*), great hammerhead shark (*Sphyrna mokarran*), smooth hammerhead shark (*Sphyrna zygaena*), the porbeagle shark (*Lamna nasus*) and the genus *Manta* spp, the entry into force of the inclusion in Appendix II of which is 14 September 2014.



## Regional action plan for the implementation of the recent listings of sharks and manta rays under CITES Appendix II for Asia

### **Notes:**

1. The term "shark" is taken to include all species of sharks, skates, rays and chimeras (Class Chondrichthyes)
2. At the end of each activity the following abbreviations are used to indicate the time frame for implementation:  
ST = Short Term (1 to 2 years)  
MT = Medium Term (3 to 5 years)  
LT = Long Term (over 5 years)

<b>ACTION 1: IMPROVEMENT OF DATA COLLECTION</b>		
<b>Issues</b>	<b>Challenges</b>	<b>Activities to address identified needs</b>
<b>1. Scientific information to support assessment and management of shark and ray fisheries</b>	<ul style="list-style-type: none"><li>• Lack of fisheries data (catch, discards, effort) in particular in areas with high species diversity, small-scale fisheries and limited human capacity</li><li>• Lack of spatio-temporal data.</li></ul>	<ul style="list-style-type: none"><li>• Conduct more training courses and workshops on biology, taxonomy, ecology and stock assessment of sharks and rays (ST)</li><li>• Support the data collection through logbook and/or observer programs and others as feasible (ST)</li><li>• Encourage the use of local knowledge (ST)</li><li>• Record all landing data of CITES listed species at species level (ST/MT)</li><li>• Carry out stock assessments at regional levels (MT)</li></ul>
	<ul style="list-style-type: none"><li>• Lack of biological information, stock structure, nursery grounds and habitats of sharks and rays</li></ul>	<ul style="list-style-type: none"><li>• Improve knowledge of sharks and rays through research and fisheries monitoring (ST)</li><li>• Collect biological information on sharks (ST)</li><li>• Develop field guides for sharks and rays, using pre-existing material (ST)</li><li>• Encourage the use of local knowledge (ST)</li><li>• Support data collection through fishery independent surveys (MT)</li><li>• Collect information on survival rates of released fish (MT)</li></ul>
	<ul style="list-style-type: none"><li>• Lack of socio-economic information on fishers and traders of sharks and rays</li></ul>	<ul style="list-style-type: none"><li>• Collect basic socio-economic information on relevant shark fisheries and trade (ST)</li><li>• Conduct comprehensive socio-economic assessments and analysis of shark and ray fisheries and trade (MT)</li></ul>
	<ul style="list-style-type: none"><li>• Lack of data and information on utilization, marketing and trade of sharks and rays</li></ul>	<ul style="list-style-type: none"><li>• Define the supply chains of the different products and derivatives of sharks and rays in trade (ST)</li><li>• Conduct marketing and trade assessments (MT)</li></ul>
	<ul style="list-style-type: none"><li>• Lack of adequate shark fisheries management (as a basis for NDFs)</li></ul>	<ul style="list-style-type: none"><li>• Enhance training and capacity building (ST)</li><li>• Provide sufficient funding (ST)</li></ul>
<b>2. Lack of collaboration on research and data sharing on migratory or straddling sharks and rays species</b>	<ul style="list-style-type: none"><li>• Limited research on shared shark and ray resources</li></ul>	<ul style="list-style-type: none"><li>• Compile a list of existing regional data, information and experts on sharks and rays (ST)</li><li>• Develop regional data sharing mechanisms (MT)</li><li>• Carry out regional joint shark research and assessments (MT/LT)</li></ul>

<b>ACTION 2: STRENGTHENING NATIONAL LEGISLATION, ENFORCEMENT (MONITORING, CONTROL AND SURVEILLANCE) AND INTERNATIONAL COOPERATION</b>		
<b>Issues</b>	<b>Challenges</b>	<b>Activities to address identified needs</b>
<b>1.</b> Limited knowledge and expertise for the identification of sharks products in international trade	<ul style="list-style-type: none"> <li>Large variety of processed and semi-processed products in trade (e.g. meat, fins, cartilage, oil, skin, gill rakers, belt, wallet, etc.)</li> <li>Merchandise often contains a mix of parts from different shark species especially dried fins</li> <li>Derivatives are often unrecognizable, especially those for medicinal and cosmetic/ health care use.</li> <li>Lack of mechanisms to verify the origin of products in trade (e.g. curios taken abroad by tourists)</li> <li>Lack of species-specific tariff codes for CITES listed species</li> </ul>	<ul style="list-style-type: none"> <li>Produce user friendly (simple/low-cost/fast) and reliable identification tools for CITES-listed shark species and their products to enable timely procedures by customs and enforcement officers (ST)</li> <li>Encourage traders to not mix shark species in their merchandise, or to list all included shark species on the label of the merchandise, if appropriate. (ST/MT)</li> <li>Establish traceability systems ( e.g. labeling, CDS, certificates) for processed products at the origin/exporting/processing countries as well as registration/license systems for traders etc. (MT/LT)</li> <li>Implement regional/global species-specific tariff codes and support the FAO proposal to WCO for new shark species-specific tariff codes . (MT/LT)</li> </ul>
<b>2.</b> Insufficient enforcement capacity at ports of entry/exit	<ul style="list-style-type: none"> <li>High volume of export, re-export and import</li> <li>Lack of adequate and trained enforcement staff</li> </ul>	<ul style="list-style-type: none"> <li>Increase number of enforcement staff (ST/MT)</li> <li>Use risk analysis to select high-risk shipments for inspection (MT)</li> <li>Require a certificate of origin for shark product shipments (MT/LT)</li> </ul>
<b>3.</b> Insufficient international collaboration among enforcement officers in export, import and re-export countries	<ul style="list-style-type: none"> <li>International exchange of information and data is not harmonized (forms, content, units, etc.)</li> <li>Language barriers</li> </ul>	<ul style="list-style-type: none"> <li>Promote the use of existing regional wildlife enforcement network in relation to CITES-listed marine species (ST)</li> <li>Establish regional plateform or network for information exchange (MT)</li> </ul>
<b>4.</b> Lack of coordinated inter-agency networking	<ul style="list-style-type: none"> <li>Fishery agencies often have a low awareness of the importance of CITES</li> <li>No direct linkage between fisheries and CITES enforcement agencies</li> </ul>	<ul style="list-style-type: none"> <li>Set up a regular consultation mechanism among relevant agencies (ST/MT)</li> <li>Ensure that the fisheries authority plays its full role in CITES implementation (MT)</li> </ul>
<b>5.</b> Strengthen legislation	<ul style="list-style-type: none"> <li>Legislation procedures are time-consuming in some countries</li> </ul>	<ul style="list-style-type: none"> <li>Update legislation in a timely manner after the adoption of new CITES listings and resolutions (MT)</li> <li>Encourage countries to be more proactive and to use foresight by adopting shark management measures ahead of a legislation revision (MT)</li> <li>Encourage countries to develop NPOA-Sharks which also address CITES-listed species (MT/LT)</li> </ul>



<b>ACTION 3: STRENGTHENING CONSERVATION AND MANAGEMENT MEASURES</b>		
<b>Issues</b>	<b>Challenges</b>	<b>Activities to address identified needs</b>
<b>1. Lack of programmes for awareness raising</b>	<ul style="list-style-type: none"><li>• Lack of consultation with stakeholders</li><li>• Remoteness of fishing (target) communities</li><li>• Insufficient knowledge on shark and ray fishers</li><li>• Insufficient knowledge by fishers of existing shark management measures</li></ul>	<ul style="list-style-type: none"><li>• Consult with various categories of stakeholders (fishers, traders, managers, policy makers, etc) (ST)</li><li>• Develop and implement comprehensive awareness programs (ST/MT)</li><li>• Strengthen regional co-operation amongst stakeholders (MT)</li><li>• Improve media advertisements to raise awareness of shark fishery issues (MT)</li></ul>
<b>2. Addressing demand and supply of CITES listed species</b>	<ul style="list-style-type: none"><li>• Declining economic returns in some countries</li><li>• Lack of suitable alternatives to shark products for domestic consumers</li></ul>	<ul style="list-style-type: none"><li>• Develop consumer awareness raising campaigns (ST)</li><li>• Develop alternative livelihood options for fishers such as ecotourism. (MT/LT)</li></ul>
<b>3. Technical difficulties in applying fisheries management measures to the CITES listed species</b>	<ul style="list-style-type: none"><li>• Difficulties in live release of non-target species</li><li>• Difficulties in controlling and reducing overfishing and fishing capacity</li><li>• Difficulties in reducing the bycatch of sharks and rays</li><li>• Lack of enforcement of management measures</li><li>• Lack of implementation of management plans</li></ul>	<ul style="list-style-type: none"><li>• Develop guidelines and techniques for the safe release of live specimens incidentally caught (ST)</li><li>• Develop appropriate species-specific gears and/or bycatch -reduction-devices (BRDs) to reduce bycatch of sharks and rays listed in CITES appendices (MT)</li><li>• Develop and implement shark management plans (MT)</li></ul>
<b>4. Lack of effective regional shark management measures</b>	<ul style="list-style-type: none"><li>• Lack of appropriate legislation</li></ul>	<ul style="list-style-type: none"><li>• Develop effective regional management measures for CITES listed elasmobranchs (ST/MT)</li><li>• Develop regional management plans for elasmobranchs (MT)</li></ul>

<b>ACTION 4: ENHANCING TRAINING AND CAPACITY BUILDING/HUMAN RESOURCE DEVELOPMENT</b>		
<b>Issues</b>	<b>Challenges</b>	<b>Activities to address identified needs</b>
1. Lack of capacity in the species identification of shark and ray products	<ul style="list-style-type: none"> <li>• Many products and derivatives from different species cannot be readily differentiated (look-alike species or some highly processed products)</li> <li>• Lack of officers with taxonomic competence for the identification of fresh and processed sharks</li> </ul>	<ul style="list-style-type: none"> <li>• Provide user friendly guides for non-experts (ST/MT)</li> <li>• Train customs officials and all other actors in the supply chain in the use of shark identification tools (MT)</li> </ul>

<b>ACTION 5 : SECURING FUNDING</b>		
<b>Issues</b>	<b>Challenge</b>	<b>Activities to address identified needs</b>
1. Insufficient prolonged and targeted funding for the implementation of CITES requirements	<ul style="list-style-type: none"> <li>• Funding for shark research and CITES implementation is very limited</li> <li>• Securing adequate financial and human resources to support the implementation of CITES listings</li> </ul>	<ul style="list-style-type: none"> <li>• Invite recipient countries to prioritize CITES implementation in their request for capacity building assistance to donors (ST)</li> <li>• Share information on funding sources (ST)</li> <li>• Invite the CITES Secretariat and FAO to identify funding availability from international and other donors (ST)</li> <li>• Advise relevant national and regional agencies of the high value of sharks and rays products (ST/MT)</li> <li>• Enhance the capacity of recipient countries on fund raising for capacity building assistance (MT).</li> <li>• Encourage developed countries to fulfill their commitment regarding the Official Development Assistance (MT)</li> <li>• Encourage countries to incorporate the conservation and management of sharks and rays into their socioeconomic development plans (MT)</li> </ul>



**PILOT SITES FOR DATA COLLECTION ON SELECTED SHARKS AND RAYS SPECIES  
LISTED UNDER CITES APPENDICES**



*Appendix 3 of Annex 11*

**SUMMARY OF THE PROJECT PROPOSAL:  
SHARKS AND MANTA RAYS LANDING STOCK DATA COLLECTION TOWARDS  
SHARKS NDF**

According to the Convention, Parties shall allow trade in specimens of species included in Appendix II only if the Scientific Authority of the State of export has advised that ‘such export will not detrimental to the survival of that species’. Refer to as “non-detriment findings” (NDFs), they are a guarantee that export of products from listed species covered by the NDF has not harmed wild population or ecosystem. An export permit cannot be issued until the Management Authority has proved that the specimens were legally acquired, and a NDF has been prepared by the Scientific Authority.

Scientific Authority needs to include data and information on location of harvest, landing and trade data by species, biology (sex, adult, semi-adult, juvenile), fishing mortality, discarded mortality, estimate of stock size, forecasts of future stock size and other related information by species in worksheets prepared by CITES secretariat. Since information of those requirements was considered as critical in this region, regional data collection should become a high priority.

SEAFDEC, through its Japanese Trust Fund, has initiated a one-year data collection project to support ASEAN countries on their stock assessment of shark and rays species listed during the CoP16 and probably for the species to be listed in next CoP17.

The project activity of SEAFDEC was launched with the Regional Workshop on Data Collection Methodology for the Assessment of Shark Stock Status held in Bangkok in October 2013. The workshop aimed to establish a harmonized standards methodology on shark stock assessment among ASEAN countries. Representative from CITES Secretariat was also participated in this workshop. The 2013 regional workshop revealed that the countries do not have any national statistics to make adequate stock assessment in the medium- to long-term period. It was therefore agreed that the activities would take place initially starting from building national capacity to identify species, and establishing national shark landing data collection systems for sharks and rays to species level.

In April 2014, SEAFDEC organized a Regional Technical Working Group Meeting on Data Collection for Sharks in Southeast Asia in Phuket. The meeting established a work plan for the ASEAN countries (except Brunei Darussalam, Lao PDR and Singapore), including the data collection format, Standard Operation Procedures to harmonize data, and to establish national focal points for piloting the shark landing data collection. In May 2014, SEAFDEC organised regional “training of trainers” for the purpose of training national enumerators.

It was noted during the meeting in Phuket that Malaysia, the Philippines, and Thailand will proceed with piloting the work plan using their own national budget with technical support from SEAFDEC, which roughly consist of:

- National workshop for training the local enumerators and developing a schedule for shark landing data collection; and
- Data collection by local enumerators at selected landing sites for one year.

SEAFDEC is requesting the financial support from the EU-CITES project for the ASEAN countries, including Cambodia, Indonesia, Malaysia, Myanmar, Philippines, Thailand and Vietnam, to undertake the same activities as the three self-funded countries so that the shark landing data collection can be made for all of the ASEAN countries, and to compile and share the sub-regional summary outcome.



**Annex 12**

**REGIONAL FISHING VESSELS RECORD FOR VESSELS 24 METERS  
IN LENGTH AND OVER**

**I. INTRODUCTION**

Refer to approved by the SEAFDEC Council during its 45<sup>th</sup> Meeting in April 2013 in the Philippines for establishment of the Regional Fishing Vessels Record (RFVR) for vessels 24 meters in length and over as a tool to combat IUU fishing in the Southeast Asian Region which implement by the SEAFDEC Training Department (TD) under the project of promotion of countermeasure to reduce IUU fishing. Later, the concept proposal was supported by the Special Senior Officials Meeting of the Thirty-Fourth Meeting of the ASEAN Ministers on Agriculture and Forestry (Special SOM-34<sup>th</sup> AMAF). Moreover, the 46<sup>th</sup> Meeting of the SEAFDEC Council in April 2014 in Singapore also endorsed the proposed RFVR activity plan. To continue and follow up this implement activity, TD organized “Technical Workshop on Regional Fishing Vessel Record (RFVR) Database Development and Management in Southeast Asia” from 20-21 August 2014 with came out of policy recommendation and way forward for RFVR database implementation.

**II. POLICY RECOMMENDATION FOR RFVR DATABASE IMPLEMENTATION**

To summarize, the policy recommendations for the RFVR database for vessels 24 meters in length and over, are as follows:

*Firstly*, the ASEAN Member States (AMSSs) represented at the Workshop, namely: Brunei Darussalam, Indonesia, Myanmar, Malaysia, Philippines, Thailand, and Vietnam agreed in principle to include additional information, *i.e.* vessel registration number, vessel owner’s name and IMO number (if available) in the RFVR database system. Therefore, the RFVR database would now contain 26 items corresponding to the basic information requirements. However, Thailand would consider sharing of vessel owner’s name only after consultation with national authorities concerned in view of its national law on personal data sharing. Meanwhile, the Workshop also agreed to include more detailed information under the ‘shipyard’ category such as names and addresses of ship builders, if available. Thus, the basic information requirements for RFVR for 24 meters in length and over had also been updated as shown in **Table 1**

*Table 1: Updated basic information requirements for RFVR database for vessels 24 meters in length and over*

Information on fishing vessels	Information on fishing vessels
1. Name of vessel	14. Engine Brand
2. Vessel Registration Number*	15. Serial number of engine
3. Owner Name*	16. Hull material
4. Type of fishing method/gear	17. Date of registration
5. Port of registry	18. Area (country) of fishing operation
6. Gross tonnage (GRT/GT)	19. Nationality of vessel (flag)
7. Length (L)	20. Previous name (if any)
8. Breadth (B)	21. Previous flag (if any)
9. Depth (D)	22. Name of captain/master
10. Engine Power	23. Nationality of captain/master
11. Shipyard/Ship Builder	24. Number of crew (maximum/minimum)
12. Date of launching	25. Nationality of crew
13. International Radio Call Sign	26. IMO Number (If available)*

\*Addition Items

*Secondly*, the RFVR database for vessels 24 meters in length and over would be shared with all AMSSs including Cambodia, Lao PDR, and Singapore while sharing such information with the public,



particularly the RPOA-IUU Secretariat should be addressed only upon consideration and approval by the ASEAN and SEAFDEC high level authorities *i.e.*, SEAFDEC Council of Directors, FCG/ASSP, ASWGFI, SOM, SOM-AMAF.

*Thirdly*, for the RFVR database system to be effective in combating IUU fishing, active fishing vessel list should be provided by countries to SEAFDEC at least once a year for updating the database and updating period should be standardized. However, the proposed bi-annual updating in the month of June and December every year was endorsed by the Workshop, although Indonesia would confirm the said updating period only after conducting a national discussion.

*Fourthly*, five (5) important categories could be included under the search function *i.e.*, vessel flag, vessel type, vessel registration number, vessel name, and international radio call sign. The user account and password would be provided to all AMSs separately via the SEAFDEC Council Directors channel by November 2014.

*Fifthly*, to enhance the usage of the RFVR database system, IUU vessels such as poaching and double flagging vessels could be shared with SEAFDEC and other AMSs for information and recording purposes. However, this proposal needs thorough discussion by higher level authorities of SEAFDEC and the ASEAN.

Last but not least, for the purpose of ensuring security of information, user account and password are required to be able to access the RFVR database system.

### **III. WAYS FORWARD FOR RFVR DATABASE IMPLEMENTATION**

- Ways forward for RFVR database for vessels 24 meters in length and over

Moreover, the Workshop agreed on the ways forward for the RFVR database for vessels 24 meters in length and over. Concerned AMSs should submit the vessel information based on the current number of vessels as reported earlier to TD in excel format by 30 September 2014. SEAFDEC will upload such information to the RFVR database system by end of October 2014.

Each AMS should nominate its focal point to be in-charge of providing information from respective countries for the RFVR database. In this regard, SEAFDEC would send official communications to concerned AMSs requesting for the focal point nomination and vessel information for the RFVR database through their respective Council Directors, together with roles and responsibilities of the focal point for reference. As for Cambodia, Lao PDR and Singapore, SEAFDEC will also send official communications updating them on the outputs of the Workshop and requesting also for the national focal point nominations.

For improvement and monitoring of the RFVR database system, the Workshop decided that another regional meeting would be organized in 2015 to follow up and monitor on the implementation of the RFVR database system.

- Ways forward for RFVR database for vessels less than 24 meters in length

The Workshop also discussed on the development of RFVR Database for vessels less than 24 meters in length. Nevertheless, in view of the insufficiency of information on fishing vessels less than 24 meters, the Workshop agreed that this matter would be thoroughly discussed again in another regional meeting would be organized in 2015 to follow up and monitor on the implementation of the RFVR database system for vessels 24 meters and over as well as to consider the development of RFVR for vessels less than 24 meters in length, with the objective of using such RFVR as a tool in combating IUU fishing activities.

The summary of the ways forward is shown in **Table 2**.

Table 2: Summary of ways forward on the RFVR for vessels 24 meters in length and over

<b>Activity</b>	<b>Timeframe</b>	<b>Remarks</b>
- Submission of all RFVR vessel information based on current number of fishing vessels to TD in Excel format by concerned AMSs	End of 30 Sept. 2014	Official letter from SEAFDEC to Council Directors for 7 AMSs as early as possible
- Uploading of all vessel information to the RFVR system	By end of October 2014	by SEAFDEC/TD
- Nomination of National Focal Point/ contact person for concerned AMSs	Now to end of October 2014	SEAFDEC to send official letter together with request for updating data
- Online trials for the RFVR database system	From November - December 2014	Account Name and Password to be provided to all AMSs via Council Directors and NFU
- Reporting of progress on establishment of RFVR to the 17 <sup>th</sup> FCG/ASSP	4-5 December 2014	by SEAFDEC/TD
- Improvement of the RFVR based on the comments from AMSs after online trials	From January- February 2015	The RFVR Database system completed
- Launching of the RFVR database system for vessels 24 m in length and over at the 47 <sup>th</sup> CM	April 2015	by SEAFDEC/TD
- Reporting of progress on establishment of the RFVR to 23 <sup>rd</sup> ASWGFi	June-July 2015	by SEAFDEC/TD
- 1 <sup>st</sup> updating of the RFVR	April-October 2015	See table 2
- Regional meeting for monitoring the RFVR database system of vessels 24 m in length and over, and discussion on proposed RFVR for vessels less than 24 m in length	June-August 2015	

#### IV. REQUIRED CONSIDERATION BY THE 17<sup>th</sup> FCG/ASSP

The Meeting is requested to:

- Consider and support to the policy recommendations for the RFVR database for vessels 24 meters in length and over; and
- Provide guidance on ways forward for the RFVR database implementation for vessels 24 meters in length and over.



## **ASEAN CATCH DOCUMENTATION SCHEME**

### **EXECUTIVE SUMMARY**

Market driven measures on trading of fish and fishery products, specifically, the EC Regulation 1005/2008 has impacted not only to the countries that send their products to the EU but also to some countries that do not export their fish directly to the EU which need catch certificates. In addition, for the purpose of conservation and management of tunas by the Regional Fisheries Management Organization (RFMOs), the RFMO's Catch Documentation Schemes is introduced to their Member Countries for implementation. Taking into account the impact from both market driven measures mentioned above, all relevant AMS that traded their fish and fishery products needed to implement the measures. AMS considers the importance of measures that could provide guidance to improve the traceability system for capture fisheries and combating IUU fishing. By the reasons, AMS realized that catch documentation scheme could be used as one of management tools to improve and strengthen better management of fisheries in the ASEAN region as well as could support intra-regional and international trade of fish and fishery products beyond trading with the EU and under the framework of RFMOs areas.

In according to the abovementioned circumstances, issues pertaining to the EC-Regulation 1005/2008 and how to increase the traceability of capture fisheries has been immensely discussed at the 13th Meeting of the Fisheries Consultative Group of the ASEAN-SEAFDEC Strategic Partnership (FCG/ASSP) in December 2010 in Thailand. SEAFDEC Secretariat was suggested to take a proactive role in facilitating the sharing of experiences and information among the Member Countries (*e.g.* difficulties faced by the industry, areas of negotiations with EC, possible solutions/options), in order to enhance the capacity of Member Countries in complying with the requirements of the EC Regulation. Moreover, the AMS expressed their support on improve the traceability for capture fisheries to ensure the sustainability of fisheries for food security toward 2020 within the ASEAN Region. In addition, AMS also support the development of common regional catch documentation scheme/system herein after called "ASEAN Catch Documentation System/Scheme taking into consideration the format, standard and information requirements of importing countries, but simplified in order to enhance its applicability by small-scale fisheries in the region.

In response to the request from AMS, SEAFDEC MFRDMD in collaboration with Secretariat conducted the small group of expert to develop the first draft ASEAN Catch Documentation System/Scheme in October 14th -16th, this year. Furthermore, SEAFDEC will conduct the RTC from December 16th -18th, 2014 to finalize the 1st draft of the ASEAN CDSs.

### **REQUIRED CONSIDERATION BY THE 17<sup>TH</sup> FCG/ASSP**

The 17<sup>th</sup> FCG/ASSP Meeting is requested to take note the progress on developing the ASEAN Catch Documentation System/Scheme.



Southeast Asian Fisheries Development Center

[ASEAN CDS]

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# ASEAN CATCH DOCUMENTATION SCHEME

MFRDMD IN COLLABORATION WITH SECRETARIAT

ASEAN Lead Country: Singapore

SOUTHEAST ASIAN FISHERIES DEVELOPMENT CENTER



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## ABBREVIATIONS AND ACRONYMS:

AMS	ASEAN Member States
ASEAN	Association of Southeast Asian Nations
CCRF	Code of Conduct for Responsible Fisheries
CDS	Catch Documentation Scheme
CTI-CFF	Coral Triangle Initiative on Coral Reefs, Fisheries and Food Security
EC	European Commission
EEZ	Exclusive Economic Zone
EU	European Union
FAO	Food and Agriculture Organization of the United Nations
FCG/ASSP	Fisheries Consultative Group of the ASEAN-SEAFDEC Strategic Partnership
ICCAT	International Commission for the Conservation of Atlantic Tunas
IGO	Inter-governmental Organization
IOTC	Indian Ocean Tuna Commission
IPOA-IUU	International Plan of Action to Prevent, Deter and Eliminate IUU Fishing
JTF	Japanese Trust Fund
MCS	Monitoring, Control and Surveillance
MFRDMD	Marine Fishery Resources Development and Management Department
MRAG	Marine Resources Assessment Group
NGO	Non-governmental Organization
NPOA-IUU	National Plan of Action to Prevent, Deter and Eliminate IUU Fishing
PSM	Port State Measures
RCCRF	Regional Code of Conduct for Responsible Fisheries for Southeast Asia
RFMO	Regional Fisheries Management Organization
RFVR	Regional Fishing Vessels Record
RPOA	Regional Plan of Action
RPOA-IUU	Regional Plan of Action to Promote Responsible Fishing Practices including Combating Illegal, Unreported and Unregulated Fishing in Southeast Asia
SEAFDEC	Southeast Asian Fisheries Development Center
TD	Training Department
VMS	Vessel Monitoring System
WCPFC	Western and Central Pacific Fisheries Commission
WWF	World Wide Fund

## PREFACE

ASEAN is a major producer of fish and other fisheries products, jointly accounting for a quarter of global fish production. Of the world's top ten largest fish producers, four are from ASEAN - Indonesia, Thailand, Viet Nam, and the Philippines. Indonesia, the 4th longest coastline country, is the largest producer in Southeast Asia. In 2010, its total fisheries production reached 10.83 million tonnes, up 10.29% compared to previous year's 9.82 million tonnes of catch. In the same year, Viet Nam and the Philippines both produced 5.2 million tonnes of fish and other fisheries products each. Recently, Myanmar has joined the ranks of major global producers, owing to its accelerated growth. In 2010, the Food and Agriculture Organization of the United Nations (FAO) data shows aquaculture production in Myanmar reached 850,959 tonnes, eight times larger than the 98,912-ton production volume in 2000.

The global demand for the region's fish production is rising as more countries depend on ASEAN's catch. Australia sources nearly half of its fish demand from ASEAN countries. Studies showed Australia's domestic fish requirement will reach 776,000 tonnes by 2020. Of this volume, 610,000 tonnes will be imported. One of ASEAN's major trading partners, Japan, has been the leading importer of seafood in the world. In 2011, Japan's seafood import reached 2.69 million tonnes, amounting to 1.45 trillion yen. Japan imports shrimp primarily from Viet Nam, Indonesia, and Thailand. Indonesia is also one of the country's major sources for tuna, third to Taiwan and Korea. Growth was driven by increased demand from Europe and the United States. Viet Nam's seafood is also in demand as exports grew from US\$ 5 billion in 2010 to US\$ 6.2 billion in 2012. The United States is fast rising as a major importer of Viet Nam seafood. It is the primary importer of tuna and the second largest importer of shrimp from Viet Nam. Thailand and Viet Nam are two of the world's major exporters of fish and fishery products.

Market driven measures on trading of fish and fishery products, specifically, the EC Regulation 1005/2008 has impacted not only to the countries that send their products to the EU but also to some countries that do not export their fish directly to the EU which need catch certificates. In addition, for the purpose of conservation and management of tunas by the Regional Fisheries Management Organization (RFMOs), the RFMO's Catch Documentation Schemes is introduced to their member countries for implementation. Taking into account the impact from both market driven measures mentioned above, all relevant AMS that traded their fish and fishery products needed to implement the measures. AMS considers the importance of measures that could provide guidance to improve the traceability system for capture fisheries and combating IUU fishing. By the reasons, AMS realized that catch documentation scheme could be used as one of management tools to improve and strengthen better management of fisheries in the ASEAN region as well as could support intra-regional and international trade of fish and fishery products beyond trading with the EU and under the framework of RFMOs areas.



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In accordance to the abovementioned circumstances, issues pertaining to the EC Regulation 1005/2008 and how to increase the traceability of capture fisheries has been immensely discussed at the 13<sup>th</sup> Meeting of the Fisheries Consultative Group of the ASEAN-SEAFDEC Strategic Partnership (FCG/ASSP) in December 2010 in Thailand. SEAFDEC Secretariat was suggested to take a proactive role in facilitating the sharing of experiences and information among the Member Countries (e.g. difficulties faced by the industry, areas of negotiations with EC, possible solutions/options), in order to enhance the capacity of Member Countries in complying with the requirements of the EC Regulation. Moreover, the ASEAN Member States expressed their support on improve the traceability for capture fisheries to ensure the sustainability of fisheries for food security toward 2020 within the ASEAN Region. In this connection, AMS support the development of common regional catch documentation scheme/system taking into consideration the format, standard and information requirements of importing countries, but simplified in order to enhance its applicability by small-scale fisheries in the region.

The ASEAN Catch Documentation comprises four parts. The Introduction as Part I includes the objectives, nature and scope, and definition of terminologies for better understanding of the basic elements and focus of the ACDS; Part II on the provisions of the main ASEAN Catch Documentation Scheme consists of 1) Catch flow/movement under the ACDS, 2) Catch documents in which focuses on a) Exportation of fish and fishery products from AMS flag State fishing vessels operating within their EEZ and other coastal States, and b) Re-exportation of imported Fish and Fishery Products from AMS. The provisions also includes verification of the catch flow process, record keeping and information sharing, proposed Secretariat for the ACDS, Simplified catch document (for small-scale fisheries), and monitoring and evaluations. All Annexes are appended in the document to expound on matters that need lengthy discussion, and any important reference, these are put together in the last Part III of the ACDS.

The ASEAN Catch Documentation Scheme is one of the fisheries management tools not only for enhancing intra-regional and international trades and the ACDS is an essential part of the ASEAN Guidelines for Preventing the Entry of Fish and Fishery Products from IUU Fishing Activities into the Supply Chain adopted by AMS.

## PART I: INTRODUCTION

### 1.1. Objectives

The objectives of the ASEAN Catch Documentation Scheme are:

- To provide a unified framework to enhance traceability of fish and fishery products for effective fisheries management in AMS;
- To enhance the credibility of fish and fishery products for the promotion of intra-regional and international trades; and
- To be used as a tool to prevent entry of fish and fishery products from IUU fishing activities into the supply chain.

### 1.2. Nature and Scope

1. The ASEAN Catch Documentation Scheme (ACDS) is established to improve traceability for capture fisheries in AMS to enhance intra-regional and international trade of all ASEAN Member States.
2. The ACDS applies to the catch of marine fish and fishery products with the exception of aquaculture obtained from fry or larvae, ornamental fish, mussels, snails and other products of minor importance (**Annex I**).
3. The ACDS applies to trade of marine fish and fishery products, processed or not, originating from AMS fishing vessel and exported.
4. For transshipment, landings of domestic products, exports, imports, and re-exports, under jurisdiction of AMS, all catches shall be accompanied by the document described in Article 2.2. There is no waiver of this requirement.
5. The ACDS will cover catch from small-scale fishing vessels (which meet the criteria) that can contribute to trade among the AMS, accordingly a simplified catch document will be applied.
6. The ACDS does not cover export/import of fish parts other than the meat (i.e. head, eyes, roe, gut, fin, skin, tail).
7. The ACDS is not applicable to fish and fishery products originating from outside ASEAN region and by non AMS fishing vessels.

### 1.3. Definitions

- **Catch Declaration, Log Books:** are the table form of various information related to the types of gear, capacity of fishing gear, number of fishing operations, amount of catches by species or groups and ect. The log books needed to be declared by Master of fishing boat or authorized persons/ or representatives.
- **Competent authority:** A competent authority is any person or organization that has the legally delegated or invested authority, capacity, or power to perform a designated function.
- **Conservation And Management Measures:** mean measures to conserve and manage one or more species of living marine resources and that are adopted and in force in accordance with the relevant rules of international and/or national law;



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- **Consignment:** means products which are either sent simultaneously from one exporter to one consignee or covered by a single transport document covering their shipment from the exporter to the consignee.
- **Exportation:** means any movement to other AMS and/or other states of fishery products harvested by fishing vessels flying the flag of AMS, including from the territory of the AMS, and from other state fishing grounds;
- **Fishery Products:** mean any products exception of the products listed in Annex I of this provisions;
- **Fishing Authorization:** means entitlement to engage in fishing activities during a specified period, in a given area or for a given fishery;
- **Fishing master:** means a person who is or appears to be controlling, directing or determining all fishing operations and activities of a fishing vessel.
- **Fishing Vessel:** means any vessel of any size used or intended for use for the purposes of commercial exploitation of fishery resources, including support ships, fish processing vessels, vessels engaged in transshipment and carrier vessels equipped for the transportation of fishery products, except container vessels
- **High Seas:** means all the part of the sea as defined in Article 86 of the United Nations Convention of the Law of the Sea (UNCLOS);
- **IUU Fishing:** refers to EC Regulation 1005/2008. <refer to ASEAN IUU guidelines>
- **Importation:** means the introduction of fish and fishery products into the territory of the AMS, including for transhipment purposes at ports in its territory;
- **Re-Exportation:** means any movement from the territory of the AMS of fishery products which had been previously imported into the territory of the AMS;
- **Regional Fisheries Management Organization (RFMO):** means a sub-regional, regional or a similar organization with competence, as recognized under international law, to establish conservation and management measures for living marine resources placed under its responsibility by virtue of the convention or agreement by which it was established;
- **Representatives:** A person named in a will as a personal representative who having a legal duty, created by fishing master.
- **Risk:** means the likelihood of an event that may occur, with regard to fish and fishery products imported into or exported from the AMS, which prevents the correct application of the ACDS or of the conservation and management measures;
- **Risk Management:** means the systematic identification of risk and the implementation of all measures necessary for limiting exposure to risk. This includes activities such as collecting data and information, analyzing and assessing risk, prescribing and taking action, and regular monitoring and review of the process and its outcomes, based on international, regional or national sources or strategies;
- **Small-scale Fishing Vessels:** means fishing vessels:
  - a. with an overall length of less than 12 meters without towed gear; or
  - b. with an overall length of less than 8 meters with towed gear; or
  - c. without a superstructure; or
  - d. of less than measured 20 GT.
- **Simplified catch document:** means a type of catch document or log books that are applied for small scale fishing boat needed to be filled by skipper and submitted to port authority when landing. Refers to Annex IIIB
- **Skipper:** the master or captain of a vessel, especially of a small fishing vessel.
- **Transshipment:** means the unloading of all fish and/or fishery products on board a fishing

vessel to another fishing vessel;

- **Transshipment and landing Declaration:** is the form of information that may either be included as part of the log book, as set out in Annex 1 or prepared separately.
- **Unique serial number (for MD1&2):** is the reference number for tracing the catch/product flow in the supply chain. The Unique serial number may consists of ASEAN Member States code, year, month, date and running reference for sample: TH20141014001.
- **Verification:** the process of establishing the truth, accuracy, or validity of data and information during its catch flow movement.

## PART II: PROVISIONS

### 2.1 Catch Flow/Movement under the ACDS

- 1) Catch movement under the ACDS covers the exportation of fish and fishery products from AMS flag State fishing vessels operated within their EEZ and other States, re-export of the imported fish and fishery products from AMS. (**Annex II\_Catch-flow of ACDS**)

### 2.2. Catch Documents

- 2) Fish and fishery products, processed or not, originating from AMS flag State fishing vessels and exported shall be accompanied by a catch document/certificate in conformity with the ASEAN Catch Documentation Scheme (ACDS).
- 3) The catch document/certificate referred to in paragraph 1 shall be validated by the flag State of the fishing vessel or fishing vessel which made the catches from which the fish and fishery products have been obtained. It shall be used to certify that such catches have been made in accordance with applicable national laws, regulations and international conservation and management measures.
- 4) The catch document/certificate shall contain all the information specified in the specimen shown in the ACDS, and shall be validated by competent authorities of the flag State with the necessary powers to attest the accuracy of the information. In agreement with flag States, within the framework of the cooperation set out the catch document/certificate may be established, validated or submitted by electronic means or be replaced by electronic traceability systems ensuring the same level of control by authorities.
  - a) Exportation of fish and fishery products from AMS flag State fishing vessels operating within their EEZ and other coastal States
    - i. Catch declaration/logbook/log sheet:
- 5) The catch and information in the catch declaration (CD1) or logbook/log sheet (**Annex IIIA**) shall be declared by fishing master/skipper and reported to the competent authority at fishing port.
- 6) The competent authority shall verify logbook/catch declaration/log sheet submitted by fishing master/skipper.
- 7) The competent authority shall submit a copy of catch declaration/logbook/log sheet to the relevant statistic unit. Such data and information shall be utilized by fisheries management

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unit.

## ii. Movement document (MD1)

- 8) The fishing master/skipper/owner of fishing vessel and/or representative shall provide inputs in **MD1 (Annex IV)**.
- 9) The competent authority shall verify information in the movement document.
- 10) Any ownership change on such fish and fishery products, verification by both parties is needed.
- 11) The competent authority shall conduct a random check to verify information in the movement document along the process of fish and fishery products.
- 12) Balance stock sheet shall be developed and kept in the factory for cross-checking by the competent authority.

## iii. Export document

- 13) The competent authority shall issue export document **MD2 (Annex V)** for exporting of fish and fishery products.
- 14) The competent authority shall keep a copy of **MD2**.

## b) Re-exportation of imported Fish and Fishery Products from AMS

- 15) The re-exportation of products imported under ACDS in accordance with this Chapter shall be authorized through the issuing of **Annex V** by the competent authorities of the exporting AMS from which the re-exportation is to take place.

## 2.3 Verification

- 16) Verification on relevant ACDS documents shall be focused towards risk identified on the basis of risk management criteria developed at national level
- 17) AMS shall have in place the necessary verification levels for the compliance of ACDS based on risk management criteria developed at national level
- 18) For the purpose of a verification, the competent authorities of an importing AMS may request the assistance of exporting AMS, in which case:
  - a) the request for assistance shall state the reasons why the competent authorities of the importing AMS in question have well-founded doubts as to the validity of the ACDS documents, of the statements contained therein and/or the compliance of the products with conservation and management measures. A copy of the ACDS documents and any information suggesting that the information on the ACDS documents is inaccurate shall be forwarded in support of the request for assistance;
  - b) the procedure for verification shall be completed within 15 days of the date of the verification request. In the event that the competent authorities of the exporting AMS cannot meet the deadline, the verifying authorities in the importing AMS may grant an extension of the deadline to reply, which shall not exceed a further 15 days.
- 19) Verifications may, in particular, consist in examining the products, verifying declaration data and the existence and authenticity of documents, examining the accounts of operators and

other records, inspecting means of transport.

#### **2.4 Record keeping and information sharing**

- 20) AMS shall keep all relevant of the ACDS documents submitted for importation, the ACDS documents validated for exportation and the validated re-export sections of ACDS for a period of at least two years or longer, in accordance with national rules.
- 21) Electronic system should be developed for data and information recording.
- 22) AMS shall develop manual/handbook for local staff/officer in implementation of ACDS.

#### **2.5 Secretariat for the ACDS (for further discussion)**

- 23) Provide fulltime overall administration and coordination for the implementation of the ACDS.
- 24) Collate all information and document as well as conduct verification checks, reconciliation and provide formal reports to the ASEAN Secretariat.

#### **2.6 Simplified catch document (for small-scale fisheries)**

- 25) In order to ensure that smaller vessels can trade to the other AMS or other states, the ACDS has introduced a simplified catch declaration/logbook/log sheet (**Annex IIIB**). Vessels which meet the criteria of a small vessel and exclude the master of such vessels to be identified. Instead, an exporter trading fish stemming from several small vessels only need to list the vessels which he has bought fish from but does not have to specify the quantities of fish used by vessel making up the consignment.
- 26) A simplified catch certificate may be used if the vessel:
  - has an overall length of less than 12 metres without towed gear, or
  - has an overall length of 8 metres with towed gear, or
  - has no superstructure; or
  - has less than 20GT.
- 27) In all cases, catches must only be landed in the flag state and make up one consignment.
- 28) Rather than complete a catch certificate for each vessel, exporting AMS will be able to list all the vessels which caught the fish for a consignment, and include the quantities by provided by each vessel.

#### **2.7 Monitoring and Evaluation**

- 29) The ACDS shall be reviewed and updated by AMS if necessary.
- 30) Each AMS shall nominate a national focal point to coordinate, monitor and evaluate the implementation and management of ACDS.

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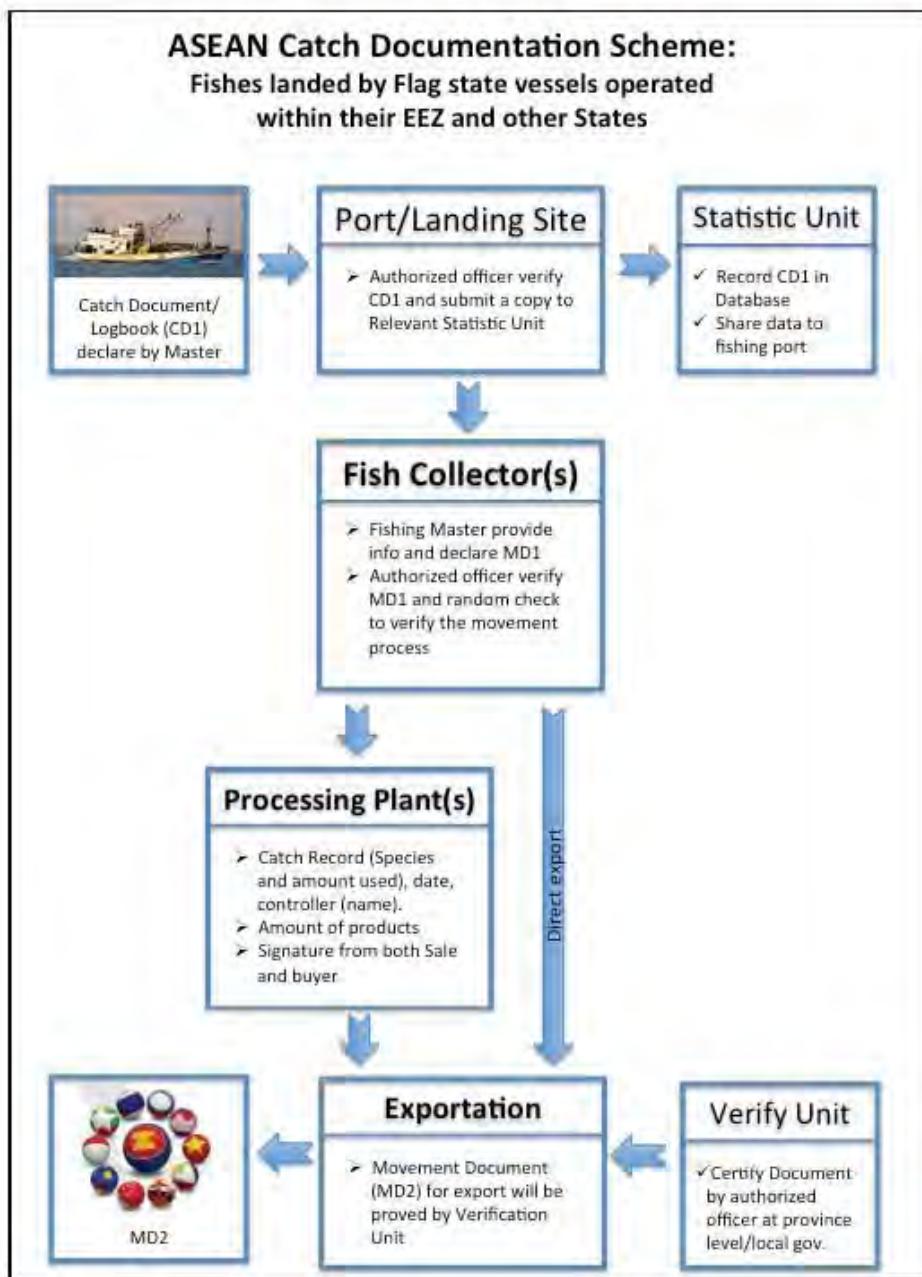
## ANNEX I

List of Products excluded from the definition of "fishery products" set out in Article 1.2 (2):

- Freshwater fishery products
- Aquaculture products obtained from fry or larvae
- Ornamental fish
- Oysters, live
- Scallops including queen scallops, of the genus *Pecten*, *Chlamys* or *Placopecten*, live, fresh or chilled
- Coquilles St Jacques (*Pecten maximus*), frozen
- Other scallops, fresh or chilled
- Mussels
- Snails, others than those obtained from the sea
- Prepared and preserved molluscs

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## ANNEX II



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## ANNEX III

### ANNEX IIIA: CATCH DECLARATION/LOG BOOK (CD1)

Details information contains in the catch declaration/logbook/log sheet shall include;

Part 1: Unique Serial number	
Part 2: General Information	
✓ Name of fishing master	ID Card Number, Address, Phone no.
✓ Name of fishing vessel	Size in GT, Registration No.
✓ Fishing License No.	Validate until..
✓ Fishing Ground/ Areas	
✓ Date of landing/unloading	Landing place/name
✓ Total landing in kg/tons	
✓ Certify by fishing master	
✓ Certify Catch Data by Authorized officer at fishing port/landing site	Name of Authorized office/ date
Part 3: Declaration of Transshipment at sea (if applicable)	
Name of Master of Fishing Vessel	Name Master of Carrier
✓ Signature/Date	✓ Signature
✓ Transshipment date/ area	✓ Vessel name
✓ Estimated weight	✓ Call sign

### ANNEX IIIB: SIMPLIFIED CATCH DECLARATION/LOG BOOK (CD2) for Small-scale Fisheries

Part 1: Reference number/Code	
Part 2: General Information	
✓ Name of skipper	✓ ID Card Number, Address, Phone no.
✓ Name of fishing vessel	✓ Registration No.
✓ Fishing License No.	✓ Validate until..
✓ Fishing Ground/ Areas	
✓ Date of landing/unloading	✓ Landing place/name
✓ Total landing in kg/tons	
✓ Certify by skipper	
✓ Certify Catch Data by Authorized officer at fishing port/landing site	✓ Name of Authorized office/ date

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## ANNEX IV

### MARINE CATCH MOVEMENT DOCUMENTS (MD1)

<b>Part 1: Unique serial number</b>	
<b>Part 2: General Information</b>	
<input checked="" type="checkbox"/> Name of fishing master	<input checked="" type="checkbox"/> ID Card Number, Address, Phone no.
<input checked="" type="checkbox"/> Name of fishing vessel	<input checked="" type="checkbox"/> Size in GT, Registration No.
<input checked="" type="checkbox"/> Fishing License No.	<input checked="" type="checkbox"/> Validate until..
<input checked="" type="checkbox"/> Fishing Ground/ Areas	<input checked="" type="checkbox"/> Landing place/name
<input checked="" type="checkbox"/> Date of landing/unloading	<input checked="" type="checkbox"/> Total landing in kg/tons
<input checked="" type="checkbox"/> Certify by fishing master	<input checked="" type="checkbox"/> Certify by fishing master
<input checked="" type="checkbox"/> Certify Catch Data by Authorized officer at fishing port/landing site	<input checked="" type="checkbox"/> Name of Authorized office/ date
<b>Part 3: Declaration of Transshipment at sea (if applicable)</b>	
Name of Master of Fishing Vessel	Name Master of Carrier
<input checked="" type="checkbox"/> Signature/Date	<input checked="" type="checkbox"/> Signature
<input checked="" type="checkbox"/> Transshipment date/ area	<input checked="" type="checkbox"/> Vessel name
<input checked="" type="checkbox"/> Estimated weight	<input checked="" type="checkbox"/> Call sign
<b>Part 4: Purchasing document(s)</b>	
<input checked="" type="checkbox"/> Name of buyer	<input checked="" type="checkbox"/> Registration no. and date
<input checked="" type="checkbox"/> Address	<input checked="" type="checkbox"/> Phone No.
<input checked="" type="checkbox"/> Catch by Species/group	<input checked="" type="checkbox"/> Total weight by species/group
<input checked="" type="checkbox"/> Sale by.....	<input checked="" type="checkbox"/> Sale by.....
<input checked="" type="checkbox"/> Buyer signature	<input checked="" type="checkbox"/> Buyer signature
<b>Part 5: Processing Plants/Factory</b>	
<input checked="" type="checkbox"/> Name of Factory/plant	<input checked="" type="checkbox"/> Registration no.
<input checked="" type="checkbox"/> Catch by Species/group	<input checked="" type="checkbox"/> Total weight used by species/group
<input checked="" type="checkbox"/> Date of processing	<input checked="" type="checkbox"/> Remaining fish by species/group
<input checked="" type="checkbox"/> Name of controller in factory	<input checked="" type="checkbox"/> Name of controller in factory

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## ANNEX V.

Export Document (endorsed by Its Competent Authority)

Catch certificate number	Vessel name(s) and flag(s)	Validation date(s)	Catch description	Total landed weight (kg)	Catch processed (kg)	Processed fishery product (kg)

Name and address of the processing plant:

.....

Name and address of the exporter (if different from the processing plant):

.....

Approval number of the processing plant:

.....

Health certificate number and date:

.....

Responsible person of the processing plant:	Signature:	Date:	Place:
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Endorsement by the competent authority:

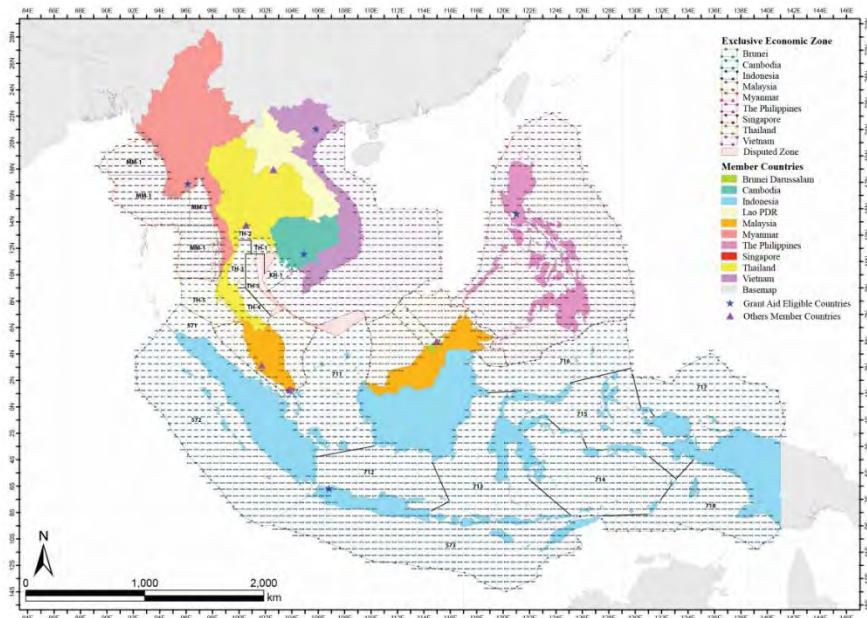
.....

Official:	Signature and seal:	Date:	Place:
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Vessel name and flag Flight number/airway bill number Truck nationality and registration number Railway bill number Other transport document	Container number(s) list attached	Name	Address	Signature
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Appendix 1. Map of fishing area identified by ASEAN Member States



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**Annex 14**

**ASEAN GUIDELINES FOR PREVENTING THE ENTRY OF FISH AND FISHERY PRODUCTS FROM IUU FISHING ACTIVITIES INTO THE SUPPLY CHAIN**

**EXECUTIVE SUMMARY**

The ASEAN Guidelines for Preventing the Entry of Fish and Fishery Products from IUU Fishing Activities into the Supply Chain had been developed through a series of meetings, participatory and consultative process involving fishery experts from the ASEAN-SEAFDEC Member Countries organized by the Marine Fishery Resources Development and Management Department (MFRDMD) in collaboration with the SEAFDEC Secretariat. The Guidelines is finalized and adopted by experts from all ASEAN Member States at the Regional Technical Consultation on Regional Guidelines for Preventing the Entry of Fish and Fishery Products from IUU activities into the Supply Chain” held on 23<sup>rd</sup> -25<sup>th</sup> September 2014 at Horizon Hotel, Kota Kinabalu, Malaysia.

The Guidelines outlines the possible future actions in the ASEAN region in combating IUU fishing, in accordance with the ASEAN-SEAFDEC Resolution and Plan of Action on Sustainable Fisheries for Food Security for the ASEAN Region towards 2020 adopted in 2011. The Guidelines comprises four main parts. The Introduction as Part 1 includes the objective of ensuring that fish and fishery products in the supply chain do not come from IUU fishing activities. The introduction part also includes the objectives, nature and scope, guiding principle, and definition of terminologies for better understanding of the basic elements and focus of the Guidelines; Part 2 deals with the forms of IUU fishing activities found in the Southeast Asian region; Part 3 encompasses initiatives to combat IUU fishing at national, bilateral, multi-lateral and regional levels, taking into account the efforts of AMS in intensifying their efforts in combating IUU fishing in the region, in some ways, with the assistance of SEAFDEC through its collaborative mechanism with donors and funding agencies. This part also includes other initiatives of AMS through bilateral arrangements, sub-regional and regional cooperation in addressing IUU fishing activities in their common or shared or trans-boundary waters. Finally, Part 4 which is the most important part of the Guidelines provide guidance on preventing the entry of fish and fishery products from IUU fishing activities into the supply chain based on the root cause of IUU fishing activities that occur in the region.

**REQUIRED CONSIDERATION BY THE 17<sup>TH</sup> FCG/ASSP**

The 17<sup>th</sup> FCG/ASSP Meeting is requested to take note and endorse the final draft of the ASEAN Guidelines for Preventing the Entry of Fish and Fishery Products from IUU Fishing Activities into the Supply Chain. The 17<sup>th</sup> FCG/ASSP meeting is also requested to provide policy support and comments for improvement of the Guidelines before further endorsement by the 23<sup>rd</sup> ASWGFi in 2015.



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## ABBREVIATIONS AND ACRONYMS

AEC	ASEAN Economic Community
AFCF	ASEAN Fisheries Consultative Forum
AMAF	ASEAN Ministers of Agriculture and Forestry
AMS	ASEAN Member States
ASEAN	Association of Southeast Asian Nations
ASEAN-WEN	ASEAN Wildlife Enforcement Network
ASWGFi	ASEAN Sectoral Working Group on Fisheries
CCRF	Code of Conduct for Responsible Fisheries
CDS	Catch Documentation Scheme
CITES	Convention on International Trade of Endangered Species of Wild Fauna and Flora
CTI-CFF	Coral Triangle Initiative on Coral Reefs, Fisheries and Food Security
EC	European Commission
EEZ	Exclusive Economic Zone
EU	European Union
FAO	Food and Agriculture Organization of the United Nations
FCG/ASSP	Fisheries Consultative Group of the ASEAN-SEAFDEC Strategic Partnership
ICCAT	International Commission for the Conservation of Atlantic Tunas
IGO	Inter-governmental Organization
IOTC	Indian Ocean Tuna Commission
IPOA-IUU	International Plan of Action to Prevent, Deter and Eliminate IUU Fishing
IWRM	Integrated Water Resources Management
JTF	Japanese Trust Fund
LGU	Local Government Unit
LRFF	Live Reef Food Fish
LRFFT	Live Reef Food Fish Trade
MCS	Monitoring, Control and Surveillance
MFRDMD	Marine Fishery Resources Development and Management Department
MRC	Mekong River Commission
MRC-EP	MRC Environment Programme
MRC-FP	MRC Fisheries Programme
NGO	Non-governmental Organization
NPOA-IUU	National Plan of Action to Prevent, Deter and Eliminate IUU Fishing
PSM	Port State Measures
RAC	Regional Advisory Committee on Fisheries Management in Southeast Asia (2009-2012)
RCCRF	Regional Code of Conduct for Responsible Fisheries for Southeast Asia
RFMO	Regional Fisheries Management Organization
RFVR	Regional Fishing Vessels Record
RPOA	Regional Plan of Action
RPOA-IUU	Regional Plan of Action to Promote Responsible Fishing Practices including Combating Illegal, Unreported and Unregulated Fishing in Southeast Asia
RSAP	Regional Strategic Action Program
SEAFDEC	Southeast Asian Fisheries Development Center
SOM-AMAF	Senior Officials Meeting of the AMAF
SSME	Sulu-Sulawesi Marine Ecoregion
TD	Training Department
VMS	Vessel Monitoring System
WCPFC	Western and Central Pacific Fisheries Commission
WWF	World Wide Fund for Nature



## PREFACE

The growing domestic and international demand for fish and fishery products has resulted in the excessive exploitation of aquatic resources anywhere in the world including in the Southeast Asian region. The increasing demand for fish has driven fishers to catch more fish by all means even to the extent of practicing Illegal, Unreported and Unregulated (IUU) fishing. IUU fishing not only contributes to overexploitation of fish stocks but is also a hindrance to the recovery of fish populations and ecosystems. It damages the marine environment, distorts competition and puts those fishers who operate legally at a disadvantage, adversely affecting the economic and social well-being of fishing communities, especially in the third world countries where coastal communities rely heavily on fish resources. On the global scale, IUU fishing is a big problem and very difficult to quantify, as it can occur in virtually any fishery, from shallow coastal or inland waters to the offshore areas. It is a particular issue in developing countries including the Southeast Asian countries where fisheries management strategies need to be strengthened, and where resources are limited to enforce regulations such as landing controls and vessel inspections, and deploy adequate number of patrol vessels.

During the past decade, many attempts had been initiated to improve fisheries management with the fundamental objective of reducing illegal and destructive fishing. The seriousness of this concern has been increasingly expressed through discussions and recommendations in various meetings and consultations such as those of the SEAFDEC Council, the ASEAN Fisheries Consultative Forum (AFCF), the SEAFDEC Regional Advisory Committee (RAC) on Fisheries Management in Southeast Asia, the Regional Plan of Action to Promote Responsible Fishing Practices including Combating IUU Fishing in Southeast Asia (RPOA-IUU), as well as during the Meetings of the ASEAN Heads of States especially at the launching of the roadmap for the ASEAN Economic Community. Within SEAFDEC, the ASEAN-SEAFDEC collaborative projects under the Fishery Consultative Working Group of the ASEAN-SEAFDEC Strategic Partnership (FCG/ASSP) mechanism have been organizing consultations and discussions at the regional and sub-regional levels to find the ways and means of promoting effective fisheries management as well as managing fishing capacity in order to combat IUU fishing in the Southeast Asian region.

IUU practices could create major threats to the sustainable exploitation of living aquatic resources as well as to regional and international efforts to protect biodiversity and the world's fisheries. It is estimated that the annual production from IUU fishing activities could be from 11 to 26 million metric tons (MT) accounting for about 10 to 22% of the world's total fisheries production, and valued at about US\$ 9.0 to 24.0 billion per year<sup>1</sup>. However, estimates of the extent of IUU fishing operations vary widely and considering its very nature, production from IUU fishing in the region is difficult to quantify. Nonetheless, some studies estimated that the value of IUU fishing in the Asia-Pacific region (including South Asian countries) could be around US\$5.8 billion annually<sup>2</sup>. Some facts on IUU fishing are shown below:

*"In Raja Ampat (RA), Indonesia, only about 26% of the catch from reef fish fishery in 2006 is reported and 20% is caught illegally. RA's revenues from IUU catch in 2003-2006 amounted to US\$ 160 million (in 2003 US\$ equivalent) or an average of US\$ 40 million a year. The estimated revenue generated by illegal fishing of reef fish is almost equal to the revenue from all reef fish catch in RA (reported and unreported combined). Hook and line is one of the most important fisheries for reef fishes in this area targeting high price fishes such as groupers and Napoleon wrasse. Most of the fisheries are small-scale and do not contribute to government revenue in the form of taxes<sup>3</sup>".*

<sup>1</sup> MRAG. 2009. Illegal, Unreported and Unregulated Fishing, Policy brief 8. Available in website: [http://www.mrag.co.uk/Documents/PolicyBrief8\\_IUU.pdf](http://www.mrag.co.uk/Documents/PolicyBrief8_IUU.pdf), Accessed 25 September 2012

<sup>2</sup> Lungren, R. et al. 2006. *Status and Potential of Fisheries and Aquaculture in Asia and the Pacific 2006*. RAP Publication 2006/22. FAO Regional Office for Asia and the Pacific, Bangkok

<sup>3</sup> Varkey, D. et al. 2010. Illegal, unreported and unregulated fisheries catch in Raja Ampat Regency, Eastern Indonesia. Marine Policy 34: 228-236

*“In the Philippines, it is estimated that the average annual revenue loss due to local and foreign illegal fishing could amount to US\$ 1.6 million and 80,000 MT of fish and other marine resources are lost annually to foreign IUU fishing<sup>4</sup>”.*

It is very clear that the main driver for IUU fishing is economic benefit considering that a vessel that is fishing illegally is able to minimize operating costs in terms of licensing, regulation, use of vessel monitoring systems and documentation. Moreover, IUU fishers could ignore quota levels, enter closed fishing areas, and catch undersized fish or target rare or even endangered species, while attracting premium price from unscrupulous buyers. In order to combat IUU fishing, SEAFDEC had been requested by the ASEAN Member States (AMS) to come-up with guidelines to prevent the entry of fish and fishery products from IUU fishing activities into the supply chain of the inter- and intra-regional as well as international fishery trade system.

Therefore, the ASEAN Guidelines for Preventing the Entry of Fish and Fishery Products from IUU Fishing Activities into the Supply Chain had been developed through a participatory and consultative process involving fishery experts from the ASEAN-SEAFDEC Member Countries. A series of meetings with all ASEAN-SEAFDEC Members for the development of this Guidelines (**Appendix 1**) had been organized by the Marine Fishery Resources Development and Management Department (MFRDMD) in collaboration with the SEAFDEC Secretariat to review and finalize the draft Guidelines before endorsement through the process of FCG/ASSP, ASWGFi, SOM-AMAF and AMAF under the ASEAN protocol.

The Guidelines outlines the possible future actions in the ASEAN region in combating IUU fishing, in accordance with the ASEAN-SEAFDEC Resolution and Plan of Action on Sustainable Fisheries for Food Security for the ASEAN Region towards 2020 adopted in 2011. The Guidelines comprises four main parts. The Introduction as Part 1 includes the objective of ensuring that fish and fishery products in the supply chain do not come from IUU fishing activities. The introduction part also includes the objectives, nature and scope, guiding principle, and definition of terminologies for better understanding of the basic elements and focus of the Guidelines; Part 2 deals with the forms of IUU fishing activities found in the Southeast Asian region; Part 3 encompasses initiatives to combat IUU fishing at national, bilateral, multi-lateral and regional levels, taking into account the efforts of AMS in intensifying their efforts in combating IUU fishing in the region, in some ways, with the assistance of SEAFDEC through its collaborative mechanism with donors and funding agencies. This part also includes other initiatives of AMS through bilateral arrangements, sub-regional and regional cooperation in addressing IUU fishing activities in their common or shared or transboundary waters. Finally, Part 4 which is the most important part of the Guidelines provides guidance on preventing the entry of fish and fishery products from IUU fishing activities into the supply chain based on the root cause of IUU fishing activities that occur in the region. This Guidelines should be reviewed regularly by AMS every three years. Annexes are also appended in the Guidelines to expound on matters that need lengthy discussion.

Thus, it is expected that the Guidelines could serve as basis for the AMS in formulating relevant policies and provide an enabling environment for a clear direction and understanding of the need to prevent the entry of IUU fish and fishery products into the supply chain. In this connection, AMS are encouraged to develop and/or strengthen strategies and measures based on this Guidelines during the period from 2015 until 2017, for implementation as soon as possible.

## PART 1: INTRODUCTION

### 1. Goals and Objectives

1.1 The Guidelines is intended to provide tools for the ASEAN Member States to ensure that fish and fishery products from the region entering the global supply chain do not come from IUU fishing

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<sup>4</sup> Palma, M.A and M. Tsamenyi. 2008. Case Study on the Impacts of Illegal, Unreported and Unregulated (IUU) Fishing in the Sulawesi Sea. APEC, Singapore.



activities. Thus, the goal of this Guidelines is to enhance the credibility of the region's fish and fishery products.

1.2 The specific objectives of the Guidelines are:

- 1.2.1 To introduce strategies and recommend appropriate measures for the AMS to prevent the entry of IUU fish and fishery products into the supply chain;
- 1.2.2 To provide guidance for the AMS to develop, strengthen and implement effective fisheries management for responsible and sustainable fisheries ; and
- 1.2.3 To promote regional collaboration among the AMS in strengthening monitoring, control and surveillance systems of fish and fishery products entering in the supply chain.

1.3 The goal and objectives could be achieved through the promotion of good fisheries governance with the active participation of all stakeholders in decision-making processes and assuming the responsibilities for sustainable use of fishery resources, and an appropriate catch documentation scheme in place.

## 2. Nature and Scope

2.1 The Guidelines is applicable to all marine and inland catch of small-scale/artisanal and large-scale/commercial fisheries, and is intended to be regional and international in scope but with specific focus on the needs of the AMS.

2.2 Voluntary and non-legally binding in nature, the Guidelines provides guidance for the AMS to strengthen their national efforts in preventing the entry of IUU fish and fishery products into the supply chain.

2.3 The Guidelines is directed to the AMS, sub-regional, regional and international organizations, as well as inter-governmental organizations (IGOs). The Guidelines would also be useful for research and academic institutions, private sector, non-governmental organizations (NGOs), and other stakeholders.

2.4 The Guidelines takes into consideration many forms of illegal, unreported and unregulated (IUU) fishing that occur in the Southeast Asian region, such as illegal fishing activities within a country; unauthorized transshipment and landing of fish/catch across borders; poaching in the EEZs of other countries; illegal fishing and trading practices of live reef food fish, reef-based ornamentals, and endangered aquatic species; and IUU fishing in the high seas and RFMO areas.

## 3. Guiding Principle

3.1 In view of the need to prevent the occurrence of IUU fishing as it hinders the sustainability of fisheries development in the region, this Guidelines is developed based on the principles found in international and regional instruments, such as the FAO Code of Conduct for Responsible Fisheries (CCRF), the International Plan of Action to Prevent, Deter and Eliminate IUU Fishing (IPOA-IUU), the Regional Code of Conduct for Responsible Fisheries for Southeast Asia (RCCRF), the ASEAN-SEAFDEC Resolution and Plan of Action on Sustainable Fisheries for Food Security for the ASEAN Region (2001, 2011), the Regional Plan of Action to Promote Responsible Fishing Practices including Combating Illegal, Unreported and Unregulated Fishing in Southeast Asia (RPOA-IUU), and the FAO Port State Measures Agreement. Trade measures introduced by the European Union (EU) such as the European Commission Regulation 1005/2008 (EC-Regulation) is also referred to in the development of the Guidelines.

## 4. Definition of Terminologies

4.1 **Catch Certificate (CC)** refers to a certificate that should be made available with the landed fish and submitted to authorities in any ports in the region, of which such certificate should accompany the landed fish through subsequent trade channels leading to the ASEAN and/or international markets.

4.2 **Catch Documentation Scheme (CDS)** covers selected aquatic species from the point of first capture by a flag State through regional/international trade routes (*i.e.* imports, exports and re-exports) to the State of final destination. In the CDS, it is necessary for fishing and trading nations to ensure that fish entering the market are harvested in accordance with conservation and management measures. In order to guarantee compliance, the following sets of documents are required:

- Copies of all validated catch documents issued to fishing vessels, and
  - Copies of all export or re-export documents issued or received.
- 4.3 **Catch Documentation System** refers to the specific system or technical approach to support the CDS implementing process, such as the electronic Bluefin Catch Documentation System (eBCD) developed by ICCAT.
- 4.4 **Double Flagging or Double Registration** refers to fishing vessels that hold more than one flag state of vessel registration.
- 4.5 **Endangered Aquatic Species** refer to those aquatic species considered to be at risk of extinction according to the respective national laws and regulations.
- 4.6 **Fish** means all species of living aquatic resources, whether processed or not (refers to FAO Definition).
- 4.7 **Fishery Products** refer to all living aquatic resources and their derivatives that had been processed.
- 4.8 **Fishing Vessels** refer to all fishing, carrier and factory vessels involved in fishing activities, except container vessels.
- 4.9 **Foreign Fishing Vessels** refer to any fishing vessel other than national fishing vessels.
- 4.10 **Fishing License** refers an authorization given by a country's local/central government to individuals or companies to enable them to conduct fishing in designated areas.
- 4.11 **Flag State** refers to the state under whose laws the vessel is registered and licensed. The flag state has the authority and responsibility to enforce regulations over vessels registered under its flag, including those relating to inspection and certification.
- 4.12 **IUU Fishing** (based on IPOA-IUU):
- a. **Illegal Fishing** refers to fishing activities conducted: (i) by national or foreign vessels in waters under the jurisdiction of a State, without the permission of that State, or in contravention of its laws and regulations; (ii) by vessels flying the flag of States that are parties to a relevant regional fisheries management organization but operate in contravention of the conservation and management measures adopted by that organization and by which the States are bound, or relevant provisions of applicable international laws; or (iii) in violation of national laws or international obligations, including those of the cooperating States or relevant regional fisheries management organization.
  - b. **Unreported Fishing** refers to fishing activities (i) which have not been reported or have been misreported, to the relevant national authority, in contravention of national laws and regulations; or (ii) undertaken in the area of competence of a relevant regional fisheries management organization which have not been reported or have been misreported, in contravention of the reporting procedures of that organization.
  - c. **Unregulated Fishing:** Refers to fishing activities (i) in the area of application of a relevant regional fisheries management organization that are conducted by vessels without nationality or by those flying the flag of a State not party to that organization or by a fishing entity, in a manner that is not consistent with or contravenes the conservation and management measures of that organization; or (ii) in areas or for fish stocks in relation to which there are no applicable conservation or management measures and where such fishing activities are conducted in a manner inconsistent with State responsibilities for the conservation of living marine resources under international laws.
- 4.13 **Monitoring, Control and Surveillance** (Based on FAO definition) refers to:
- a. **Monitoring** is the collection, measurement and analysis of fishing capacity including, but not limited to catch, species composition, fishing effort, by-catch, discards, areas of operation;
  - b. **Control** involves the specification of the terms and conditions under which resources can be harvested; and
  - c. **Surveillance** involves the regulation and supervision of fishing activity to ensure that national legislations as well as terms and conditions of access and management measures are observed.
- 4.14 **Port State** is the country which provides landing sites for vessels to land their fish/catch.



4.15 **Port State Measures** (PSM) refer to the requirements established or interventions undertaken by port states for which a foreign fishing vessel must comply with or is subjected to the conditions for the use of ports within the port state (based on FAO definition).

4.16 **Small-scale/Artisanal and Commercial/Large-scale Fisheries** are characterized in accordance with the countries' respective descriptions due to the different legal definitions adopted by each country (Refer to RCCRF on Fishing Operations).

4.17 **Transshipment** refers the act of transferring the catch from one fishing vessel to either another fishing vessel or to a vessel used solely for the carriage of cargo. (based on FAO definition).

## PART 2: FORMS OF IUU FISHING ACTIVITIES OCCURRING IN THE REGION

### 5. Common Issues

5.1 It is recognized that IUU fishing brings about negative impacts on the economic, social and ecological attributes of fisheries that affect food security. Specifically, IUU fishing has contributed to the reduction in food supply, lost livelihoods and state revenues, diminishing fish stocks, and damaging ecosystems, with the most devastating effects concentrated in developing countries due to their greater vulnerability. These illegal activities form a complex web – from illegal fishing activities to illegal trade, and finally to persistent catching from unsustainably fished stocks with the underlying objective of getting high profit from illegally caught fish.

5.2 Moreover, the driving forces that lead to the rampant occurrence of IUU fishing in the waters of Southeast Asia could include: inadequate regulatory control over national fishers and fishing vessels, insufficient effective management tools to manage fishing capacity, weak enforcement of fishing legislations, evading the payments of fishing fees and taxes, absence of or inadequate maritime boundary agreements, and incompatible legal frameworks for combating IUU fishing.

5.3 Furthermore, the need to strengthen regional and sub-regional efforts to combat IUU fishing has been considered as one of the priority actions of the AMS in parallel with the establishment of the ASEAN Economic Community (AEC) on 31<sup>st</sup> December 2015.

### 6. Various Forms of IUU Fishing Activities

6.1 Many ASEAN Member States have encountered and experienced IUU fishing in various forms. The Guidelines specifically addresses five (5) major forms of IUU fishing activities occurring in the Southeast Asian region that include the following:

6.1.1 Illegal fishing activities within a country:

This includes several root causes of illegal fishing activities such as fishing without valid license or registration document, vessel with specifications different from those indicated in the fishing license, double flagging, fishing in waters outside the permitted or designated fishing areas, operating prohibited fishing gears and methods, landing of fish in unauthorized ports, transferring of catch at sea, and unreporting or misreporting of catch.

6.1.2 Unauthorized transshipment and landing of fish/catch across borders:

This includes fishing vessels operating in a country but transshipping or landing their fish/catch across borders without authorization.

6.2.3 Poaching in the EEZs of other countries:

This type of IUU fishing practices includes foreign fishing vessels illegally fishing in another country's waters.

6.2.4 Illegal fishing and trading practices of live reef food fish, reef-based ornamental and endangered aquatic species:

This includes illegal fishing activities such as the use of chemicals and other unregulated practices to collect and trade live reef food fish, as well as reef-based ornamental and endangered aquatic species for consumption and the aquarium industry.

6.2.5 IUU fishing in the high seas and RFMO areas:

In the high seas and RFMO areas, IUU fishing include a range of illicit activities, such as fishing without permission or during out-of-season; using outlawed types of fishing gears; disregarding catch quotas; unreporting and misreporting catch volumes

and species. The ASEAN Member States should ensure that fish imported or landed from high seas and RFMO areas do not come from IUU fishing activities.

### **PART 3: NATIONAL, BILATERAL/MULTI-LATERAL, REGIONAL AND RFMOs INITIATIVES TO COMBAT IUU FISHING**

#### **7. National Initiatives**

7.1 In order to strengthen national efforts in combating IUU fishing, the AMS are encouraged to develop their respective National Plan of Action to Prevent, Deter and Eliminate IUU Fishing (NPOA-IUU). Recently several AMS, namely: Brunei Darussalam, Indonesia, Malaysia, Philippines, and Vietnam have adopted their respective NPOA-IUU Fishing while the remaining AMS are in the developing process. Examples of activities to combat IUU fishing based on some national practices are as follows:

- Improved registration and licensing of fishing vessels to ensure that only licensed vessels are allowed to access the country's fishery resources.
- Intensification of activities and development of the country's capacity for fisheries surveillance including monitoring at sea, from air, and/or in ports.
- Establishment of *ad hoc* fisheries courts, *e.g.* Indonesia, in areas where there are more cases of fisheries violations and/or national coordination fora involving relevant government institutions to enhance the effectiveness of enforcement of respective fisheries laws.
- Implementation of a Vessels Monitoring System (VMS) to enhance fisheries management through monitoring and surveillance, and to provide accurate data and information on the activities of fishing vessels.
- Development of community-based fisheries surveillance system as means of enhancing MCS, where community groups undertake observations at sea and on land, and to report to proper authorities in their community fishers' groups about vessels suspected to be conducting illegal fishing activities.
- Strengthening capacity building activities for fishers to enhance their awareness on fisheries regulations.

#### **8. Bilateral/Multi-lateral Enforcement Activities**

8.1 Establishment of the bilateral or multi-lateral arrangements among the AMS in combating IUU fishing in their common or shared or transboundary waters had been recently carried out through sub-regional programs supported by some donors including SEAFDEC. Some examples of the initiatives of AMS are as follows:

- Collaborative measures through a Memorandum of Agreement between Cambodia and Vietnam to combat IUU fishing in their shared waters.
- Trilateral arrangements with Malaysia, Singapore and Indonesia (MALSINDO) to conduct collaborative patrol activities and the joint "Eye in the Sky" air patrol to monitor anti-piracy activities and IUU fishing activities in the Strait of Malacca.
- Trilateral arrangement of Indonesia, Malaysia and Philippines to combat IUU fishing in Sulu-Sulawesi Sea including the countries' participation in the World Wide Fund for Nature (WWF) program under the Sulu-Sulawesi Marine Ecoregion initiatives and RPOA-IUU as well as in the joint patrol exercises.

#### **9. Regional and RFMOs Initiatives**

##### **9.1 ASEAN Wildlife Enforcement Network (ASEAN-WEN)**

- The ASEAN Wildlife Enforcement Network (ASEAN-WEN) is the world's largest wildlife law enforcement network that involves police, customs and environment agencies of all ASEAN countries, namely: Brunei Darussalam, Cambodia, Indonesia, Lao PDR, Malaysia, Myanmar, Philippines, Singapore, Thailand, and Vietnam. ASEAN-WEN is a regional intergovernmental law-enforcement network designed to combat the illegal wildlife trade; a proactive response to Southeast Asia's alarming levels of wildlife



trafficking and loss; and a mechanism by which countries can share information and learn from each other's best practices. Through annual meetings, workshops and trainings, ASEAN-WEN facilitates increased capacity and better coordination and collaboration of law enforcement agencies among the Southeast Asian countries, regionally and globally. Links with the Convention of International Trade in Endangered Species of Wild Fauna and Flora (CITES) offices, Interpol, U.S. Fish and Wildlife Service, U.S. Department of Justice and other wildlife law enforcement groups has broadened the Network's reach. Along with an increase in ASEAN-WEN's visibility, the region has also experienced a recent increase in wildlife law enforcement actions in Southeast Asia ([www.asean-wen.org](http://www.asean-wen.org)).

9.2 Coral Triangle Initiative on Coral Reefs, Fisheries, and Food Security (CTI-CFF)

- A multilateral partnership of six countries, namely: Indonesia, Malaysia, Papua New Guinea, Philippines, Solomon Islands and Timor-Leste, the CTI-CFF is aimed at sustaining the extraordinary marine and coastal resources by addressing crucial issues such as food security, climate change and marine biodiversity. In order to support the initiatives of the CTI-CFF, the relevant AMS are encouraged to implement policies that would address regional problems, including measures to mitigate the impacts of climate change and combat IUU fishing in the region. These two aspects are the corner stone of the CTI-CFF in promoting a regional approach towards ocean governance ([www.coraltriangleinitiative.org](http://www.coraltriangleinitiative.org)).

9.3 Mekong River Commission (MRC)

- The 1995 Mekong Agreement signed on 5 April 1995 by Lower Mekong Basin countries, namely: Cambodia, Lao PDR, Thailand, and Vietnam, outlines the legal mandate of the Mekong River Commission (MRC). The MRC-Fisheries Programme (MRC-FP) conducts research on inland capture fisheries, trains fisheries managers, promotes aquaculture of indigenous Mekong fish species, and disseminates information to policy makers and planners in the four Lower Mekong countries. MRC-FP is implemented through the national fisheries agency in each country to ensure good alignment of the MRC-FP with national priorities and uptake of its results at national level. The goal of MRC-FP is to achieve coordinated and sustainable development, utilization, management and conservation of the fisheries of the Mekong Basin and to aid the MRC Member Countries in implementing sustainable fisheries management and development at local, national and regional levels. ([www.mrcmekong.org](http://www.mrcmekong.org)).

9.4 Regional Plan of Action to Promote Responsible Fishing Practices including Combating Illegal, Unreported and Unregulated Fishing in Southeast Asia (RPOA-IUU)

- Represented in the RPOA-IUU are eight (8) of the 10 AMS, *i.e.* Brunei Darussalam, Cambodia, Indonesia, Malaysia, Philippines, Singapore, Thailand, and Vietnam, with the overall objectives of enhancing and strengthening the overall level of fisheries management in the region in order to sustain the fisheries resources and marine environment, and optimizing the benefits of adopting responsible fishing practices. The actions under the RPOA-IUU include conservation of fisheries resources and their environment, managing fishing capacity, and combating IUU fishing in the areas of the South China Sea, Sulu-Sulawesi Sea (Celebes Sea) and the Arafura-Timor Sea ([www.rpoaiuu.org](http://www.rpoaiuu.org)).

9.5 Sulu-Sulawesi Marine Ecoregion (SSME)

- The Sulu-Sulawesi Marine Ecoregion (SSME), as the apex of the Coral Triangle, is considered the center of marine biodiversity where the highest number of colorful reef and marine fishes, various sizes of corals and shells, myriad shapes of algae, and protective mangrove forests are found. In order to address threats to SSME's diversity and productivity, an ecoregion conservation plan was forged collaboratively by Indonesia, Malaysia, and the Philippines in 2004. The SSME Ecoregion Conservation Plan has spurred the development of three comprehensive action plans for 2010–2012. These plans are implemented by the subcommittees on Migratory and Threatened Species, Marine

- Protected Areas and Networks, and Sustainable Fisheries, and guided by the SSME's Tri-National Committee<sup>5</sup>.
- The Regional Strategies Action Program (RSAP) of the Sulu-Celebes Sea Sustainable Fisheries Management Project 2013 which was endorsed by Indonesia, Malaysia and Philippines, identified one of the work plans on Monitoring, Control, and Surveillance (MCS) targeted by 2020 with the main objective of strengthening law enforcement through cooperation and exchange of information among marine law enforcers (trans-border). Such activities include applying the RPOA strategy on IUU fishing in the SSME, improve bi- or multilateral coordination to combat IUU fishing in the SSME, and adopt the relevant MCS activities in the SSME-CAP on sustainable fisheries<sup>6</sup>.
- 9.6      Regional Fisheries Management Organizations (RFMOs)
- RFMOs are international organizations formed by countries with fishing interests in an area. Some of them manage all the fish stocks found in a specific area, while others focus on particular highly-migratory species, notably tuna, throughout vast geographical areas such as the Commission for the Conservation of Southern Bluefin Tuna (CCSBT), Indian Ocean Tuna Commission (IOTC), and Western and Central Pacific Fisheries Commission (WCPFC). These RFMOs have a purely advisory role, most have management powers to set catch and fishing effort limits, technical measures, and control obligations. Some AMS such as Indonesia, Malaysia, the Philippines, Singapore, Thailand, and Vietnam are concerned on trading of tunas from these RFMO areas. In addition, those relevant AMS actively implement the resolutions adopted by the RFMOs to support sustainability of fisheries resources and combat IUU fishing in their management areas.

#### **PART 4: PREVENTING THE ENTRY OF FISH AND FISHERY PRODUCTS FROM IUU FISHING ACTIVITIES INTO THE SUPPLY CHAIN**

##### **10. Managing Fishing Activities within a Country**

- 10.1 States should consider controlling fishing access through proper registration and licensing system for fishing vessels and gears including their accurate specifications *e.g.* photographs of vessels, standard vessel markings *i.e.* color coding of hull, marking system (engraving and use of copper plate) which could be shared with the AMS. The vessel identification and licensing system of Malaysia (**Appendix 2**) could be used as reference by other AMS.
- 10.2 States should promote responsible fishing practices and methods based on the Regional Guidelines for Responsible Fisheries in Southeast Asia: Responsible Fishing Operations, and the RPOA-IUU. ([www.rpoaiuu.org](http://www.rpoaiuu.org))
- 10.3 States are encouraged to:
- 10.3.1 Update related laws and regulations as well as system of reporting catch and compiling appropriate logbook information.
  - 10.3.2 Monitor all fishing vessels by maintaining records and their performance with respect to compliance to their national laws and regulations, including current owners and operators authorized to undertake fishing activities at designated fishing areas.
  - 10.3.3 Implement, where appropriate, a Vessel Monitoring System (VMS) for all commercial fishing vessels licensed by the respective States.
  - 10.3.4 Intensify efforts to address IUU fishing, especially destructive fishing (*e.g.* blast and cyanide fishing) by promoting community-based management approach to prevent, deter and eliminate any violations with support from relevant government agencies and communities.
- 10.4 States should intensify their respective surveillance during fishing operations where appropriate, as well as at designated landing ports (after landing and at market places by checking market reports).

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<sup>5</sup> Comprehensive action plans of the Sulu-Sulawesi Ecoregion: A priority seascape of the Coral Triangle Initiative. Mandaluyong City, Philippines: Asian Development Bank, 2011. 154 pp.

<sup>6</sup> Sulu Sulawesi Marine Ecoregion Tri-National Committee 2013. Strategic Action Program for the Sulu-Celebes Sea Large Marine Ecosystem. Prepared for the Sulu-Celebes Sea Sustainable Fisheries Management Project under GEF/UNDP/UNOPS. 19 pp.



## **11. Regulating Transshipment and Landing of Fish/Catch across Borders**

11.1 States should establish formal arrangements with respect to landings between bordering countries.

11.2 States should consider conducting regular bilateral/multi-lateral meetings to discuss mutual agreements on licensing system, data recording, and sharing of information on licensing system, regulations, and other relevant information.

11.3 States should strengthen measures to regulate fishing vessels accessing their ports for transshipping and/or landing catch and collect and exchange relevant data including origin of catch, among neighboring countries.

## **12. Preventing Poaching in the EEZs of Other Countries**

12.1 States should take appropriate actions against fishing vessels operating illegally beyond their designated areas.

12.2 States should cooperate in compiling a list of vessels reported to have been illegally operating (poaching) beyond their respective EEZs, and share this list among the relevant countries.

12.3 States should support in regularly updating information for the Regional Fishing Vessels Record (RFVR) endorsed by the Special SOM-34<sup>th</sup> AMAF. The basic requirements for the RFVR database are shown in **Appendix 3**.

12.4 States are encouraged to establish mutual bilateral/multilateral agreements among neighboring countries to set terms and conditions (including enforcement, penalties, and other regulations), for permission to fish in each other's fishing areas.

## **13. Controlling Illegal Fishing and Trading Practices of Live Reef Food Fish, Reef-based Ornamentals, and Endangered Aquatic Species**

13.1 States should conduct regular inter- and intra- meetings among relevant authorities (including customs departments) and exporting companies for mutual agreements on harvesting practices and data reporting of live reef food fish, reef-based ornamentals, and endangered aquatic species.

13.2 States should have appropriate mechanisms for the monitoring and data collection of live reef food fish and reef-based ornamentals trades.

13.3 States should ensure that export of endangered aquatic species is avoided, except for research and experimental purposes for which such export should be accompanied by appropriate documents.

13.4 States should encourage participation of small-scale/artisanal fishers, who account for majority of LRFF production, in co-management, and to enhance their awareness of the impacts of illegal fishing and trading of such aquatic species.

13.5 States should consider establishing a network between the LRFF importing and exporting countries, to strengthen LRFFT management at the regional level.

## **14. Strengthening the Management of Fishing in the High Seas and RFMO Areas**

14.1 States should strengthen their respective port state measures including control of port entry, use of port services, requirements for pre-port entry notification and designation of ports for fishing vessels.

14.2 States should implement, where appropriate, observer programs in accordance with relevant national, regional or international regulations with respect to high seas fisheries.

14.3 States should cooperate with the relevant RFMOs in complying with their Catch Document Schemes to prevent the landing of fish and fishery products from IUU fishing in the RFMO areas.

## **15. Review of the Guidelines**

15.1 AMS should regularly review and update this Guidelines every three years.

*Appendix I of Annex 14*

**List of Meetings under the Japanese Trust Fund Project  
for the Development of the Guidelines**

- I. The Regional Core Experts Meeting on Fishing License, Boat Registration and Information on Export of Fisheries products in Southeast Asia, 4-7 October 2011 in Bangkok, Thailand;
- II. The Regional Core Expert Meeting on Preventing Export of IUU Fishing Products In Southeast Asia, 20-22 November 2012, Concorde Inn KLIA, Sepang, Malaysia;
- III. The Meeting with Malaysian Officials for Preparation of the “ Core Expert Meeting On Combating IUU Fishing in Southeast Asian Region through Application of Catch Certification for International Trade in Fish and Fishery Products”, 11-13 June 2013, KL International Hotel, Kuala Lumpur, Malaysia;
- IV. The Regional Core Expert Meeting On Combating IUU Fishing In Southeast Asian Region Through Application Of Catch Certification For International Trade In Fish And Fishery Products” 7-9 October 2013, Quality Hotel, Kuala Lumpur, Malaysia
- V. Meeting with Malaysian officials to further developed the regional guidelines from 10 to 11 February 2014 at Empress Hotel, Salak Tinggi , Malaysia
- VI. IUU project discussion between officials from SEAFDEC Secretariat and MFRDMD, 28-30 April 2014 at SEAFDEC/MFRDMD, Terengganu, Malaysia
- VII. The meeting with Singapore (ASEAN Lead Country) on Combating IUU Fishing in Southeast Asian Region 25 Aug. 2014, Furama Hotel, Kuala Lumpur, Malaysia
- VIII. The Regional Technical Consultation (RTC) on the Regional Guidelines for Preventing the Entry of Fish and Fishery Products from IUU Fishing Activities into the Supply Chain at Horizon Hotel, Kota Kinabalu, Sabah, Malaysia

**Example of Vessel Identification and Licensing System of Malaysia****1) Licensing of Vessel**

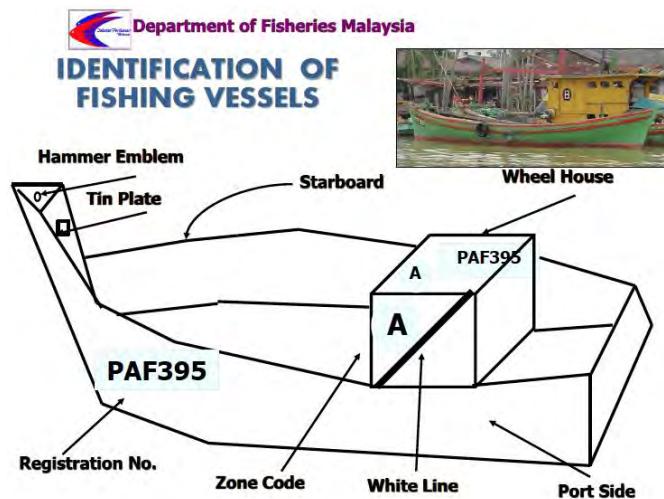
<b>Issues</b>	<b>Details or Photograph</b>
1) All vessels engaging in fishing activities in the Malaysian water need a <b>License</b> to operate	
2) A license need to renewed on a yearly basis subject to vessel inspection report	
3) Secured features (protective element) for Fishing License	<ul style="list-style-type: none"><li>➤ Use scattered watermark</li><li>➤ Fluorescent on Fisheries Department logo in each page is only visible under the ultra violet light</li><li>➤ Serial Number in the front page is of invisible colored and only visible under ultra violet light</li></ul>
4) Information of fishing vessel registration	<ul style="list-style-type: none"><li>1) Registration number;</li><li>2) Name, address and identification card number of owner or owners;</li><li>3) Where and when built;</li><li>4) Type of vessel;</li><li>5) Length, breadth, depth;</li><li>6) Name and address of operator (manager) or operators (managers) (if any);</li><li>7) Type of fishing method or methods;</li><li>8) Gross registered tonnage;</li><li>9) Power of main engine or engines;</li><li>10) Nationality and the number of crews to be employed;</li><li>11) Fishing vessel base</li></ul>
5) Validity of Licenses	<ul style="list-style-type: none"><li>➤ Traditional &lt; 40 GRT 3 YEARS</li><li>➤ Commercial &gt; 70GRT 1 YEAR</li></ul>

**2) Standard Specifications for the marking and identification of fishing vessels**

<b>Issues</b>	<b>Details or Photograph</b>
1) Standard Specification	<ul style="list-style-type: none"><li>1) Vessels Registration Code</li><li>2) Registration Specifications - Code of Zone - Registration Number</li><li>3) Wheelhouse Colour</li><li>4) Vessels Identification Code</li><li>5) Tinplate</li><li>6) Gross Registered Tonnage Measurement (GRT)</li><li>7) State Flags</li></ul>



- Identification of fishing vessel



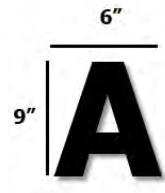
- Zoning Code for fishing vessel

- Code of Zones must be painted on both sides of the wheelhouse in white with a black background
- Size of the code of zone to be painted is according to the vessel size
- This fishing zone coding is to determine the fishing area of the vessel





Vessel Size	Code Zone
< 25 GRT	9" x 6" x 1.75"
25 - < 40 GRT	12" x 8" x 2.5"
40 & > 40 GRT	18" x 12" x 4"



- Wheelhouse Colours
  - Wheelhouse of the fishing vessel must be painted with color specified for the state.
  - The colour is painted on the both sides of the wheelhouse.
  - The idea of colour code is for easier identification of the vessels so that they would not encroached into another states water



State	Color	State	Color
Perlis	Dark Blue	Melaka	Purple
Kedah	Dark Red	Johor	Blue
Pulau Pinang	Light Blue	Pahang	Light Yellow
Perak	Dark Yellow	Terengganu	Light Green
Selangor	Orange	Kelantan	Dark Red
Negeri Sembilan	Dark Green	Labuan	Red

- Prefix of the Registration No.
  - The permanent letters of the registration no. is according to state :

State	Permanent Letters	State	Permanent Letters
Perlis	PSF	Melaka	MKF
Kedah	KHF	Johor	JHF
Pulau Pinang	PPF	Pahang	PAF
Perak	PKF	Terengganu	TRF
Selangor	SLF	Kelantan	KNF
Negeri Sembilan	NSF	Labuan	LNF

- Registration Number
  - The Registration number must be carved on both sides of the fore part of the hull of the vessel
  - In the case of the deep sea vessel (> 70 GRT) the number must also be carved on the roof of the wheelhouse

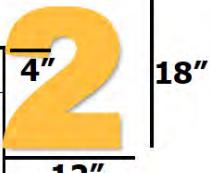
- The carved number must be painted in white with a black background

**PKF1456 KNF1234**

**PAF3954**

- Size of registration number

- Size of the registration number to be carved and painted is based on the size of the vessel

Vessel	Size of the No.	
Vessel without engine/with portable engine	6" x 4" x 1.25"	
< 25 GRT	9" x 8" x 1.75"	
25 - < 40 GRT	12" x 8" x 2.5"	
40 - > 40 GRT	18" x 12" x 4"	

- Tin Plate

- With the department logo and the signature of Director General of the Department, is placed in the inner side of the hull.



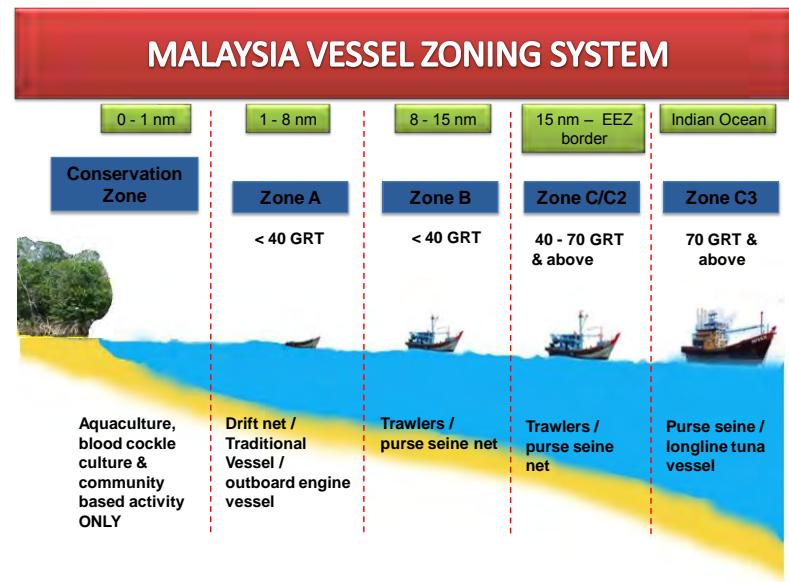
- Hammer emblem on the hull

- The alphabet used as emblem represent the state code eg. JHF 1, where JH stand for Johor, F for fisheries and for number the one district in Johor that is Muar District





## ■ Zoning System



## Newly implemented fishing Zone

0–1 nm : Conservation zone ( no take zone for any fishing gear)

1-8 nm : Zone A

8-15nm : Zone B

15nm – EEZ : Zone C (40 grt – 70 grt ) & Zone C2 (70grt to 500grt)

Indian Ocean : Zone C3 ( Tuna's vessel under IOTC )

*Appendix 3 of Annex 14*

**Basic Requirements for the database of RFVR 24m in Length and Over**

- |                                   |   |
|-----------------------------------|---|
| 1. Name of vessel                 | 14. Engine Brand                        |
| 2. Vessel Registration Number     | 15. Serial number of engine             |
| 3. Owner Name                     | 16. Hull material                       |
| 4. Type of fishing method/gear    | 17. Date of registration                |
| 5. Port of registry               | 18. Area (country) of fishing operation |
| 6. Gross tonnage (GRT/GT)         | 19. Nationality of vessel (flag)        |
| 7. Length (L)                     | 20. Previous name (if any)              |
| 8. Breadth (B)                    | 21. Previous flag (if any)              |
| 9. Depth (D)                      | 22. Name of captain/master              |
| 10. Engine Power                  | 23. Nationality of captain/master       |
| 11. Shipyard/Ship Builder         | 24. Number of crew (maximum/minimum)    |
| 12. Date of launching             | 25. Nationality of crew                 |
| 13. International Radio Call Sign | 26. IMO Number (If available)           |



**Annex 15**

**REGIONAL GUIDELINES FOR MANAGING FISHING CAPACITY**

**EXECUTIVE SUMMARY**

The issue of managing fishing capacity has been raised during the ASEAN-SEAFDEC CONFERENCE ON SUSTAINABLE FISHERIES FOR FOOD SECURITY TOWARDS 2020, held in Bangkok, Thailand, 13-17 June 2011, under Sub-Theme 1.2: Management of Fishing Capacity. In order to support AMS in developing the NPOA-Managing Fishing Capacity, therefore DOF/Malaysia as a Lead Country for the cluster “Promoting sustainable fisheries practices - Fishing capacity and responsible fisheries practices” under the ASEAN Fisheries Consultative Forum (AFCF) has developed the zero draft of the Regional Guideline on Managing Fishing Capacity based on the Malaysian NPOA. The Guideline focus on strategies relating to the effective management of national fishing capacity for sustainable exploitation of the fishery resources for future generation.

To facilitate the discussion and finalize the Guidelines, SEAFDEC was requested to support and provide the platform for all ASEAN-SEAFDEC Member Country to meet. In response to this, SEAFDEC consulted with DOF/Malaysia to adjust/modify the zero draft before organizing the RTC on Regional Guidelines for Managing Fishing Capacity in which is scheduled on 24-26 February 2015 in Kuala Lumpur, Malaysia.

**REQUIRED CONSIDERATION BY THE 17<sup>TH</sup> FCG/ASSP**

The 17<sup>th</sup> FCG/ASSP Meeting is requested to take note the progress on developing the Regional Guidelines for Managing Fishing Capacity. The meeting is also invite to provide comments and suggestion on the development of the guidelines.



**Annex 16**

**REGIONAL PLAN OF ACTION ON SUSTAINABLE UTILIZATION OF NERITIC TUNAS  
IN THE ASEAN REGION**

**EXECUTIVE SUMMARY**

Recognizing the importance of neritic tuna fisheries in the Southeast Asian waters, the regional or sub-regional cooperation to promote the sustainable utilization of neritic tuna is therefore needed. In this connection, the 45<sup>th</sup> Meeting of the SEAFDEC Council endorsed the proposal of SEAFDEC Secretariat to conduct regular stakeholders' consultations for the development of the Regional Plan of Action for Sustainable Neritic Tuna Fisheries (RPOA-Neritic Tuna). Thus, SEAFDEC with funding support from the SEAFDEC-Sweden Project together with ASEAN-SEAFDEC Member Countries organized the Consultative Meetings in October 2013 in Songkhla Province, Thailand, with aims to compile the main issues/problems on conservation and management that facing among the ASEAN Member States for drafting the RPOA-Neritic Tuna. In addition, SEAFDEC also organized "the Experts Group Meeting to finalize the Regional Plan of Action and discuss the work plan on Sustainable Utilization of Neritic Tuna Resources in the ASEAN Region in Krabi Province, Thailand from 18 to 20 June 2014. The Meeting were attended by the representatives from ASEAN countries, namely: Cambodia, Indonesia, Malaysia, Myanmar, Philippines, Thailand, and Vietnam. Representatives from the Embassy of Sweden, ASEAN Tuna Working Group, ASEAN-USAID MARKET (Maximizing Agricultural Revenue through Knowledge, Enterprise Development, and Trade) Project, Sustainable Fisheries Partnership and USAID Regional Development Mission for Asia. This paper shows a final draft of the RPOA-Neritic Tuna resulted from the consultative meetings and agreed by all experts of relevant AMS.

**REQUIRED CONSIDERATION BY THE 17<sup>TH</sup> FCG/ASSP**

The 17<sup>th</sup> FCG/ASSP Meeting is requested to take note and endorse the final draft of the RPOA-Neritic Tuna to be implemented by relevant AMS in long term plan as well as be supported by SEAFDEC for immediate action to ensure that neritic tunas resources in the Southeast Asian region are sustainable utilization. The 17<sup>th</sup> FCG/ASSP meeting is also requested to provide policy support and comments for future improvement on the RPOA-Neritic Tunas.



## Regional Plan of Action on Sustainable Utilization of Neritic Tuna in the ASEAN Region

### **Objectives I: Determining available data and information, improving data collection and developing key indicators:**

No.	Issues/Action Plans
1.	<i>Insufficient data/information</i>
	Improve Data Collection and Analysis for Neritic Tuna <ul style="list-style-type: none"> <li>- Compilation and review of existing data and information on neritic tunas from all related national agencies to understand the status, trend and biological parameters</li> <li>- Review and strengthening of data collection systems on neritic tuna</li> <li>- Review of policies, rules and regulations with regards to information collection and sharing</li> <li>- Implementation of collection system on catch data of neritic tunas based on the Regional Framework for Fishery Statistics of Southeast Asia</li> <li>- Regular updating of data based on independent fisheries surveys conducted by research institutions</li> <li>- Introduction of the use of logbook and observer/trainer onboard program, if not already in place</li> <li>- Capacity building for data enumerators, observers, port inspectors, scientists, or other key data informants on species identification and biological information <ul style="list-style-type: none"> <li>• Provision of reference materials to data collectors, e.g. colored pictures of fish, fish identification handbooks, mobile applications</li> </ul> </li> <li>- Improvement of data/information for a common pool of tuna database</li> </ul>
2.	<i>Undetermined neritic tuna stocks status</i>
	Assess Neritic Tuna Stocks and Develop Resource Key Indicators <ul style="list-style-type: none"> <li>- Determination of the type of data required for stock assessment or key indicator analysis</li> <li>- Utilization of the existing SOPs for data collection to determine fisheries key indicators on status and trend of neritic tuna</li> <li>- Encouraging the conduct of research on neritic tuna at national level (e.g. stock assessment, biological, genetics, tagging program etc.)</li> <li>- Integration of independent fisheries data with routine data from statistics to improve the analysis of neritic tuna stock assessment at national level</li> <li>- Strengthening capacity building on stock assessment</li> <li>- Conduct and regular updating of national stock assessment of neritic tuna</li> <li>- Seeking technical cooperation with NGOs, RFMOs, relevant research institutions for the conduct of research on neritic tuna</li> </ul>

### **Objectives II: Improving sustainable fisheries management**

No.	Issues and Action Plans
1.	<i>Open access</i>
	Promote Management of Fishing Capacity <ul style="list-style-type: none"> <li>- Control of fishing effort and capacity at national level <ul style="list-style-type: none"> <li>• Determination of Total Allowable Catch (TAC)</li> <li>• Estimation of the economic valuations and/or biological success of TAC</li> <li>• Issuance of numbers of fishing licenses at optimal level</li> <li>• Development of operation strategy considering economic valuation</li> </ul> </li> <li>- Registration and licensing system of fishing vessels <ul style="list-style-type: none"> <li>• Mandatory registration of fishing vessels and licensing to operate based on national policies</li> <li>• Provision of authorized foreign fishing vessels conducting fishing operations in national waters of concerned countries based on bilateral agreement</li> </ul> </li> <li>- Regulation on fishing gears <ul style="list-style-type: none"> <li>• Registration of fishing gear licenses or fishing permits based on national policies</li> <li>• Prohibition of active fishing gears (e.g. purse seine, ring net, Danish seine, trawls, etc.) within fishing zones for small-scale fisheries based on national policies</li> <li>• Regulation on mesh size of nets, where applicable depending on the type of gears and purposes of fishing</li> </ul> </li> <li>- Application of selective fishing gears and/or practices</li> </ul>

2.	<i>Inadequate management of neritic tuna resources in some areas</i>
	Promote Sustainable Utilization of Neritic Tuna Resources
	<ul style="list-style-type: none"> <li>- FADs management plan/scheme           <ul style="list-style-type: none"> <li>• Regulation on the use of FADs (<i>i.e.</i> recording the types/numbers, mapping, and use of environment-friendly materials)</li> <li>• Development of FADs management plan at national level</li> </ul> </li> <li>- Regulation on fishing areas and/or fishing seasons           <ul style="list-style-type: none"> <li>• Implementation of closed season for neritic tunas, <i>i.e.</i> during spawning season and nursery grounds based on best available scientific information and recommendations</li> <li>• Establishment of fisheries management zoning areas</li> <li>• Provision of alternative livelihoods to small-scale fishers (during closed season, if relevant)</li> </ul> </li> <li>- Protection of critical habitats and enhancement of fisheries resources           <ul style="list-style-type: none"> <li>• Deployment of fish enhancing devices, artificial reefs or fish apartments relevant to neritic tuna</li> <li>• Establishment of fisheries <i>refugia</i> and/or fish sanctuaries</li> </ul> </li> </ul>
3.	<i>Inadequate understanding of management and conservation measures</i>
	Enhance Understanding of Management and Conservation Measures of Neritic Tuna
	<ul style="list-style-type: none"> <li>- Enhancement of awareness of stakeholders on the importance of conservation and management measures</li> <li>- Conduct of comparative study of good practices learnt from other countries, RFMOs and international organizations</li> <li>- Arrangement of regular stakeholders' (including scientists, managers, policy makers, and fishers) consultations/meetings on management and conservation measures</li> <li>- Creation of platforms/fora to facilitate cooperation among scientists and managers</li> <li>- Development of information, education and communication (IEC) programs on sustainable use of resources</li> </ul>
4.	<i>Negative impacts of climate change to changes of neritic tuna stocks</i>
	Mitigate the Impacts of Climate Change on Neritic Tuna Stocks
	<ul style="list-style-type: none"> <li>- Encouraging the involvement of ASEAN Member States in regional/sub-regional research/study on the impact, adaptation, and mitigation measures of climate change on fisheries particularly on neritic tunas</li> </ul>

### Objectives III: Improving sustainable interaction between fisheries and marine ecosystem

No.	Issues/ Action Plans
1.	<i>Negative impacts of fisheries to marine ecosystem</i>
	Reduce Negative Impacts of Neritic Tuna Fisheries to Marine Ecosystem
	<ul style="list-style-type: none"> <li>- Implementation of ecosystem approach to fisheries management (EAFM)</li> <li>- Encouraging the conduct of risk assessment on the impacts of neritic tuna fisheries to marine ecosystem</li> <li>- Conduct of R&amp;D on suitable fishing methods and practices for sustainable utilization of neritic tuna resources and promote to ASEAN Member States</li> <li>- Promotion of the use of responsible fishing technology and practices</li> <li>- Development and adaptation of effective management and conservation measures to minimize the catching of small neritic tuna by purse seine/ring nets</li> <li>- Establishment of fisheries <i>refugia</i> system to protect the juvenile and larval stages</li> </ul>

### Objectives IV: Improving compliance to rules and regulations and access to markets

No.	Issues/ Action Plans
1.	<i>IUU fishing</i>
	Combat IUU Fishing Occurring in Southeast Asian Region
	<ul style="list-style-type: none"> <li>- Development of respective National Plans of Action to Prevent, Deter and Eliminate IUU Fishing (NPOA-IUU Fishing)</li> <li>- Strengthen the implementation of NPOA-IUU Fishing (for countries with NPOA-IUU Fishing in place)</li> <li>- Promotion of cooperation among ASEAN Member States and with other RPOA-IUU</li> </ul>



	<ul style="list-style-type: none"> <li>- participating countries in combating IUU fishing under the RPOA-IUU Framework</li> <li>- Strengthening coordination with the local governments, private sector and other agencies concerned to improve compliance on rules and regulations</li> <li>- Regulations on transshipment <ul style="list-style-type: none"> <li>o Establishment of procedures on transshipment of catch</li> </ul> </li> <li>- Establishment of national fisheries observer scheme for neritic tuna</li> <li>- Vessel Monitoring System (VMS) <ul style="list-style-type: none"> <li>• Implementation and/or strengthening of VMS program based on national policies</li> </ul> </li> <li>- Double flagging <ul style="list-style-type: none"> <li>• Exchange of vessel information (upon request) among concerned ASEAN Member States</li> </ul> </li> <li>- Poaching <ul style="list-style-type: none"> <li>• Establishment of bilateral and multilateral networking to prevent poaching activities</li> <li>• Development of measures to regulate and deny access to landing of poached fish based on national legal framework</li> </ul> </li> <li>- Strengthening of surveillance activities and enforcement</li> <li>- Prohibition of importation, landing or transshipment at port of neritic tuna from vessels presumed to have carried out IUU fishing activities in the ASEAN region without prior clarification from vessel owners or concerned flag states</li> <li>- Development of measures to refrain the conduct of business transaction with owners and vessels presumed to have carried out IUU fishing activities</li> </ul>
2.	<i>Inadequate infrastructures in fishing ports/landing sites</i>
	Improve Infrastructures in Fishing Ports/Landing Sites
	<ul style="list-style-type: none"> <li>- Promotion of the development of infrastructures such as auction facilities, jetties, water supply systems, ice processing plants to be completely available in fishing ports and landing sites</li> <li>- Development of the ASEAN standard (minimum requirements) for the management of fishing ports and landing sites (including safety, hygiene and sanitation standards)</li> </ul>
3.	<i>Post-harvest losses/product quality deterioration</i>
	Improve Post-harvest Techniques and Product Quality
	<ul style="list-style-type: none"> <li>- Provision of technical support to promote proper handling and preservation of neritic tuna onboard and at ports</li> <li>- Conduct of assessment of post-harvest losses of neritic tunas and describing the various ways of reducing post-harvest losses</li> <li>- Exchange of fishing and post-harvest technology or preservation techniques onboard as well as design/materials of fishing boats to reduce post-harvest losses</li> </ul>
4.	<i>Intra-regional and international trade</i>
	Enhance Intra-regional and International Trade
	<ul style="list-style-type: none"> <li>- Catch documentation and traceability system/scheme <ul style="list-style-type: none"> <li>• Development and implementation of traceability system to monitor movement of neritic tuna fish/products in the supply chain for export (<i>i.e.</i> origin of catch, transport, processing, storage and distribution)</li> <li>• Implementation of ASEAN Catch Documentation System/Scheme* by ASEAN Member States for neritic tuna fish and fishery products at national level</li> <li>• Encouraging the implementation of the Fisheries Improvement Project Protocol (FIPP), where applicable and application of eco-labeling scheme</li> </ul> </li> <li>- Facilitation and strengthening of intra-regional and international trade at national level</li> <li>- Development of Harmonized System (HS) Code especially for neritic tuna (regional issue)</li> </ul>

## Objectives V: Addressing Social Issues

No.	Issues/Action plans
1.	<i>Inadequate benefits for people involved in neritic tuna fisheries and industries</i>
	Improve the Benefits for People Involved in Neritic Tuna Fisheries and Industries
	<ul style="list-style-type: none"> <li>- Implementation of socio-economic surveys (<i>i.e.</i> working condition of fishers, their income and the living standard) in local communities, large scale fisheries and ancillary industries to gather baseline information</li> <li>- Development of arrangements and partnership between fisheries authorities or related agencies and fisheries industries regarding implementation of labor standards in fisheries in accordance with national laws, the International Labor Organization (ILO) Work in Fishing Convention of</li> </ul>

	<ul style="list-style-type: none"> <li>- 2007 (C188/Work in Fishing Convention, 2007) No. 188 and other related ILO Conventions</li> <li>- Reinforcement of rights, privileges and responsibilities of fish workers and others involved in fishing industry in accordance with national labor laws and regulations with the purpose of improving the welfare of people engaged in fisheries</li> <li>- Facilitating the cooperation between neighboring countries taking into account the importance of migrant labors</li> </ul>
2.	<i>Working conditions and labor issues</i>
	Improve Working Conditions of Labor <ul style="list-style-type: none"> <li>- Prevention of child labor under the age of 15 years (or less than 18 years) working in fisheries sectors in accordance with ILO Conventions</li> <li>- Recognizing security and safety issues for all types of fishing activities by implementing skills training program</li> <li>- Promotion of safety requirements at sea with capacity building and training for people engaged in fisheries and related activities</li> </ul>

### Objectives VI: Enhancing Regional Cooperation

No.	Issues/ Action Plans
1.	<i>Lack of Sub-regional action plans for neritic tuna fisheries</i>
	Enhance/Develop Sub-regional Action Plans for Neritic Tuna Fisheries <ul style="list-style-type: none"> <li>- Reviewing the existing action plans in sub-regions such as Sulu-Sulawesi, Gulf of Thailand, South China Sea, and Andaman Sea</li> <li>- Establishment of cooperation on R&amp;D to support sub-regional management of neritic tuna fisheries</li> <li>- Exchanging of information among ASEAN Member States on legal framework, policies &amp; management, trade rules &amp; regulations at sub-regional and regional levels on neritic tuna fisheries</li> <li>- Encouraging the participation of ASEAN Member States in sub-regional fora and consultations organized by regional fishery management organizations such as IOTC, if applicable and other regional fora</li> </ul>
2.	<i>Insufficient information on status and trends of neritic tuna at sub-regional level</i>
	Assessment of the Status and Trends of Neritic Tuna at Sub-Regional Level <ul style="list-style-type: none"> <li>- Establishment of the SEAFDEC scientific working group on neritic tuna for regional stock assessment and providing scientific advice for policy considerations on neritic tuna management</li> <li>- Conduct of regular meetings of SEAFDEC scientific working group at a sub-regional and regional levels</li> <li>- Conduct of regional tagging program on neritic tuna</li> </ul>
3.	<i>Limited support to intra-regional and international trade</i>
	Enhancing Intra-regional and International Trade <ul style="list-style-type: none"> <li>- Development of joint trade promotions within and outside the region through the ASEAN Tuna Working Group</li> <li>- Promotion of bilateral/multilateral cooperation on trade of neritic tuna among ASEAN Member States</li> <li>- Promotion of the development of ASEAN Catch Documentation Systems/Schemes</li> <li>- Enhancement of the promotion of neritic tuna fish and fishery products from small-scale operators</li> <li>- Enforcement of compliance by private sectors on trade regulations</li> </ul>



**Agreed Work Plan for  
Regional Cooperation to Promote Sustainable Utilization of  
Neritic Tuna Resources in the Southeast Asia Waters<sup>7</sup>**

SEAFDEC Secretariat

**Activity 1) Development of the RPOA-Neritic Tunas**

SUB-ACTIVITIES	Time Line	Responsible agencies	Status (by Oct. 14)
1) Advice from the Council on the needs to develop the RPOA-neritic tuna	April, 2013	SEAFDEC	In progress
2) Technical Expert Consultation Identify the key issues for drafting	Oct, 2013	All AMS and SEAFDEC	completed
3) Expert Meeting on Drafting the RPOA Neritic tuna	June, 2014	All AMS, SEAFDEC& Stakeholders	completed
4) Stakeholder consultations (Tuna congress, Scientific conference/PH, US-AID-MARKET, others )	Oct.-14	SEAFDEC	In progress
5) Submission to SEAFDEC Council for comments and endorsement	Sept, 2014	SEAFDEC	In progress
6) Address at the 17th FCG/ASSP for endorsement	Dec. 2014	SEAFDEC and Lead AMS	On going
7) Report the progress to 46 <sup>th</sup> CM	April 2015	SEAFDEC	On going
8) Endorsement by the 23 <sup>rd</sup> ASWGFi	June, 2015	SEAFDEC and Lead AMS	On going

**Activity 2) Establishment of Working Group on Stock Assessment**

SUB-ACTIVITIES	Time Line	Responsible agencies	Status (by July 14)
1) Establishing Scientific Working Group (SWG) on Stock Assessment: Andaman Sea, SCS+GOT, Sulu-Sulawesi Sea	Within Aug.- Sept. 2014	SEAFDEC in cooperation with AMS	In progress
2) Scientific WG Meeting(s)	Nov. 2014 Feb. June. Aug. 2015	SEAFDEC and SWG	In progress
- Develop the Strategic Plan and TOR of the SWG and endorsement by AMS	By Feb. 2015	SWG and SEAFDEC,	On going
- Identify the issues on stock assessment at national and regional level	By May 2015	SWG, SEAFDEC& RFMOs, etc	On going
- Standardize data collection and	By Jul.	SWG,	On going

<sup>7</sup> The Expert Group Meeting on Regional Plan of Action on Sustainable Utilization of Neritic Tuna Resources in the Southeast Asia Waters, 18-20 June 2014, Krabi province, Thailand

models, develop the SOP, tools, etc	2015	SEAFDEC	
3) Scientific WG on Stock Assessment under the TOR	Nov. 2015	SWG, SEAFDEC	On going

### Activity 3) Human Resources Development and Its Activities

SUB-ACTIVITIES	Time Line	Responsible agencies	Status (by July 14)
1) Compilation of the required HRD program from AMS	20 June 14	SEAFDEC	completed
2) Prioritized the HRD Program based on Country Inputs in line with SEAFDEC plan	June- July 2014	SEAFDEC and All AMS	completed
3) Conduct the HRD program(s) based on the prioritized setup and outputs from SWG	July-Oct. 2015	SEAFDEC, some AMS:	On going
4) Improve on Data collection in some AMS based on outputs from SWG	May- Dec 2015	SCS and GOT targeting tongol tuna	On going



**Annex 17**

**REGIONAL POLICY RECOMMENDATIONS ON CONSERVATION AND MANAGEMENT  
OF EEL RESOURCES AND PROMOTION OF SUSTAINABLE AQUACULTURE**

**EXECUTIVE SUMMARY**

Refer to the 36<sup>th</sup> Meeting of the Program Committee requested SEAFDEC to spearhead the conduct of a study on eel resources in the region in collaboration with the Member Countries. Thus, SEAFDEC organized the 1<sup>st</sup> Regional Technical Meeting on Information Gathering of Eel Resources and Aquaculture Production in the Southeast Asia on 27 January 2014 in Bangkok, Thailand, with aims to compiled the information related to eel resources from wild and status of aquaculture in the Southeast Asian Countries and developed the way forward and future Meeting of Eel expert of the Southeast Asian Region. In addition, SEAFDEC also organized the 2<sup>nd</sup> Regional Consultation on Development of Regional Policy Recommendation on Sustainable Management of Eel Resources and Aquaculture Production in Southeast Asia in Palembang, Indonesia from 31 August 1 September 2014. This consultation aimed to develop the policy recommendation for the conservation and management of catadromous eel resources and sustainable development of catadromous eel aquaculture in Southeast Asia. This consultation also developed the strategic program to develop and promote eel aquaculture in the region. This paper shows a final draft of the policy recommendations resulted from the consultative meetings and agreed by all representatives from Member Countries and experts from relevant ASEAN Member States (AMS).

**REQUIRED CONSIDERATION BY THE 17<sup>TH</sup> MEETING OF FCG/ASSP**

The Meeting is requested to take note on the progress of regional cooperation to promote sustainable fisheries in ASEAN region especially on the Regional Policy Recommendations on Conservation and Management of the Eels Resources and Promotion of Sustainable Aquaculture. These would provide important works to be done within the Southeast Asian region to promote common approaches to management of the utilization of eel resources and its aquaculture. The Meeting is also requested to provide guidance on the future direction and actions toward these issues.



## POLICY RECOMMENDATIONS FOR THE CONSERVATION AND MANAGEMENT OF CATADROMOUS EEL RESOURCES IN SOUTHEAST ASIA<sup>8</sup>

### I. Sustainability of the Resources

ISSUES AND CONCERNS	STRATEGIC ACTIONS	POLICY RECOMMENDATIONS
1) Unclear status and trends of eel resources/fisheries 2) Decline in landing of glass eels 3) Inadequate information on ecology, biology, habitat, distribution, and migration of different species 4) Lack of appropriate and practical methodology for species identification 5) The difficulty in handling the fish way for eel stepping using CCTV camera	<p><i>Improve data collection for stock assessment</i></p> <ul style="list-style-type: none"><li>- Review the existing data/information (including collection historical data) from relevant agencies in the ASEAN Member States (AMSSs)</li><li>- Improve time series data collection on resources and rate of utilization of eels (adults, elvers, biomass of glass eels, etc.)</li><li>- Develop appropriate technology/methodology for identification of eel species available in the region (e.g., for glass eels apply molecular techniques) to assess the heavily exploited species</li><li>- Improve collection of national statistics at species level (or at least at the genus level)</li></ul> <hr/> <ul style="list-style-type: none"><li>- Analyze data and information to understand the status and trend of eel resources</li><li>- Develop and implement R&amp;D Programs on ecology, biology, habitat, distribution, and migration and recruitment of different eel species</li><li>- Assess the causes in the decline of landing of glass eels</li><li>- Engage regional fisheries bodies to support the AMSSs in data collection</li><li>- Install CCTV in the surface of the water where the eel pass</li></ul>	<ul style="list-style-type: none"><li>- Establishment of regional cooperation on data sharing of information on landings, and species composition of glass eels collected from various sources, in order to provide baseline information for stock assessment and management of eel resources</li><li>- Effective control and surveillance toward compliance upon laws and regulations</li><li>- Strengthen coordination with the water power plant or another related sector dealing with eels life cycle habitat.</li><li>- &lt; Immediate Approach&gt;</li></ul>

### II. Habitat Management

ISSUES AND CONCERNS	STRATEGIC ACTIONS	POLICY RECOMMENDATIONS
1) Degradation of habitats 2) Cross-river obstacles that inhibit migration 3) Lack of monitoring of the	<ul style="list-style-type: none"><li>- Identify critical habitats including migratory routes</li><li>- Ban collection of glass eels in critical habitats</li></ul>	<ul style="list-style-type: none"><li>- Identification and conservation/rehabilitation of critical habitats including migratory routes</li></ul>

<sup>8</sup> The results from the 2<sup>nd</sup> Regional Consultation on Development of Regional Policy Recommendation on Sustainable Management of Eel Resources and Aquaculture Productions in the Southeast Asia, 31 August – 1 September 2014, Palembang, Indonesia.

effectiveness of habitat management	<ul style="list-style-type: none"> <li>- Rehabilitate critical habitats (<i>e.g.</i>, promote the incorporation of fish pass in weir construction)</li> <li>- Develop measures to allow the escape of silver eels to their spawning habitats</li> <li>- Monitor the effectiveness of habitat management activities implemented in the AMSs</li> </ul>	
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### III. Regulations and Management Measures

ISSUES AND CONCERNS	STRATEGIC ACTIONS	POLICY RECOMMENDATIONS
<ol style="list-style-type: none"> <li>1) Inadequate regulations and management measures specifically for eels, such as: Input Control System, <i>e.g.</i> licensing for harvesting, effort, gear restriction; zoning; closed season; etc.</li> <li>2) <u>Illegal trade/export of glass eels and elvers</u></li> <li>3) Inadequate monitoring of the effectiveness of management measures</li> </ol>	<ul style="list-style-type: none"> <li>- Improve enforcement of existing laws and regulations to ensure maximum compliance</li> <li>- Establish laws and regulations for management of eels as applicable to respective AMSs</li> <li>- Legalize trading of glass eels within the AMSs in accordance with national laws and regulations as well as Sanitary and Phyto-sanitary (SPS) requirements</li> <li>- Implement effective management of fisheries through an ecosystem approach to fisheries (EAFM) that integrates habitat and fishery resource management aimed at increasing the social and economic benefits to all stakeholders</li> <li>- Encourage the compliance of management measures based on international instruments, <i>e.g.</i>, UNCLOS Convention Article 67</li> </ul>	<ul style="list-style-type: none"> <li>- Consider the application of the precautionary approach for sustainable utilization of eel resources in spite of insufficient data and information (could include limitation of harvest and trading of certain stages of eels)</li> <li>- Establishment of traceability/certification system for trading of glass eels and elvers</li> <li>- Strengthening of the enforcement of laws and regulations, including through capacity building and intelligent investigation</li> <li>- Every AMSs develop a notification and send to importing countries to not trade eel with size &lt;150 gr.</li> </ul>

### IV. Strengthening of Information and Education Campaign (IEC)

ISSUES AND CONCERNS	STRATEGIC ACTIONS	POLICY RECOMMENDATIONS
<ol style="list-style-type: none"> <li>1) Lack of awareness of stakeholders on impacts of glass eel fishing activities, degradation of habitats, and resource status</li> </ol>	<ul style="list-style-type: none"> <li>- Conduct massive awareness building and educational campaign on the impacts of fishing activities, degradation of habitats, and resource status to all stakeholders (<i>e.g.</i> fishers, consumers, local traders, exporters, public, etc.)</li> </ul>	<ul style="list-style-type: none"> <li>- Promotion of massive awareness building activities and educational campaigns on the impacts of fishing activities, degradation of habitats, and resource status to all stakeholders (<i>e.g.</i> fishers, consumers, local traders, exporters, public, etc.) through considering the EAFM approach.</li> </ul>



	- < Immediate Approach>
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## V. Regional Cooperation for Management Framework

ISSUES AND CONCERNS	STRATEGIC ACTIONS	POLICY RECOMMENDATIONS
1) Unauthorized/Illegal trading of glass eels as inputs for eel aquaculture in the region 2) Lack of regional collaborative management on monitoring of eel fisheries management	<ul style="list-style-type: none"><li>- Harmonize intra-regional trade of glass eels for aquaculture proposes within the AMSSs</li><li>- Develop the system of monitoring the exact catch and fishing effort, and complying with control measures</li><li>- Establish protocols for cross-border movement of eels species in accordance with the FAO Guidelines on Responsible Movement of Live Aquatic Animals</li></ul>	<ul style="list-style-type: none"><li>- Establishment of regional policy and guidelines on the collection, handling, transporting, cross-border movement, and trading of glass eels among AMSSs as inputs for eel aquaculture in the region</li></ul>

## VI. Cross-cutting Issues

ISSUES AND CONCERNS	STRATEGIC ACTIONS	POLICY RECOMMENDATIONS
1) Unclear marketing system 2) Unstable price of glass eels 3) Oceanographic changes/climate change 4) Lack of post-harvest technology and product development	<ul style="list-style-type: none"><li>- Undertake study on marketing and pricing system of eels</li><li>- Monitor-the impacts from El Niño and La Niña to harvesting of glass eels for future analysis</li><li>- Develop post-harvest technology and product development-for eels</li></ul>	<ul style="list-style-type: none"><li>- Improvement of marketing system, with due consolidation of existing markets and development of new markets</li><li>- Conducting studies / R&amp;D of eel processing into refined products which favored by the public / consumers of local / regional and international.</li><li>- Capacity building on eel processing technology.</li></ul>

## **POLICY RECOMMENDATIONS FOR SUSTAINABLE DEVELOPMENT OF CATADROMOUS EEL AQUACULTURE IN SOUTHEAST ASIA<sup>9</sup>**

### **I. Development of Sustainable Aquaculture Technology and Practices**

ISSUES AND CONCERNS	STRATEGIC ACTIONS	POLICY RECOMMENDATIONS
<p>1) Lack of technologies on breeding and larval rearing of eels</p> <p>2) Inadequate methodology for species identification of glass eels used for aquaculture</p> <p>3) Low survival rate of glass eels gathered from the wild.</p>	<ul style="list-style-type: none"> <li>- Develop guidelines on best practices for collection, transportation and handling of wild-caught glass eels for aquaculture to ensure maximum survival</li> <li>- Learn from experience of Japan and other East Asian countries and areas to adapt technology for aquaculture of eel species developed in these countries and areas as model to accelerate development of eel aquaculture in the region, and on identification of glass eel species for aquaculture.</li> <li>- Promote the business segmentation to eel grow up business</li> <li>- Develop eel/ fish way mapping</li> <li>- Develop technology on the eel feed formulation</li> </ul>	<ul style="list-style-type: none"> <li>- Sharing of experience among ASEAN Member States on practices for collection, transportation and handling of wild-caught glass eels for aquaculture.</li> <li>- Establishment of cooperation and conduct of regular interaction among experts, the academe and institutions, as well as with relevant aquaculture business entrepreneurs working on eel aquaculture within and outside the region to fast-track aquaculture development of eel species into the AMSs and other advanced countries.</li> <li>- Development of technology for tropical eel aquaculture</li> <li>- Establishment of good aquaculture practices for sustainable development</li> <li>- Strengthening of the enforcement of laws and regulations on eel aquaculture</li> </ul>

### **II. Management of Eel Aquaculture**

ISSUES AND CONCERNS	STRATEGIC ACTIONS	POLICY RECOMMENDATIONS
<p>1) Inadequate regulations on eel aquaculture</p> <p>2) Inadequate data number of companies/farms engaged in aquaculture, quantity of glass eels used, production from aquaculture</p> <p>3) Lack of traceability system on the source of stocks for eel aquaculture</p>	<ul style="list-style-type: none"> <li>- Establish regulations on eel aquaculture, e.g., registration and licensing of eel aquaculture farms, effective monitoring by government authorities, and requirements for reporting the source of glass eels for aquaculture and production output</li> <li>- Countries with existing eel aquaculture should monitor</li> </ul>	<ul style="list-style-type: none"> <li>- Application-of ecosystem approach for the management of eel aquaculture</li> <li>- Habitat reparation/rehabilitation of the damaged fish way of eels.</li> <li>- Application of precautionary approach on management of eel aquaculture</li> <li>- Development of measures that would ensure that promotion of</li> </ul>

<sup>9</sup> The results from the 2<sup>nd</sup> Regional Consultation on Development of Regional Policy Recommendation on Sustainable Management of Eel Resources and Aquaculture Productions in the Southeast Asia, 31 August – 1 September 2014, Palembang, Indonesia



ISSUES AND CONCERNS	STRATEGIC ACTIONS	POLICY RECOMMENDATIONS
	<ul style="list-style-type: none"><li>- inputs used and production</li><li>- Develop traceability system/certification of origin for cultured eels</li></ul>	eel aquaculture would not impact on the natural eel populations

### III. Regional Cooperation on Sustainable Development of Eel Aquaculture<sup>10</sup>

ISSUES AND CONCERNS	STRATEGIC ACTIONS	POLICY RECOMMENDATIONS
<ul style="list-style-type: none"><li>1) Fragmented development of technologies on eel aquaculture by individual countries</li><li>2) Lack of regional situation on harvest of glass eels and eel aquaculture production</li></ul>	<ul style="list-style-type: none"><li>- Consolidate information and knowledge on eel aquaculture technologies among the AMSs</li><li>- Share information on eel aquaculture industries among the AMSs</li></ul>	<ul style="list-style-type: none"><li>- Sharing of information on eel aquaculture technologies among countries in the region.</li><li>- Strengthen the market information on eel aquaculture</li><li>- Development of regional guidelines on best practices for eel aquaculture.</li></ul>

### IV. Cross-cutting issues

ISSUES AND CONCERNS	STRATEGIC ACTIONS	POLICY RECOMMENDATIONS
<ul style="list-style-type: none"><li>1) Poor handling/transporting of glass eels</li><li>2) Inadequate information on the impacts of aquaculture to the environments</li></ul>	<ul style="list-style-type: none"><li>- Improve fish handling and transportation processes to reduce high mortality of glass eels for aquaculture</li><li>- Promote responsible movement of eels in the AMSs</li><li>- Develop a regulation to enclose the document of origin for eel seed distribution</li></ul>	<ul style="list-style-type: none"><li>- Designated port of entry and port of exit for carrier vessels transporting eels product</li></ul>

<sup>10</sup> The meeting take note the recommendation from Indonesia to “establish the ASEAN Eel Association”, while the issue will be raised again at the forth coming 23<sup>rd</sup> ASWGFi by Indonesia.

## **REGIONAL GUIDELINES ON TRACEABILITY SYSTEM FOR AQUACULTURE PRODUCTS IN SOUTHEAST ASIA**

### **I. INTRODUCTION**

Traceability has become a major concern of the aquaculture industry, especially since it has become a legitimate requirement in major international markets such as the EU and the US. Furthermore as aquaculture production becomes more market and consumer driven, the greatest pressure for product traceability has been coming from the general public. Consumers are getting more and more concerned on what they eat – whether the food comes from a safe and sustainable source, and whether production, transportation, and storage conditions can guarantee food safety and quality.

The Codex Alimentarius Commission (2004) defines traceability or product tracing as “The ability to follow the movement of a food through specified stage(s) of production, processing and distribution”. In an increasingly competitive food system, traceability has become a major tool in dealing with concerns of food safety, quality assurance, risk prevention, and gaining consumer trust. Traceability can be used to achieve different purposes or objectives, such as for food safety, bio-security and regulatory requirements or to ensure quality and other contractual requirements. For instance, external traceability allows the tracking of a product and/or attribute(s) of that product through the successive stages of the distribution chain (from farm to fork), while internal traceability (or enterprise traceability) is aimed at productivity improvement and cost reduction within a production unit (*e.g.* fish plant). Governments and organizations around the world have also been developing different systems on seafood traceability *e.g* TraceFish (EU), TraceShrimp (Thailand).

Some countries in the ASEAN region which are major exporters of seafood have began implementation of traceability systems for their aquaculture products such as Thailand (shrimps) and Vietnam (catfish). However, with increasing requirements for traceability in the international seafood markets, there is an urgent need for all countries in the region to implement traceability systems in their aquaculture industry so as to comply with the regulations of the importing countries. In addition, domestic consumers in the region who are becoming more affluent and educated also demand that a higher level of food safety and quality in their seafood. In view of these developments, MFRD has implemented a project on traceability for aquaculture products in the ASEAN region to provide a platform for the sharing of information and experiences among the ASEAN Member States on traceability systems to better enable the regional aquaculture industries to implement appropriate traceability systems in aquaculture products and to meet international traceability requirements in the network of aquaculture production, marketing, and trade.

The expected outcomes of the project are envisaged to be the establishment of traceability programmes for aquaculture products in the Member Countries and enhanced capability and knowledge on the development and implementation of traceability systems for aquaculture products in the Member Countries. The main expected outputs are the Regional Guidelines on Implementation of Traceability System for Aquaculture Products in Southeast Asia and, a Technical Compilation on traceability system for aquaculture products in the ASEAN Region which will comprise the information and data from the two on-site workshops conducted in the project, country reports on the status of implementation of traceability for aquaculture products in Member Countries, difficulties faced and benefits of implementing traceability.

### **II. PROGRESS OF THE DEVELOPMENT OF THE REGIONAL GUIDELINES ON TRACEABILITY SYSTEM FOR AQUACULTURE PRODUCTS IN SOUTHEAST ASIA IN 2014**

MFRD in consultation with all the ASEAN Member States begun drafting the Guidelines after the 2<sup>nd</sup> on-site traceability workshop held in Thailand on 5-7 November 2013. The Guidelines are the basic requirements which are agreed by all Member Countries in which a basic traceability system for aquaculture products should have.



The revised timeline for development of the Regional Guidelines on Traceability System for Aquaculture Products in Southeast Asia is as follows:

1	Draft Regional Guidelines	2 <sup>nd</sup> and 3 <sup>rd</sup> Quarter 2014	MFRD & Member Countries
2	Review by Member Countries	3 <sup>rd</sup> and 4 <sup>th</sup> Quarter 2014	Member Countries
3	End-of-Project (EOP) Meeting: Finalize draft Regional Guidelines	1 <sup>st</sup> Quarter 2015	MFRD & Member Countries
4	Completion of Regional Guidelines	1 <sup>st</sup> Quarter 2015	MFRD
5	Presentation of Regional Guidelines to SEAFDEC Council Meeting	April 2015	Secretariat
7	Presentation of Regional Guidelines to ASWGFi	2015	Secretariat

### III. ISSUES FOR CONSIDERATION BY THE 17<sup>TH</sup> FCG/ASSP

The 1<sup>st</sup> draft of the Guidelines was prepared and circulated to all Member Countries in mid-June 2014 for the relevant national authorities' comments and support. The 2<sup>nd</sup> draft of the Guidelines which incorporated the feedback and comments of the Member Countries which have responded to the 1<sup>st</sup> draft has been prepared and will be circulated to all Member Countries for the relevant national authorities' further comments (if any) and support. The Guidelines will serve as a common platform and reference for Member Countries in their implementation of traceability for aquaculture products. The support and cooperation of Member Countries are needed for the development of the Regional Guidelines.

**Annex 19**

**IMPORTANT FINDINGS AND RECOMMENDATIONS ON CHEMICAL USE IN  
AQUACULTURE IN SOUTHEAST ASIA<sup>11</sup>**

The use of chemicals in aquaculture is widely practiced to help meet the increasing demand for aquaculture food. Cultured shrimps and fish in various stages from hatcheries to grow-out ponds are exposed to chemical contamination, hence, fish farmers are faced with the challenge of producing safe food from farm to fork. The uncontrolled use of chemicals in aquaculture production had adverse effects on human health, the environment and the development of pathogen resistance. Because of the growing-awareness on issues of food safety of aquaculture products, SEAFDEC/AQD considered it as an urgent matter to help establish, support and promote regional guidelines on the right usage of antibiotics and other chemical inputs to increase production of safe aquaculture products.

The mechanisms of accumulation and withdrawal of antibiotics and other chemicals have already been well established in developed countries. However, these data were generated using their species and under conditions different from the conditions in Southeast Asian region. Furthermore, limited data are available on the withdrawal period of antibiotics and the presence of chemical residues in aquaculture products from the region. The project on Food Safety funded by Government of Japan Trust Fund V enabled SEAFDEC/AQD to generate scientific information on chemicals commonly used in aquaculture production. The activities conducted under the project aimed to complement the ASEAN Guidelines on the use of chemicals in aquaculture.

A survey of two antibiotics, Oxytetracycline (OTC) and Oxolinic acid (OXA, and organochlorine pesticide (OCP) residues in aquaculture products were conducted in the Philippines. The withdrawal periods of these two antibiotics were also determined in five popular aquaculture species for culture in the region namely, milkfish, hybrid red tilapia, mangrove red snapper, orange-spotted grouper and the tiger shrimp. The antibiotics were detected in some aquaculture products and also the OCPs which are Methoxychlor, Endrin ketone and Endosulfan I. The withdrawal periods of antibiotics in the five species at water temperatures of 25°C – 31.5°C ranged from 17 to 26 days for OTC and from 17 to 27 days for OXA.

Findings and recommendations of the research activities conducted will be published and should be able to support and promote country- or regional specific policy recommendations.

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<sup>11</sup> Prepared by Mae Catacutan, PhD., Head Technology Verification and Demonstration Division and Nutrition and Feed Development Section, SEAFDEC Aquaculture Department



**Annex 20**

**REGIONAL PLAN OF ACTION OF SEA TURTLE FORAGING HABITATS IN SOUTHEAST ASIAN WATERS**

**EXECUTIVE SUMMARY**

The Regional Plan of Action of Sea Turtle Foraging Habitats in South East Asian Waters had been developed through a series of meetings, participatory and consultative process involving fishery, national park and sea turtle experts from the ASEAN-SEAFDEC Member Countries organized by the Marine Fishery Resources Development and Management Department (MFRDMD). The Regional Plan of Action was finalized and adopted by experts from participating ASEAN Member States (Brunei Darussalam, Cambodia, Indonesia, Malaysia, Myanmar, the Philippines, Thailand and Vietnam) at the Regional Meeting on Conservation and Management of Sea Turtle Foraging Habitats in Southeast Asian Waters held on 22<sup>nd</sup> -24<sup>th</sup> October 2013 in Kuala Lumpur, Malaysia.

The Plan of Action outlines the possible future actions in the ASEAN region in conservation of sea turtle populations. There are nine countries in the Southeast Asian region, namely Brunei Darussalam, Cambodia, Indonesia, Malaysia, Myanmar, Singapore, the Philippines, Thailand and Vietnam who confirmed that sea turtle landed and nested on their beaches. Most of these countries have small areas of foraging habitats. Thus it is imperative that the Regional Plan of Action needs to be implemented in all countries to ensure the survivals of sea turtle populations. We hope that all countries will implement the Regional Plan of Action based on their expertise and capability. This Regional Plan of Action will complement the existing National Plan of Action that has been established in some countries in the region.

There are six objectives of the Regional Plan of Action. Each country is welcome to set their deadline based on their capabilities. The objectives are: i) To Protect and Conserve Sea Turtle Foraging Habitats; ii) To Reduce Direct and Indirect Cause of Sea Turtle Mortality in Foraging Habitats; iii) To Strengthen Research and Monitoring in Sea Turtle Foraging Habitats; iv) To Increase Community Participation through Information Dissemination and Education; v) To Strengthen Integrated Management of Sea Turtles; and vi) Secure Funding for Sea Turtle Conservation. Several programs and actions had been proposed in order to achieve the objectives. These programs and actions were prepared as guidelines for each country in the region to carry out according to their own capability. The outputs and indicators of each activity were also proposed in the Regional Plan of Action to evaluate the achievements.

**REQUIRED CONSIDERATION BY THE 17<sup>TH</sup> FCG/ASSP**

The 17<sup>th</sup> FCG/ASSP Meeting is requested to endorse the Regional Plan of Action of Sea Turtle Foraging Habitats in South East Asian Waters and recognize it as a regional plan of action.



## REGIONAL PLAN OF ACTION OF SEA TURTLE FORAGING HABITATS IN SOUTHEAST ASIAN WATERS

### OBJECTIVE 1: PROTECT AND CONSERVE SEA TURTLE FORAGING HABITATS

Programs	Actions	Outputs	Indicators
<b>1. ESTABLISH NECESSARY MEASURES TO PROTECT AND CONSERVE FORAGING HABITATS</b>	<p>a) Identify and determine the status of sea turtle foraging habitats.</p> <p>b) Designate, declare/gazette and manage protected/conservation areas of foraging habitats and other sea turtle critical habitats through legal and practical means.</p> <p>c) Develop incentives and promote usage of turtle-friendly fishing gears and methods amongst local communities and fisheries sector.</p> <p>d) Identify and manage anthropogenic impacts at sea turtle foraging habitats.</p> <p>e) Identify and establish best practice waste disposal programmes to reduce impact of marine debris at sea turtle foraging habitats.</p> <p>f) Incorporate sea turtle conservation issues within national integrated coastal zone management or other equivalent management systems.</p> <p>g) Ensure tourism guidelines include sea turtle conservation issues in their eco-tourism activities.</p>	<p>a) Database of status of sea turtle foraging habitat.</p> <p>b) Increase protection of sea turtle foraging habitats.</p> <p>c) Increase usage of turtle-friendly fishing gears and methods.</p> <p>d) Dialog sessions</p> <p>e) Best practice waste disposal programmes adopted.</p> <p>f) Improved conservation measures for sea turtles.</p> <p>g) Sea turtle conservation issues are included in eco-tourism activities -Pre and post assessments.</p>	<p>a) Sea turtle foraging habitats are identified within 5 years.</p> <p>b) Most (&gt;80%) of the major sea turtle foraging habitats are protected by legislation.</p> <p>c) Significant reduction by at least 50% within 5 years</p> <p>d) Significant reduction of anthropogenic impacts at sea turtle foraging habitats. (Benchmark percentage will depend on each country)</p> <p>e) Significant reduction of marine debris at sea turtle foraging habitats. timeframe 5 years</p> <p>f) National integrated coastal zone management or other equivalent management system includes sea turtles conservation issues in place.</p> <p>g) Increased awareness (&gt; 80%) of sea turtle conservation in the eco-tourism industry.</p>
<b>2. REHABILITATE DEGRADED SEA TURTLE FORAGING HABITATS</b>	<p>a) Organize regular clean-up exercises at foraging habitats.</p> <p>b) Enhance recovery of degraded foraging habitats by closing the areas to human activities.</p>	<p>a) Clean sea turtle foraging habitats.</p> <p>b) Improved sea turtle foraging habitats.</p>	<p>a) At least twice per year.</p> <p>b) Significant reduction of anthropogenic impacts on sea turtle foraging habitats.</p>

**OBJECTIVE 2: REDUCE DIRECT AND INDIRECT CAUSES OF SEA TURTLE MORTALITY IN FORAGING HABITATS**

<b>Programs</b>	<b>Actions</b>	<b>Outputs</b>	<b>Indicators</b>
<b>1. IDENTIFY AND DOCUMENT THREATS TO SEA TURTLE POPULATIONS IN FORAGING HABITATS.</b>	a) Document and collate existing anecdotal and empirical data on nature and magnitude of threats to sea turtle populations including poaching.	a) Documentation of threats to sea turtle populations in foraging grounds.	a) Annual update of the documents.
<b>2. MINIMISE THREATS TO SEA TURTLE POPULATIONS</b>	<p>a) Develop research and technologies to reduce impacts of coastal gillnets and other fishing gears (e.g. sonic pinger).</p> <p>b) *Strengthen implementation of existing legislation which prohibits direct harvest and domestic trade of meat, parts and products of all species of sea turtles.</p> <p>c) Enact and enforce legislation requiring the use of sea turtle-friendly fishing gears and methods.</p> <p>d) *Regulate, and where appropriate eliminate, fishing practices at major foraging habitats.</p> <p>e) Observer programme on fishing vessels (if possible) should also include recording of sea turtle by-catch</p> <p>f) Strengthen cooperation among regional member countries to combat poaching of sea turtles.</p> <p>g) Establish regular stakeholder consultations prior to development and modification of areas near sea turtle foraging habitats.</p> <p>h) Eliminate harvest of sea turtles by coastal communities in foraging habitats through awareness programme.</p>	<p>a) Turtle friendly fishing gears developed</p> <p>b) Improved implementation of existing legislation.</p> <p>c) Relevant legislations are enacted.</p> <p>d) Regulated/minimized fishing activities at major foraging habitats.</p> <p>e) Database on sea turtle by-catch on fishing vessels.</p> <p>f) Establish networking and mutual agreements on sea turtle poaching. - Compilation of known poaching activities and legal</p> <p>g) Consensus among stakeholders on developments and modifications.</p> <p>h) Awareness programmes in place.</p>	<p>a) The technology will be practiced if found effective.</p> <p>b) Significant reduction in direct harvest and domestic trade of meat, parts and products of all species of sea turtles.</p> <p>c) Significant increase in usage of sea turtle-friendly fishing gears and methods.</p> <p>d) Significant reduction in sea turtle mortality.</p> <p>e) Annual updates on records of sea turtle by-catch on fishing vessels</p> <p>f) Significant reduction in sea turtle poaching.</p> <p>g) Rational developments and modifications.</p> <p>h) Significant reduction in sea turtle harvest.</p>



Programs	Actions	Outputs	Indicators
2. MINIMISE THREATS TO SEA TURTLE POPULATIONS	i) Adopt and adapt the best conservation and management practices for sea turtle populations.  j) Monitor and regulate incidents of illegal trade of sea turtles and their products.	i) Best conservation and management practices for sea turtle populations are adopted.  j) Database on illegal trades of sea turtles and their products.	i) Increased population of sea turtles.  j) Availability of records reflecting the true volume of illegal trade on sea turtles and their products.
3. PROMOTE SEA TURTLE RESCUE AND REHABILITATION ACTIVITIES.	a) Incorporate sea turtle rescue and rehabilitation activities into existing wildlife management, government agency and educational/research facilities.  b) Promote establishment of sea turtle stranding network.  c) Promote collaboration and information exchange among regional and national agencies and institutions during emergency or disaster situations (e.g. oil spill, turtle injuries)  d) Organize specialized training in sea turtle rescue and rehabilitation procedures just after network  e) Organize training for fishermen and enforcement personnel in the use of sea turtle-friendly fishing gears and relevant laws.	a) Improved sea turtle rescue and rehabilitation activities.  b) Sea turtle stranding network.  c) Established collaboration and updated information. - alert system through website IOSEA-MOU  d) Established rapid response team.  e) Knowledgeable fishermen and enforcement personnel.	a) Established rescue and rehabilitation facilities.  b) Minimum of one network per country.  c) Improved collaboration and information exchange.  d) At least two trainings per year per country.  e) At least two trainings per year per country.



**OBJECTIVE 3: STRENGTHEN RESEARCH AND MONITORING IN FORAGING HABITATS**

<b>Programs</b>	<b>Actions</b>	<b>Outputs</b>	<b>Indicators</b>
<b>1. INTENSIFY STUDIES ON SEA TURTLES AND THEIR FORAGING HABITATS.</b>	a) Compile, collate and document research information on sea turtles and their foraging habitats.	a) Country reports highlighting updated information, summarized data on foraging habitats and the species composition within each habitat.	• One report by each country per year.
	b) Assess current projects and methodology and continue/expand successful research.	b) A threat-analysis document leading to a prioritisation exercise and subsequent identification of key habitats and populations.	• At least one document per country on threats.
	c) Expand present surveys on major sea turtle populations and their foraging habitats based on the IUCN Marine Turtle Specialist Group standard methods.	c) A shared database to accommodate research and monitoring information in keeping with standard international protocols.	• One shared database.
	d) Prioritise major foraging sites in each country and determine their research and management needs.	d) A complete list of regional major foraging sites and the research and management activities needed to be carried out. Include in IOSEA-MOU database site network	• At least two research activities within 5 years per country
	e) Initiate long-term research and monitoring activities at key foraging habitats by each country.	e) Establishment of comprehensive scientific information on key foraging habitats.	• At least two research activities within 5 years per country
	f) Utilise genetic analysis to identify mixed stock of sea turtle populations in foraging habitats.	f) Mixed stock of sea turtle populations in foraging habitats were identified	• Complete report on mixed stock of sea turtle population in each key foraging habitats.
	g) Continue studies on sea turtle population dynamics (growth rate, sex ratio, population size, survival rates, etc.), diet and their migration patterns.	g) Comprehensive information on the status of sea turtles' biology and populations and their migration patterns in key foraging sites.	• One national report on sea turtle biology & population and migration pattern in key foraging sites of each country.
	h) Mitigate the impacts of natural and anthropogenic factors to sea turtle survival in their foraging habitats.	h) Mitigation measures to reduce sea turtle mortality due to natural impacts and anthropogenic factors in foraging habitats are implemented.	• Significant reduction
	i) Determine the genetic origin of sea turtles confiscated from poaching incidents and by-catch in foraging habitats.	i) The natal origin of sea turtles confiscated from poaching and by-catch in foraging habitats were identified.	• Complete report on the natal origin of sea turtles confiscated from poaching and by-catch in key foraging habitats from each country.
	j) Analyse information on tagging, satellite tracking and foraging habitat using remote sensing and GIS systems.	j) Determining the migration patterns or routes of sea turtles at key foraging habitats in the region.	• Shared information on tagging by using remote sensing and GIS systems.



Programs	Actions	Outputs	Indicators
<b>2. STRENGTHEN COLLABORATIVE RESEARCH AND MONITORING ACTIVITIES IN FORAGING HABITATS.</b>	a) Intensify collaborative research among government agencies, NGOs and other related stakeholders within a country.	a) Published documentations.	• At least one document per country.
	b) Intensify efforts on regional collaborations towards research and monitoring activities of sea turtles in foraging habitats.	b) Increase awareness among the scientific communities through regular meetings and fora.	• At least one meeting in the region every two years.
	c) Develop collaborative efforts to assess the impacts of by-catch of sea turtles through fishing activities and ghost fishing (caught incidentally in ghost net).	d) Strengthened the national and regional collaboration efforts on a by-catch through fishing activities and ghost fishing.	• One national report once per year • One regional report every two years.
	e) Promote publication and dissemination of research findings.	e) Published research findings and dissemination to member countries.	• At least one report by each country per year • One regional scientific report every two years
	a) Develop/utilize an updated regional database on sea turtles and their foraging habitats.	a) Updated regional database.	• One shared regional database • -IOSEA-MOU database
3. EXCHANGE INFORMATION	b) Develop a clearing house mechanism to disseminate information to relevant stakeholders within the Southeast Asian countries.	b) A clearing house mechanism. - IOSEA-MOU website	• One regional clearing house mechanism.



**OBJECTIVE 4: INCREASE COMMUNITY PARTICIPATION THAT MAY HAVE DIRECT IMPACT ON FORAGING HABITAT THROUGH INFORMATION DISSEMINATION AND EDUCATION.**

<b>Programs</b>	<b>Actions</b>	<b>Outputs</b>	<b>Indicators</b>
<b>1. PROMOTE STAKEHOLDERS PARTICIPATION.</b>	a) Involve stakeholders in planning and implementation of conservation and management efforts.  b) Educate public on sea turtle conservation measures.	i) Regular meetings among stakeholders. ii) One planned project /activity iii) Consensus among stakeholders in formulating management measures.  b) Awareness campaigns and assessments	<ul style="list-style-type: none"> <li>At least two stakeholder meetings per year per country.</li> <li>One project document.</li> </ul> <ul style="list-style-type: none"> <li>Increased awareness by at least 10% per year.</li> </ul>
	c) Incorporate local knowledge and best applicable traditional practices into management strategies of sea turtles and their foraging habitats.	c) More comprehensive and improve management measures.	<ul style="list-style-type: none"> <li>More than 95% acceptance by stakeholders on management measures.</li> </ul>
<b>2. EVALUATE IMPACTS OF COMMUNITY PRACTICES ON SEA TURTLE POPULATIONS AND THEIR FORAGING HABITATS.</b>	a) Evaluate and mitigate the impacts of local villagers on sea turtle foraging habitats, including , coral reefs and seagrass beds.  b) Promote the best fishing practices to minimize negative impacts to sea turtle populations and their foraging habitats.  c) Encourage immediate release of accidentally-caught sea turtles among fisherman through incentives schemes.  d) Encourage reporting of tag recovery information by fisherman through incentives schemes and sharing of such information amongmanagement and research agencies and NGOs.  e) Identify and promote suitable alternative livelihood for local communities engaging in activities detrimental to sea turtles and their foraging habitats.	a) Sites assessments and mitigation measures.  b) Workshops and promotion campaign.  c) Programs on release of sea turtles.  d) More information on origins of turtles coming to the foraging habitats.  e) Suitable alternative livelihood.	<ul style="list-style-type: none"> <li>One updated report per year per country.</li> </ul> <ul style="list-style-type: none"> <li>At least one workshop per year per country.</li> </ul> <ul style="list-style-type: none"> <li>At least one program per year.</li> <li>Significant reduction of mortality in accidentally-caught sea turtles</li> </ul> <ul style="list-style-type: none"> <li>At least one report per country implementing tagging program.</li> </ul> <ul style="list-style-type: none"> <li>Significant reduction on harmful activities.</li> </ul>

**OBJECTIVE 5: STRENGTHEN INTEGRATED MANAGEMENT OF SEA TURTLES AT FORAGING HABITATS.**

Programs	Actions	Outputs	Indicators
<b>1. COOPERATION AND PROMOTION OF INFORMATION EXCHANGE</b>	<p>a) Strengthen regional collaboration for conservation and management of sea turtles at foraging habitats.</p> <p>b) Promote the establishment of sea turtle foraging habitats as marine protected areas.</p> <p>c) Encourage where appropriate, the development of transboundary sea turtle foraging habitats as marine protected areas.</p> <p>d) Strengthen collaboration with relevant agencies to obtain comprehensive data on incidental-catches of sea turtles.</p>	<p>a) Improved conservation and management of sea turtles at foraging habitats.</p> <p>b) Sea turtle foraging habitats gazetted as marine protected areas.</p> <p>c) Transboundary sea turtle foraging habitats gazetted as marine protected areas.</p> <p>d) Improved data collection on incidental-catches of sea turtles in the region.</p>	<ul style="list-style-type: none"><li>• Guidelines on conservation and management of sea turtles at foraging habitats in place.</li><li>• At least two foraging habitat cited in IOSEA site network.</li><li>• At least one sea turtle foraging habitat gazetted as MPA within 5 years.</li><li>• At least one transboundary sea turtle foraging habitat, where appropriate, cited in IOSEA site network.</li><li>• The transboundary sea turtle foraging habitat, where appropriate, declared as protected area.</li></ul> <p>• Updated data or information on incidental-catches of sea turtles in the region.</p>
<b>2. ENFORCEMENT AND LEGISLATION</b>	<p>a) Review existing policies and laws to address gaps in conservation and management of sea turtles at their foraging habitats.</p> <p>b) Strengthen enforcement on fishing activities that is detrimental to sea turtles at their foraging habitats.</p> <p>c) Harmonize national policies and regulations on conservation and management of sea turtles in accordance with national legislation and international agreements.</p> <p>d) Encourage prior informed consent among appropriate agencies in protecting sea turtle at their foraging habitats.</p>	<p>a) Revised policies and laws that include conservation and management of sea turtles at their foraging habitats.</p> <p>b) Reduction in non compliance with existing fishing regulations.</p> <p>c) Harmonized policies and regulations in accordance with national legislation and international agreements.</p> <p>d) Increase transparency in implementing activities on protection of sea turtle at their foraging habitats.</p>	<ul style="list-style-type: none"><li>• Identified gaps are resolved.</li><li>• Significant reduction of non compliance.</li><li>• Harmonized policies and regulations in place.</li><li>• Significant reduction of conflicts among stakeholders</li></ul>

Programs	Actions	Outputs	Indicators
<b>2. ENFORCEMENT AND LEGISLATION</b>	e) Implement effective measures to reduce poaching of sea turtles at their foraging habitats.	e) Identified gaps in enforcement capabilities, and training of enforcement officers.	• Significant reduction of poaching activities in sea turtle at their foraging habitats within 5 years.
	f) Exchange and discuss information on compliance and trade issues at regular intervals, such as through annual reporting and regional meeting.	f) Resolved issues related to illegal trade of sea turtles and by products.	• Significant reduction of illegal trade of sea turtles and by products.
<b>3. IMPLEMENTATION OF INTERNATIONAL LEGAL INSTRUMENTS.</b>	a) Review, clarify and facilitate compliance with obligations under relevant signed international agreements.	a) Obligations are complied to by countries.	• Greater efficiency in conservation and management of sea turtle in their foraging habitats.



**OBJECTIVE 6: SECURE FUNDING FOR SEA TURTLE CONSERVATION AND MANAGEMENT**

Programs	Actions	Outputs	Indicators
<b>1. SECURING FUNDINGS FOR SEA TURTLE CONSERVATION AND MANAGEMENT</b>	<p>a) Identify available funding sources including government and inter-governmental agencies, non profit organizations, scientific research grants and private foundations.</p> <p>b) Develop capacity at national level to prepare proposals which secure funding from government and inter-governmental programs and non-government institutions.</p> <p>c) Develop regional proposals for fund raising which address multi-sectoral and integrated conservation approaches.</p>	<p>a) Database of funding sources are created.</p> <p>b) Capacity to prepare proposals</p> <p>c) Suitable proposals are submitted to UNEP-GEF and others.</p>	<ul style="list-style-type: none"><li>• All known funding sources are identified.</li><li>• Trained personnel to prepare proposals for funding.</li><li>• Proposals are accepted and fund secured within 3 years.</li></ul>

**Annex 21**

**REMARKS**

*By Mr. Ahmad Hazizi bin Aziz  
Co-chair for the ASEAN Sectoral Working Group on Fisheries*

My SEAFDEC Co-chair, *Dr. Chumnarn Pongsri*,  
Distinguished delegates from the ASEAN-SEAFDEC Member Countries and the ASEAN Secretariat,  
SEAFDEC Senior Officials,  
Ladies and Gentlemen,

First and foremost, on behalf of the ASEAN co-chair allow me to extend my gratitude to all Countries Members for your active participation and teamwork in making this meeting a productive one.

I would like to highlight some of the main issues raised by Countries Members during this meeting. Firstly, it is commendable efforts between ASEAN-SEAFDEC Member Countries to cooperate and stand together in international forum to ensure that our voices are heard on specific issues, needs and aspiration. I hope the ASEAN Secretariat with the assistance from SEAFDEC Secretariat can support the wish of Member Countries on this matter and will facilitate to streamline the best platform and instruments for us to be heard as ONE united front whether as an ASEAN or ASIA bloc depending on the international meeting where we will be presented.

Distinguished Delegates, Ladies and Gentlemen,

The Countries Members also point out the importance for ASEAN secretariat to be present during this meeting and other related meeting to ensure all issues especially in regards to ASEAN Directives can be further addressed and clarified.

Distinguished Delegates, Ladies and Gentlemen,

My sincere thank again goes to SEAFDEC for hosting this meeting in Ubon Ratchathani, Thailand, and without further ado, I invite the SEAFDEC Co-chair, *Dr. Chumnarn Pongsri*, to officially closed the meeting.

Thank you.



**Annex 22**

**REMARKS**

*By Dr. Chumnarn Pongsri  
Co-chair for the Southeast Asian Fisheries Development Center*

Co-chair for SEAFDEC,  
Distinguished delegates from the ASEAN-SEAFDEC Member Countries and the ASEAN Secretariat,  
SEAFDEC Senior Officials,  
Ladies and Gentlemen, Good Afternoon!

First of all, on behalf of the Co-chair for SEAFDEC of the 17<sup>th</sup> Meeting of the Fisheries Consultative Group of the ASEAN-SEAFDEC Strategic Partnership, please allow me to thank the representative from Malaysia *Mr. Ahmad Hazizi Bin Aziz*, for chairing with me the Seventeenth Meeting of FCG/ASSP. Please allow me to also thank the representatives from the ASEAN-SEAFDEC Member Countries and their respective delegations for their active cooperation and support during our deliberations. Your active involvement surely led us to the successful conclusion of the Meeting with significant recommendations. We hope that our recommendations would be submitted by our ASEAN counterpart, to the higher authorities of the ASEAN for consideration and endorsement. In addition, I would also like to express our appreciation to all of you for your constructive comments and suggestions as well as policy recommendations on several aspects especially with regards to the progress of implementation and development of the ASEAN-SEAFDEC regional programs.

Lastly, on behalf of the Fisheries Consultative Group of the ASEAN-SEAFDEC Strategic Partnership, I would also wish to thank the SEAFDEC Training Department and staff for the excellent arrangements of our Meeting. Without further ado, I now declare the Seventeenth Meeting of the Fisheries Consultative Group of the ASEAN-SEAFDEC Strategic Partnership closed. For those who will be travelling out of this beautiful city of Ubon Ratchathani and back to their respective countries, we wish you a happy and successful trip.

Once again, I thank you very much for your active participation during our two-day Meeting. Good day!