

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

**Yogyakarta, Indonesia  
1-2 December 2016**



**THE SECRETARIAT  
SOUTHEAST ASIAN FISHERIES DEVELOPMENT CENTER**

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## **BIBLIOGRAPHIC CITATION**

SEAFDEC. 2017. Report of the Nineteenth Meeting of the ASEAN-SEAFDEC Fisheries Consultative Group of the ASEAN-SEAFDEC Strategic Partnership (FCG/ASSP). Southeast Asian Fisheries Development Center, Bangkok, Thailand. 193 pp.

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## EXECUTIVE SUMMARY

1. The Nineteenth Meeting of the Fisheries Consultative Group of the ASEAN-SEAFDEC Strategic Partnership (19FCG/ASSP) was convened in Yogyakarta, Indonesia from 1 to 2 December 2016, and was co-chaired by the representative from the Philippines as the Chairperson of the ASEAN Sectoral Working Group on Fisheries (ASWGFi) and the Secretary-General of SEAFDEC. The 19FCG/ASSP was attended by representatives from the ASEAN-SEAFDEC Member Countries, namely: Brunei Darussalam, Indonesia, Japan, Lao PDR, Malaysia, Myanmar, Philippines, Singapore, Thailand, and Viet Nam, and SEAFDEC officials led by the Secretary-General. The 19FCG/ASSP reviewed the progress and developments of the programs, projects and activities under the FCG/ASSP Mechanism, and provided views and recommendations for their improvement and effective implementation.

2. On the **“Follow-up Actions to the Directives Given at SEAFDEC Meetings and ASEAN Bodies Related to Fisheries,”** the 19FCG/ASSP was informed on the follow-up actions undertaken by SEAFDEC in response to the directives of the SEAFDEC Council during its 48<sup>th</sup> Meeting and the Fisheries Consultative Group of the ASEAN-SEAFDEC Strategic Partnership (FCG/ASSP) during its 18<sup>th</sup> Meeting. The 19FCG/ASSP was also informed on the adoption of the Strategic Plan of Action on ASEAN Cooperation in Fisheries (2016-2020), as well as on the ASEAN Regional Plan of Action for the Management of Fishing Capacity (RPOA-Capacity), and the Regional Guidelines on Traceability System for Aquaculture Products in the ASEAN Region by the 38<sup>th</sup> Meeting of the ASEAN Ministers on Agriculture and Forestry (38AMAF), and that the 38AMAF also took note of the Joint ASEAN-SEAFDEC Declaration on Regional Cooperation for Combating IUU Fishing and Enhancing the Competitiveness of ASEAN Fish and Fishery Products where the ASEAN Member States (AMSs) were encouraged to support the implementation of the 11 Key Actions stipulated in the Joint Declaration. The 19FCG/ASSP also noted the proposed development of the **“Common ASEAN Fisheries Policy”** in order to strengthen collective efforts for sustainable and responsible fisheries and food security towards the unification of the ASEAN Community.

3. For the **“FCG/ASSP Programs for the Year 2016-2017,”** the 19FCG/ASSP endorsed the progress and achievements of twenty-three (23) projects implemented under the FCG/ASSP in 2016 and the programs of activity for 2017, of which twenty-one (21) have been categorized under five Program Thrusts, and two (2) under the Special Projects. The 19FCG/ASSP also noted the pipeline project on **“Enhancing Sustainable Utilization and Management Scheme of Tropical Anguillid Eel Resources in Southeast Asia,”** which would be placed under the FCG/ASSP mechanism once its funding is secured.

4. The 19FCG/ASSP noted the **“Progress of the Proposals Implemented under the ASSP”** and provided recommendations to improve their implementation:

- Progress on the *“ASEAN-SEAFDEC Cooperation in the Implementation of the ASEAN Integrated Food Security (AIFS) Framework”* was not discussed since the ASEAN Secretariat was not represented during the 19FCG/ASSP.
- Progress on the *“ASEAN Fisheries Consultative Forum (AFCF)”* was not discussed in view of the absence of the representative from the ASEAN Secretariat during the 19FCG/ASSP.
- On the *“ASEAN Shrimp Alliance (ASA),”* the 19FCG/ASSP noted the postponement of the 7<sup>th</sup> Meeting of the ASA from August 2016 to January 2017.
- As for the *“ASEAN Fisheries and Aquaculture Conference and Exposition 2016: ASEAN Seafood for the World and the 11<sup>th</sup> Asian Fisheries and Aquaculture Forum and Exhibition: Asian Food Security for the World”* organized on 4-6 August 2016 in Bangkok, Thailand, the 19FCG/ASSP took note of the attendance of over 500 participants from all over the world, including delegates from the ASEAN-SEAFDEC Member Countries. With regards to the hosting of the 2<sup>nd</sup> ASEAN Fisheries and Aquaculture and Exposition in 2018 which was initially offered by Viet Nam, the 19FCG/ASSP was informed that this matter would be internally discussed with the new Minister for Agriculture and Rural Development of Viet Nam for confirmation and that the final decision would be relayed to the AMSs.

- With regards to the “*Results of the High-Level Consultation on Regional Cooperation in Sustainable Fisheries Development Towards the ASEAN Economic Community: Combating IUU Fishing and Enhancing the Competitiveness of ASEAN Fish and Fishery Products*” organized on 3 August 2016 in Bangkok, Thailand and the adoption of the “Joint ASEAN-SEAFDEC Declaration on Combating IUU Fishing and Enhancing the Competitiveness of ASEAN Fish and Fishery Products,” the 19FCG/ASSP was informed that Joint ASEAN-SEAFDEC Declaration was subsequently noted by the 38AMAF.
- For the development of the “*Concept Proposal Towards the Development of ASEAN Common Fisheries Policy*,” of which SEAFDEC was requested during the High-level Consultation to provide the appropriate platform to facilitate the discussion, the 19FCG/ASSP was informed that 38AMAF subsequently encouraged the AMSs to develop the “ASEAN Common Fisheries Policy” and tasked the ASEAN Secretariat to seek support from regional and international organizations in the development of such ASEAN Common Fisheries Policy. After discussion and deliberation, the 19FCG/ASSP supported the proposal of the representative from Thailand to host a kick-off discussion among the AMSs on this matter in order to come up with concrete ideas and prioritized issues for deliberation during the next Meeting of the ASWGF.

5. On the “**Policy Consideration on International Fisheries-related Issues**,” the 19FCG/ASSP took note of the progress and provided the following recommendations:

- **CITES issues: Regional Implementation Support (CoP17)**

For the development of the ASEAN-SEAFDEC Common Positions on the Inclusion of the Commercially-exploited Aquatic Species in the Appendices of the Convention on the International Trade in Endangered Species of Wild Flora and Fauna (CITES), and on the results of the discussions during the 17<sup>th</sup> Conference of the Parties (CITES CoP17), the 19FCG/ASSP agreed that the AMSs should exert more efforts in making a unified voice during the voting process at future CITES CoP in order to make the voice of fisheries strong enough to counter certain proposals.

- **Combating IUU Fishing**

- On the “*Regional Fishing Vessel Records for Vessels 24 meters in Length and Over*,” the 19FCG/ASSP noted the way forward for the implementation of the RFVR, particularly in updating the data in the RFVR Database, as well as the proposed organization of a workshop in 2017 to evaluate the implementation of the RFVR 24 meters in length and over, and to discuss the possibility of developing RFVR for vessels below 24 meters in length. The 19FCG/ASSP also took note of the recommendations made by the 39PCM on the RFVR Database, particularly on the possibility of sharing the information in the Database with relevant national agencies of the AMSs, in order to promote the maximum utilization of the Database by the AMSs, as well as the ways and means of enhancing the utilization of the RFVR Database by the AMSs.
- In connection with the progress in the development of the “*ASEAN Catch Documentation Scheme (ACDS)*,” the 19FCG/ASSP was informed that in addition to the pilot testing of the ACDS initially planned to be undertaken in Brunei Darussalam, pilot-testing activities on the application of the ACDS would also be carried out in Thailand and Malaysia under the USAID Oceans and Fisheries Partnership Project (USAID Oceans).
- On the “*ASEAN Guidelines for Preventing the Entry of Fish and Fishery Products from IUU Fishing Activities into the Supply Chain*,” the 19FCG/ASSP noted the progress made by MFRDMD in supporting the AMSs in the implementation of the Guidelines which was endorsed by the 37AMAF in 2015, as well as on the proposal raised during the 39PCM for SEAFDEC to explore the possibility of transforming the “ASEAN Guidelines for Preventing the Entry of Fish and Fishery Products from IUU Fishing Activities into the Supply Chain” into a mandatory instrument to ensure its future implementation and eventual elimination of the entry of illegal fish and fishery products into the supply chain.

- With regards to the “*Regional Cooperation for Implementation of the Port State Measures,*” the 19FCG/ASSP took note of the key recommendations on the actions needed for the implementation of the PSM in the region as a result of the Workshop organized in November 2016. In this regard, SEAFDEC was asked to consider conducting a regional review of the national laws and regulations of the AMSs taking into consideration the non-equivalence of the capacity of the respective countries in order that the countries could enhance their capacity to fully support the implementation of PSM Agreement. The AMSs were also requested to include in the implementation of PSM the landing of catch from neighboring countries’ fishing vessels, taking into consideration the difficulties expressed by Thailand in accommodating large number of small-scale carrier vessels from neighboring countries that land their catches in Thailand. SEAFDEC was therefore requested to assist the AMSs in this aspect by developing risk-based inspection protocols to determine the level of inspections required.
- The 19FCG/ASSP noted the progress on the development of the “*Regional Plan of Action for Managing Fishing Capacity (RPOA-Capacity)*” which was endorsed by the 38AMAF in 2016, and encouraged the AMSs to implement the RPOA-Capacity accordingly.
- On the “*Development of the ASEAN Guidelines on Implementation of Labor Standards for the Fisheries Sector,*” the plan to organize an experts meeting for drafting of the Guidelines and RTC to finalize the guidelines in 2017 was noted by the 19FCG/ASSP. In this connection, invitation letters to such events should be issued not only to fisheries officials of the AMSs but also to other relevant agencies to ensure the practicality and effective implementation of the Guidelines by concerned agencies. In addition, for the development of such Guidelines, there should be clear scope and purpose that suit the regional specificity and requirements. While recalling the recommendations of the 48<sup>th</sup> Meeting of the SEAFDEC Council that SEAFDEC Secretariat should consult with the ASEAN Secretariat on the appropriate platform where issues on labor could be raised and also to involve the appropriate labor agencies in the development of the said Guidelines, the 19FCG/ASSP also agreed that technical advice from consultative team or academes capable of handling social issues should be sought before SEAFDEC embarks on any activity to develop the Guidelines.

- **Promotion of Sustainable Fisheries in the ASEAN Region**

- The 19FCG/ASSP took note of the progress made by SEAFDEC in the implementation of the “*Regional Plan of Action for Sustainable Utilization of Neritic Tunas in the ASEAN Region: Results on the Stock Assessment of Longtail Tuna and Kawakawa,*” as well as the results of the Scientific Working Group (SWG) on Stock Assessment of the longtail tuna and kawakawa, as well as the future plan of activities to be implemented in 2017-2018.
- While noting the progress of the implementation of the “*Management Strategies and Measures for Purse Seine Fishery in the South China Sea,*” the 19FCG/ASSP requested the participating Member Countries to submit their respective updated purse seine catch and effort data to MFRDMD as soon as possible.
- On the “*Management Strategies and Measures for Purse Seine Fishery in the South China Sea Progress on Conservation and Management of Catadromous Eel Resources and Promotion of Sustainable Aquaculture in the Southeast Asia,*” the 19FCG/ASSP noted the case study and series of technical consultations since 2013 that were conducted by SEAFDEC based on the Regional Policy Recommendations on Conservation and Management of Eel Resources and Promotion of Sustainable Aquaculture endorsed by ASWGFi in 2015. In this connection, SEAFDEC was requested to provide technical support to the Member Countries on the establishment of joint conservation and management of catadromous eels, of which funding should be sourced, *e.g.* from the ASEAN Secretariat, while resource persons could also be sought from outside Southeast Asia and in other regions such as from the EU.
- The 19FCG/ASSP noted the “*Progress on the Strategic Plans of Action for Fishery Resources Enhancement in the Southeast Asian Countries,*” especially those related to the Policy

Recommendations and Strategic Plans of Action for the Implementation of Fisheries Resources Enhancement Activities in the Southeast Asian Region.

- On the “*Policy Recommendations on “Early Mortality Syndrome” (EMS) or “Acute Hepatopancreatic Necrosis Disease” (AHPND) and Other Transboundary Aquatic Animal Health Diseases,*” the 19FCG/ASSP noted the progress made in aquatic animal health management and endorsed the recommendations on addressing the issues on EMS and other transboundary diseases. Considering that of the six new EMS found on shrimps in the region only one disease could be monitored and diagnosed, AQD was requested to expand its surveillance network to cover all diseases and that AQD should seek funding to support such expansion.
- With regards to the “*Regional Approaches for Securing Sustainable Small-scale Fisheries and Way Forward for the Southeast Asian Region,*” the 19FCG/ASSP took note of the results of the Regional Technical Consultation on Development of Regional Guidelines for Small-Scale Fisheries (SSF) in the Southeast Asian Region organized in June 2016, as well as the results of subsequent participation of SEAFDEC in relevant events, which would pave the way towards the development of regional approach to support the implementation of the SSF Guidelines in the region.

- **Food Safety Issues**

- While noting that the “*Regional Guidelines on Traceability System for Aquaculture Products in the ASEAN Region*” was adopted by the 38AMAF, the 19FCG/ASSP requested the relevant national agencies in the AMSs to support and promote the implementation of the Guidelines.

- **Other Emerging Issues**

- The 19FCG/ASSP expressed concerns on the conduct of the FCG/ASSP meetings, considering that: participants of the FCG/ASSP meetings also participate in the PCM while discussions on the issues seem to be repeating; the ASEAN Secretariat is usually not represented during the several meetings of FCG/ASSP; and the progress reported at FCG/ASSP meetings focused only on the submission of documents through relevant mechanisms of the ASEAN and SEAFDEC during the year. In order to improve future FCG/ASSP meetings, policy documents already endorsed under the ASEAN mechanism should be dropped from the agenda of succeeding FCG/ASSP meetings; and the Member Countries should send officers from appropriate levels to attend these two meetings, *e.g.* National Coordinators for PCM, and policy-maker level for FCG/ASSP meetings.
- While asking the SEAFDEC Secretariat to check the availability of the ASEAN Secretariat before fixing the dates of the FCG/ASSP meetings to ensure their participation in the discussions on the ASEAN-SEAFDEC collaborative activities, the 19FCG/ASSP also agreed to recommend to ASWGF<sub>i</sub> for its Chair to send a letter requesting the ASEAN Secretariat to reaffirm its commitment to support the FCG/ASSP mechanism.
- The 19FCG/ASSP also noted that the limited participation of SEAFDEC representatives in meetings to discuss the activities under the ASEAN mechanism, *e.g.* ASWGF<sub>i</sub>, tends to impair the appropriate coordination of works between SEAFDEC and the relevant sectors.

6. The Report of the 19FCG/ASSP was adopted on 2 December 2016.

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**REPORT OF THE 19<sup>TH</sup> MEETING OF THE FISHERIES CONSULTATIVE GROUP OF THE  
ASEAN-SEAFDEC STRATEGIC PARTNERSHIP (FCG/ASSP)**

**1-2 December 2016, Yogyakarta, Indonesia**

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**INTRODUCTION**

1. The Nineteenth Meeting of the Fisheries Consultative Group (FCG) of the ASEAN-SEAFDEC Strategic Partnership (ASSP) was organized in Yogyakarta, Indonesia from 1 to 2 December 2016. The Meeting was aimed at discussing the programs and activities implemented by SEAFDEC in 2016 under the FCG/ASSP Mechanism and the proposed activities for 2017 as endorsed by the SEAFDEC Program Committee at its Thirty-ninth Meeting on 28-30 November 2016, the progress of other proposals implemented under the ASSP Framework as well as the 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, namely: Brunei Darussalam, Indonesia, Japan, Lao PDR, Malaysia, Myanmar, Philippines, Singapore, Thailand, and Viet Nam together with their respective delegations, as well as the SEAFDEC Secretary-General, Deputy Secretary-General and senior officials of the SEAFDEC Secretariat and Departments. The List of Participants appears as **Annex 1**.

**I. OPENING OF THE MEETING**

2. The Meeting was co-chaired by the representative from the Philippines, *Mr. Nestor Domenden* on behalf of the current focal point of the ASEAN Sectoral Working Group on Fisheries (ASWGF<sub>i</sub>) for the Philippines *Mr. Sammy Malvas*, and the Secretary-General of SEAFDEC, *Dr. Kom Silapajarn*. The Co-chair for the ASEAN welcomed the participants to the Meeting and highlighted that the FCG/ASSP is an important platform for moving forward to achieve sustainable fisheries in the Southeast Asian region particularly in line with Resolution and Plan of Action on Sustainable Fisheries for Food Security for the ASEAN Region Towards 2020. Being convinced that the efforts being done by the AMSs and SEAFDEC are in the right direction, he expressed the confidence that the goal of sustainable fisheries in the region could be easily achieved. He added that the various programs and activities under the FCG/ASSP Mechanism, especially those related to management strategies/measures, combating IUU fishing, sustainable fishing and aquaculture, climate change and mitigation measures, catch documentation, and traceability of fish products are among the most important aspects that would move forward the region's fisheries development towards sustainability. After taking the opportunity to congratulate SEAFDEC/IFRDMD led by its Department Chief as well as the Ministry of Marine Affairs and Fisheries of Indonesia for graciously hosting the 19<sup>th</sup> Meeting of the FCG/ASSP, he declared the Meeting open. His Opening Remarks appears as **Annex 2**.

**II. ADOPTION OF THE AGENDA**

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

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

**3.1 Follow-up Actions to the Directives Given at the Forty-eighth Meeting of the SEAFDEC  
Council and the Eighteenth Meeting of the Fisheries Consultative Group of the ASEAN-  
SEAFDEC Strategic Partnership**

4. The Meeting was informed of the follow-up actions undertaken by SEAFDEC in response to the directives of the SEAFDEC Council during its 48<sup>th</sup> Meeting on 4-8 April 2016 and of the Fisheries Consultative Group of the ASEAN-SEAFDEC Strategic Partnership (FCG/ASSP) during its 18<sup>th</sup> Meeting on 26-27 November 2015 shown as **Annex 4** and **Annex 5**, respectively, which were presented to the Meeting by the representative from the SEAFDEC Secretariat.

5. With regards to the proposed Workshop on Ecosystem Approach to Fisheries Management (EAFM): Risk Assessment of the Longtail Tuna and Kawakawa in the Southeast Asian Region to be held in Kuala Lumpur, Malaysia on 19-21 December 2016, the Chief of MFRDMD informed the Meeting that MFRDMD is still waiting for the nominations of participants from Brunei Darussalam, Indonesia, Myanmar, and the Philippines, and looked forward to receiving the nominations from these countries as soon as possible.

### **3.2 Follow-up Actions to the Directives Given at ASEAN Bodies Related to Fisheries During 2016**

6. The FCG/ASSP Meeting took note of the results of the discussions at ASEAN Bodies Related to Fisheries from October 2015 to October 2016 which include the 24<sup>th</sup> Meeting of the ASEAN Sectoral Working Group in Fisheries (24ASWGFi), the Special Senior Officials Meeting of the 37<sup>th</sup> ASEAN Ministers on Agriculture and Forestry (SSOM 37AMAF), and the 38<sup>th</sup> Meeting of the ASEAN Ministers on Agriculture and Forestry (38AMAF), particularly the decisions and recommendations that are relevant to SEAFDEC activities, as presented by *Mr. Nestor Domenden* in his capacity as the Chairperson of the 24ASWGFi. His presentation appears as **Annex 6**.

7. Specifically, the Meeting was informed of the adoption of the Strategic Plan of Action on ASEAN Cooperation in Fisheries (2016-2020) by the 38AMAF, as well as two instruments developed by SEAFDEC in collaboration with the SEAFDEC Member Countries, namely: the ASEAN Regional Plan of Action for the Management of Fishing Capacity (RPOA-Capacity), and the Regional Guidelines on Traceability System for Aquaculture Products in the ASEAN Region. Moreover, the 38AMAF also took note of the adoption of the Joint ASEAN-SEAFDEC Declaration on Regional Cooperation for Combating IUU Fishing and Enhancing the Competitiveness of ASEAN Fish and Fishery Products which was adopted on 3 August 2016 in Bangkok, Thailand. During the 38AMAF, the ASEAN Member States (AMSs) were encouraged to support the implementation of the 11 Key Actions stipulated in the Joint Declaration, and to develop the “Common ASEAN Fisheries Policy” in order to strengthen collective efforts for sustainable and responsible fisheries and food security towards the unification of the ASEAN Community.

## **IV. ASEAN-SEAFDEC Strategic Partnership (ASSP) and Fisheries Consultative Group (FCG) Collaborative Programs for the Year 2016-2017**

### **4.1 Summary Report on the FCG/ASSP Collaborative Programs for the Year 2016-2017**

8. The Secretary-General of SEAFDEC, *Dr. Kom Silapajarn* in his capacity as Chairperson of the SEAFDEC Program Committee, informed the Meeting of the progress of the collaborative programs implemented by SEAFDEC under the Fisheries Consultative Group of the ASEAN-SEAFDEC Strategic Partnership (FCG/ASSP) Mechanism for 2016-2017, which were reviewed by the Thirty-ninth Meeting of the Program Committee of SEAFDEC (39PCM) held in Yogyakarta from 28 to 30 November 2016. The summarized results and recommendations of the 39PCM (**Annex 7**) were submitted to the 19<sup>th</sup> Meeting of the FCG/ASSP (19FCG/ASSP) for endorsement. After the discussion, the 19FCG/ASSP endorsed the progress and achievements of the programs under the FCG/ASSP Mechanism implemented in 2016 and the proposed programs for 2017, which would be submitted to the higher authorities of the ASEAN and SEAFDEC for consideration and endorsement.

9. The Meeting was also informed that SEAFDEC is developing another project on “Enhancing Sustainable Utilization and Management Scheme of Tropical Anguillid Eel Resources in Southeast Asia.” Still in the pipeline, the project proposal was submitted to Japan-ASEAN Integration Fund (JAIF) for possible funding support. As recommended during the 39PCM, SEAFDEC would serve as the proponent of this pipeline project, and once its funding is secured, the project would be placed under the FCG/ASSP Mechanism and should be implemented as soon as possible.

## **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**

10. Considering that the ASEAN Secretariat was not represented during the 19FCG/ASSP, the report on the progress of the “ASEAN-SEAFDEC Cooperation in the Implementation of the ASEAN Integrated Food Security (AIFS) Framework” was not discussed.

### **5.2 ASEAN Fisheries Consultative Forum (AFCF)**

11. Similarly, the report on the progress of the “ASEAN Fisheries Consultative Forum (AFCF)” was not discussed during the 19FCG/ASSP in view of the absence of the representative from the ASEAN Secretariat.

### **5.3 ASEAN Shrimp Alliance (ASA)**

12. The representative from Thailand as the Secretariat of the ASEAN Shrimp Alliance (ASA), informed the Meeting on the progress of activities under the ASA framework (**Annex 8**). In particular, he informed the Meeting that the 7<sup>th</sup> Meeting of the ASA which was originally scheduled in August 2016 was postponed to January 2017. The 7<sup>th</sup> ASA Meeting aims to update the current status of national shrimp standard development or alignment with the ASEAN Shrimp GAP, and other trade requirements.

13. During the discussion, the representative from the Philippines inquired about the linkage of the activities being carried out under the ASA with those of the ASEAN-Australia Development Cooperation Program (AADCP), specifically on the study of Mutual Recognition Models for the ASEAN Best Agricultural Practices, and on how shrimp culture practices of the region should comply with the abovementioned trade requirements in order that the ASEAN shrimps would be acceptable in Australia. In response, the representative from Thailand explained that the relevant results from the forthcoming meeting of the AADCP, especially on good aquaculture practices would be extracted for discussion during the 7<sup>th</sup> ASA Meeting scheduled in January 2017, in order to come up with the appropriate mechanism which would assure that shrimp culture practices in the AMSs comply with the international trade requirements.

### **5.4 Others**

#### ***5.4.1 ASEAN Fisheries and Aquaculture Conference and Exposition 2016: ASEAN Seafood for the World and the 11<sup>th</sup> Asian Fisheries and Aquaculture Forum and Exhibition: Asian Food Security for the World***

14. The representative from Thailand recalled that the proposal for the ASEAN Conference and Exposition was supported by the 21ASWGF and subsequently by the 34SSOM and AMAF in 2014, where Thailand offered to host the first Meeting in 2015. However, the event was postponed and eventually organized on 4-6 August 2016 at Bangkok International Trade and Exhibition Centre (BITEC) in Bangkok, Thailand in conjunction with the “11<sup>th</sup> Asian Fisheries and Aquaculture Forum (AFAF) and Exhibition: Asian Food Security for the World.” The Conference was attended by over 500 participants from all over the world, including delegates from the ASEAN-SEAFDEC Member Countries. The summary of the progress of this activity appears as **Annex 9**.

15. In the ensuing discussion, the representative from Viet Nam informed the Meeting about the initial offer of Viet Nam to host the 2<sup>nd</sup> ASEAN Fisheries and Aquaculture and Exposition in 2018, which was made by Viet Nam during the 37<sup>th</sup> Special SOM. However, she expressed the concern that there is a need to consult and inform the new Minister for Agriculture and Rural Development of Viet Nam about this matter and would inform the ASEAN Member States (AMSs) as soon as confirmation by the new Minister is obtained.

16. Furthermore, the representative from Thailand also shared the experience as organizers of the aforementioned 2016 event, especially on the need to carefully check and avoid the period with similar

types of exhibitions in various places of the world in organizing events, to ensure the maximum participation of exhibitors, especially in the important activities of any event. In this connection, he urged the AMSs to ensure the utmost involvement of exhibitors and maximum participation of stakeholders during the next Conference and Exposition to be organized in 2018.

17. While noting that the number of intra-regional trades within the ASEAN has been increasing during the past few years, the representative from Indonesia was of the view that the AMSs should ensure that their fish and fishery products comply with trade requirements. Therefore, it is necessary for the AMSs to strengthen their efforts in the implementation of relevant guidelines, particularly the ASEAN Catch Documentation Scheme and the ASEAN Guidelines for Preventing the Entry of Fish and Fishery Products from IUU Fishing Activities into the Supply Chain. He also supported the offer of Viet Nam to host the next Conference and Exposition in 2018.

#### ***5.4.2 Results of the High-Level Consultation on Regional Cooperation in Sustainable Fisheries Development Towards the ASEAN Economic Community: Combating IUU Fishing and Enhancing the Competitiveness of ASEAN Fish and Fishery Products***

18. The Meeting took note of the results of the “High-Level Consultation on Regional Cooperation in Sustainable Fisheries Development Towards the ASEAN Economic Community: Combating IUU Fishing and Enhancing the Competitiveness of ASEAN Fish and Fishery Products,” which was organized on 3 August 2016 in Bangkok, Thailand, particularly the adoption of the “Joint ASEAN-SEAFDEC Declaration on Combating IUU Fishing and Enhancing the Competitiveness of ASEAN Fish and Fishery Products.” The Meeting was also informed that the Joint ASEAN-SEAFDEC Declaration was subsequently noted by the 38<sup>th</sup> Meeting of the ASEAN Ministers on Agriculture and Forestry (38AMAF) on 6 October 2016 in Singapore, where AMSs were encouraged to support the implementation of the 11 Key Actions in the Joint Declaration in collaboration with regional and international collaborating organizations and agencies. The summary of the results of the High-Level Consultation appears as **Annex 10**.

19. During the discussion, the representative from Thailand expressed the appreciation of Thailand to the other AMSs for their active participation in the High-Level Consultation and for facilitating the adoption of the Joint Declaration.

#### ***5.4.3 Concept Proposal Towards the Development of ASEAN Common Fisheries Policy***

20. The Concept Proposal Towards the Development of ASEAN Common Fisheries Policy (**Annex 11**) was presented by the representative from SEAFDEC Secretariat, who recalled that during the High-level Consultation, the possibility of developing a “ASEAN Common Fisheries Policy” was raised and SEAFDEC was requested to provide the appropriate platform to facilitate the discussion on this aspect. When the issue was raised to the 38AMAF, AMAF encouraged the AMSs to develop the “ASEAN Common Fisheries Policy” in order to strengthen the collective efforts of the region for sustainable and responsible fisheries and food security towards the unification of ASEAN Community. In addition, AMAF gave the task of seeking support from regional and international organizations in the development of such ASEAN Common Fisheries Policy to the ASEAN Secretariat.

21. Meanwhile, the Common Fisheries Policy of the European Union was also presented during the Meeting as it could serve as an example for the development of such ASEAN Common Fisheries Policy but giving due consideration of the differences between the fisheries of EU and the AMSs. In the ensuing discussion, the Meeting acknowledged that under the ASEAN-SEAFDEC mechanism, several fisheries policy frameworks have been developed towards ensuring sustainable fisheries and combating IUU fishing in the Southeast Asian region, particularly the Resolution and Plan of Action Towards 2020, the Joint ASEAN-SEAFDEC Declaration, among others. Nevertheless, considering that results of scientific studies conducted by SEAFDEC during the recent years indicated that there are economically important fish species in the region that are commonly shared, this makes it necessary for SEAFDEC to move towards the development of joint management plan for such shared stocks in the sub-regional areas of Southeast Asia.

22. While expressing the gratitude to the SEAFDEC Secretariat for developing a draft proposal on the aforementioned aspect, the representative from Thailand reaffirmed his country’s support to the

recommendations made during the 39<sup>th</sup> Meeting of the SEAFDEC Program Committee that the development of the ASEAN Common Fisheries Policy should be based on existing regional fisheries policy frameworks particularly the Resolution & Plan of Action Toward 2020 and the Joint ASEAN-SEAFDEC Declaration. While acknowledging that the development of such common fisheries policy could take some time considering the developmental differences among the AMSs, he expressed the view that at this time, the AMSs should give their strong commitment to this matter in order to showcase to the international community that the AMSs can work together towards the sustainability of the region's fishery resources.

23. Nonetheless, the Meeting was of the view that the development of the ASEAN Common Fisheries Policy was originally tasked to the ASEAN Secretariat during the 38AMAF. Thus, the ASEAN Secretariat should be encouraged to take the preliminary actions on this matter. Considering however that the ASEAN Secretariat was not represented during the 19FCG/ASSP, the representative from Thailand suggested that a kick-off discussion on this matter should be made among AMSs to come up with concrete ideas and prioritized issues for discussion during the next meeting of the ASWGFi. In this connection, Thailand offered to host the said discussion in early 2017 in Thailand, while the other AMSs should identify the appropriate persons participating in such discussion in order that Thailand could issue the formal invitations. While supporting the proposal to organize the said discussion, the 19FCG/ASSP emphasized that such discussion should be conducted in accordance with ASEAN protocols.

24. The representative from Malaysia expressed the view that since issues related to the development of the ASEAN Common Fisheries Policy could be very broad, relevant international/regional organizations, *e.g.* FAO, EU should be involved in the discussion for them to share their views and experiences relevant to this matter. The representative from Indonesia, however, viewed that the discussion should involve mainly the fisheries experts in the region considering that they have better knowledge on the characteristics of fisheries in the region. Taking into consideration the recommendations of the representatives from Malaysia and Indonesia, the representative from Thailand suggested that the discussion could comprise two sessions: 1) Discussion involving third-party to obtain views and experiences; and 2) Discussion within the AMSs to obtain directives and way forward on the issue.

25. After the discussion, the Meeting was of the view that although the development of ASEAN Common Fisheries Policy would be undertaken under the ASEAN mechanism, SEAFDEC should subsequently report this matter to the SEAFDEC Council during its next Meeting as appropriate.

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

### **6.1 CITES Issues: Regional Implementation Support (CoP17)**

26. The Meeting noted the development of the ASEAN-SEAFDEC Common Positions on the Inclusion of the Commercially-exploited Aquatic Species in the Appendices of the Convention on the International Trade in Endangered Species of Wild Flora and Fauna (CITES), and the results of the discussions during the 17<sup>th</sup> Conference of the Parties (CITES CoP17) (**Annex 12**). The Meeting was also informed that based on the voting process of the Parties, the proposals for inclusion of *Alopias* spp. (thresher sharks), *Mobula* spp. (mobula or devil rays), *Carcharhinus falciformis* (silky shark), *Holacanthus clarionensis* (Clarion angelfish) and all species of nautilus into Appendix II of CITES, and down-listing of saltwater crocodile from Appendix I to Appendix II, were accepted.

27. In the ensuing discussion, the representative from Thailand expressed the appreciation to SEAFDEC for developing the Common Positions with the Member Countries that were reflected during the CITES CoP17. However, compared with the other regions of the world, *e.g.* EU, the effort of the Southeast Asian region appeared to be inadequate as the countries could not make a unified voice at the CITES CoP17. He pointed out that the weak point lies on the fact that most delegates come from different agencies and not from fisheries, making the voice of fisheries not strong enough to counter certain proposals. In this regard, he encouraged the AMSs to exert more efforts in making a unified voice during the voting process at future CITES CoP.

28. Meanwhile, on the query of the representative from the Philippines regarding the decision of CITES CoP17 about anguillid eels, it was explained that the proposal of the EU to implement eel resource

management was accepted until the next CITES CoP. In this connection, the representative from the Philippines informed the Meeting about the initiatives of the Philippines for the management of anguillid eels, and expressed the appreciation to SEAFDEC for coming up with activities aimed at the conservation and management of the eel species.

## **6.2 Combating IUU Fishing**

### ***6.2.1 Progress on Regional Fishing Vessel Records for Vessels 24 Meters in Length and Over***

29. The Meeting took note of the background and progress made by TD in improving the Regional Fishing Vessels Record (RFVR) for Vessels 24 meters in Length and Over (**Annex 13**), which was presented by the representative from TD. The Meeting specifically noted the way forward for the implementation of the RFVR, particularly in updating the data in the RFVR Database, and the conduct of a workshop in 2017 to evaluate the implementation of the RFVR 24 meters in length and over, and to discuss the possibility of developing RFVR for vessels below 24 meters in length. The Meeting also took note of the recommendations made by the 39PCM on the RFVR Database, particularly on the possibility of sharing the information in the Database with relevant national agencies of the AMSs, *e.g.* coastguards, in order to promote the maximum utilization of the Database by the AMSs, as well as the ways and means of enhancing the utilization of the RFVR Database by the AMSs.

30. With regard to the progress made in updating the information in the RFVR Database, the Meeting was informed that updated information had been submitted to TD by the AMSs, except Indonesia, Myanmar, Philippines, and Viet Nam. In this regard, the representative from Myanmar assured the Meeting that the country's focal point would be reminded to submit the information by the end of 2016. The representative from the Philippines also took note of the request and agreed to follow-up with the country's focal point on this matter.

31. The representative from Singapore sought clarification whether the 28 items on basic information required for the RFVR Database are sufficient enough to meet the requirements stipulated in Annex A (Information to be provided in advance by vessels requesting port entry) of the Port State Measures Agreement (PSMA). In this connection, she suggested that RFVR should be able to support the implementation of port State measures by the AMSs, in which case the information in the RFVR should be aligned with the requirements of the PSMA. SEAFDEC informed the meeting that the abovementioned issues would be discussed during the proposed Workshop which aims to evaluate the implementation of the RFVR Database.

### ***6.2.2 Progress on ASEAN Catch Documentation Scheme***

32. The Meeting took note of the progress in the development of the ASEAN Catch Documentation Scheme (ACDS), including the recommendations made during the 48<sup>th</sup> Meeting of the SEAFDEC Council on the ACDS, the progress made by SEAFDEC in the development of the electronic-ACDS and paper-type ACDS, and the plan for pilot testing of the ACDS in Brunei Darussalam in 2017 (**Annex 14**) as presented by the representative from the SEAFDEC Secretariat.

33. During the discussion, the representative from Singapore inquired whether significant changes had been made on the ACDS after the 48<sup>th</sup> Meeting of the SEAFDEC Council. In this regard, it was clarified that when the development of the electronic ASEAN Catch Documentation Scheme was started, change was made on the setting-up of the ACDS Secretariat which was originally proposed as a center for all AMSs. Since this was considered not appropriate, the ACDS would be managed by the respective countries instead. In addition, the format and contents of the Catch Declaration was also modified to match with the characteristics of fishing vessels of the ASEAN region.

34. As agreed during the 48<sup>th</sup> Meeting of the SEAFDEC Council, pilot-testing of the ACDS would be initially undertaken in Brunei Darussalam. However, the Meeting was informed that pilot-testing activities would also be carried out in Thailand and Malaysia on the application of the ACDS under the USAID Oceans and Fisheries Partnership Project (USAID Oceans). In this connection, the Meeting suggested that



the USAID Oceans should consult with the Department of Fisheries of Thailand and Department of Fisheries Malaysia to seek their confirmation on the pilot-testing of the ACDS in their respective countries.

### **6.2.3 Progress on ASEAN Guidelines for Preventing the Entry of Fish and Fishery Products from IUU Fishing Activities into the Supply Chain**

35. The Meeting noted the progress made by MFRDMD in supporting the AMSs in the implementation of the ASEAN Guidelines for Preventing the Entry of Fish and Fishery Products from IUU Fishing Activities into the Supply Chain (**Annex 15**), which was endorsed by the 37AMAF in 2015.

### **6.2.4 Progress on Regional Cooperation for Implementation of the Port State Measures**

36. The Meeting took note of the progress on the regional cooperation for the implementation of the Port State Measures (**Annex 16**) presented by the representative from the SEAFDEC Secretariat. The Meeting specifically noted the key recommendations on the actions needed for the implementation of the PSM in the region which were raised during the Workshop on Regional Cooperation for Implementation of Port State Measures to Improve Fisheries Management and Reduce IUU Fishing in Southeast Asia in November 2016.

37. In order to enhance the effectiveness in the implementation of the PSMA in the region, the representative from Viet Nam suggested that SEAFDEC should consider conducting a regional review of the national laws and regulations of the AMSs taking into consideration the non-equivalence of the capacity of the respective countries in order that the countries could enhance their capacity to fully support the implementation of PSMA. SEAFDEC was also asked to assist the AMSs in identifying and prioritizing the issues required for each article in the PSMA. In this regard, the Meeting was informed that SEAFDEC is planning to organize training course(s) on PSMA starting in 2017 to enhance the capacity of the countries in implementing the PSMA.

38. The representative from Thailand raised the concern on several designated ports in Thailand, *i.e.* 27 ports that are required to accommodate large number of small-scale carrier vessels from neighboring countries that land their catches in Thailand. Considering that these vessels are small in size and are numerous, and are not equipped with facilities for fish preservation, Thailand could not effectively undertake full inspection of these vessels in accordance with the PSMA requirements, *e.g.* giving notification 48 hours prior to entry into port, among others. He also requested the AMSs to include in the implementation of PSM the landing of catch from neighboring countries' fishing vessels.

39. The representative from Singapore shared the view that although all foreign fishing vessels would have to land their catches through designated ports, the appropriate number of vessels to be inspected is not specified in the PSMA, and it is up for the countries to decide. She therefore urged SEAFDEC to assist the AMSs in this aspect by developing risk-based inspection protocols to determine the level of inspections required.

### **6.2.5 Progress on Regional Plan of Action for Managing Fishing Capacity (RPOA- Capacity)**

40. Based on the report by the representative from SEAFDEC Secretariat, the Meeting took note of the progress on the development of the Regional Plan of Action for the Management of Fishing Capacity (RPOA-Capacity) (**Annex 17**), which was endorsed by the 38AMAF in 2016 and encouraged the AMSs to implement the RPOA-Capacity accordingly.

### **6.2.6 Development of the ASEAN Guidelines on Implementation of Labor Standards for the Fisheries Sector**

41. The representative from SEAFDEC Secretariat presented the progress in the development of the ASEAN Guidelines on Implementation of Labor Standards for the Fisheries Sector (**Annex 18**), including the plan to conduct experts meeting for drafting of the Guidelines and RTC to finalize the guidelines in 2017. The representative from Singapore suggested that in the conduct of such events, invitation letters should be issued not only to fisheries officials of the AMSs but also to other relevant agencies, such as

those involved in manpower, immigration, customs, port authorities, and so on, in order to assure the practicality and effective implementation of the Guidelines by concerned agencies.

42. The representative from Thailand shared the view that labor issue should not be totally included in the mandate of the Department of Fisheries. Nevertheless, EU recently considered labor issues in relation with those on combating IUU fishing, resulting in a complicated situation as there are several agencies involved on the wide range labor-related issues, *e.g.* labor, occupation, welfare, among others. It was also noted that in Thailand, fisheries labor are already registered in fisheries but tend to leave the occupation if given other livelihood opportunities. Considering such complicated process, he suggested that the issue on labor should not be dealt with by agencies responsible for fisheries alone.

43. The representative from Viet Nam made an observation that most obligations on fishing labor are based on the requirements of the International Labour Organization (ILO), and inquired whether the guidelines to be developed would focus on commercial fisheries or small-scale fisheries. She also suggested that if SEAFDEC is to develop the Guidelines, there should also be clear scope and purpose of the guidelines that suit the regional specificity and requirements. The SEAFDEC Secretariat took note of these queries and suggestions, for consideration during the conduct of the experts meeting that would be organized to discuss this matter.

44. The representative from Singapore shared the views expressed by Thailand and Viet Nam and added that consideration should be given on whether labor issue should be addressed by SEAFDEC and whether it is within SEAFDEC's mandate. He recalled the recommendations of the 48<sup>th</sup> Meeting of the SEAFDEC Council that SEAFDEC Secretariat should consult with the ASEAN Secretariat on the appropriate platform where issues on labor could be raised and also to involve the appropriate labor agencies in the development of the said guidelines.

45. The representative from the Philippines shared the same concern with Thailand on the possibility that SEAFDEC might face serious difficulty in dealing with labor issues as these are beyond its capacity, considering that this also relate to issues on crime committed at sea. He suggested that the assistance from consultative team or academes capable of handling social issues should be sought to assist and provide technical assistance before SEAFDEC embarks on the activity to develop the guidelines.

### **6.3 Promotion of Sustainable Fisheries and Aquaculture in ASEAN Region**

#### ***6.3.1 Regional Plan of Action for Sustainable Utilization of Neritic Tunas in the ASEAN Region: Results on the Stock Assessment of Longtail Tuna and Kawakawa***

46. The Meeting took note of the progress made by SEAFDEC in the implementation of the Regional Plan of Action for Sustainable Utilization of Neritic Tunas in the ASEAN Region, results of the Scientific Working Group (SWG) on Stock Assessment of the longtail tuna and kawakawa, as well as on the future plan of activities to be implemented in 2017-2018 (**Annex 19**) which was presented by the representative from the SEAFDEC Secretariat.

#### ***6.3.2 Management Strategies and Measures for Purse Seine Fishery in the South China Sea***

47. The Meeting noted the progress made in relation to the Management Strategies and Measures for Purse Seine Fishery in the South China Sea (**Annex 20**) which was presented by the representative from MFRDMD. In this connection, the participating Member Countries were requested to submit their respective updated purse seine catch and effort data to MFRDMD as soon as possible.

#### ***6.3.3 Progress on Conservation and Management of Catadromous Eel Resources and Promotion of Sustainable Aquaculture in the Southeast Asia***

48. The Meeting noted the case study and series of technical consultations since 2013 that were conducted by SEAFDEC based on the Regional Policy Recommendations on Conservation and Management of Eel Resources and Promotion of Sustainable Aquaculture endorsed by ASWGF<sup>i</sup> in 2015 (**Annex 21**).

49. In the discussion, the representative from Viet Nam recalled the results of the 39PCM indicating that several countries in the region have expressed their willingness to participate in the project on “Enhancing Sustainable Utilization and Management Scheme of Tropical Anguillid Eel Resources in Southeast Asia” proposed by IFRDMD. In addition, SEAFDEC was requested to provide technical support to the Member Countries on the establishment of joint conservation and management of catadromous eels. Due to funding limitations, the representative from Viet Nam suggested that funding should be sourced in order that Member Countries could join in the implementation of the project and come up with joint conservation/management plan for catadromous eels. The proposal to seek additional budget for this project could be submitted to the ASEAN Secretariat for consideration.

50. The representative from the Philippines suggested that for the effective implementation of this project, assistance could be sought from resource persons outside Southeast Asia and in other regions such as experts from EU.

#### ***6.3.4 Progress on the Strategic Plans of Action for Fishery Resources Enhancement in the Southeast Asian Countries***

51. The Meeting took note of the progress made in relation to the Policy Recommendations and Strategic Plans of Action for the Implementation of Fisheries Resources Enhancement Activities in the Southeast Asian Region (**Annex 22**) as presented by the representative from TD.

#### ***6.3.5 Policy Recommendations on “Early Mortality Syndrome” (EMS) or “Acute Hepatopancreatic Necrosis Disease” (AHPND) and Other Transboundary Aquatic Animal Health Diseases***

52. The Meeting noted the progress made by AQD in aquatic animal health management and endorsed the recommendations on addressing the issues on EMS and other transboundary diseases (**Annex 23**), based on the presentation made by the representative from AQD.

53. During the discussion, the representative from the Philippines highlighted a certain weakness in the EMS warning system adopted in the region. Based on reports, six new diseases on shrimps are found in the region, however only one disease could be monitored and diagnosed while the other five diseases remained uncontrolled. In this connection, it was suggested that the network should be expanded to cover all diseases and for AQD to seek funding to support such expansion.

#### ***6.3.6 Regional Approaches for Securing Sustainable Small-scale Fisheries and Way Forward for the Southeast Asian Region***

54. The Meeting took note of the progress made by SEAFDEC in the development of the Regional Approaches for Securing Sustainable Small-scale Fisheries and Way Forward for the Southeast Asian Region (**Annex 24**) which was presented by the representative from SEAFDEC Secretariat. Specifically, the Meeting was also informed of the results from the Regional Technical Consultation on Development of Regional Guidelines for Small-scale Fisheries (SSF) in the Southeast Asian Region organized in June 2016, which together with results from subsequent participation of SEAFDEC in relevant events would pave the way towards the development of regional approach to support the implementation of the SSF Guidelines in the region.

### **6.4 Food Safety Issues**

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

55. The Meeting took note of the Regional Guidelines on Traceability System for Aquaculture Products in the ASEAN Region (**Annex 25**) adopted by the 38AMAF which was presented by the representative from MFRD, and requested all relevant national agencies in the AMSs to support and promote the implementation of the Guidelines.

## 6.5 Other Emerging Issues

56. The representative from Indonesia made an observation that most participants attending in the FCG/ASSP meetings are the same as those who also participate in the PCM, usually organized back-to-back with the FCG/ASSP. In addition, while there seems to be repetitions in the discussion of the issues, these result in inefficient conduct of the meetings. Furthermore, as the ASEAN Secretariat is usually not represented during the several meetings of FCG/ASSP, and the progress reported at the FCG/ASSP Meeting focused only on the submission of documents through relevant mechanisms of the ASEAN and SEAFDEC during the year, this generally result in slow progress of work of the FCG/ASSP Mechanism.

57. While noting that the FCG/ASSP meeting is an important forum for channeling regional fisheries policy documents developed under the SEAFDEC mechanism for endorsement at policy level through the ASEAN mechanism, the Meeting was also informed that several policy documents already endorsed under the ASEAN mechanism would be dropped from the agenda of the succeeding FCG/ASSP Meeting in order that the latter meetings could focus on issues that require immediate consideration.

58. The representative from Thailand added that in principle, the delegates attending in the PCM and FCG/ASSP Meetings should not be from the same level, *e.g.* National Coordinators for PCM, and policy-maker level for FCG/ASSP Meeting. Since sending the same participants to attend the two meetings would make it not meaningful to discuss the same issues repeatedly, he therefore encouraged the Member Countries to send officers from appropriate levels to attend these two meetings.

59. The representative from Thailand also reiterated the problem on the limited participation of SEAFDEC representative in the ASEAN mechanism such as the ASWGFi meetings. In addition, considering that fisheries has close linkage with other sectors (*e.g.* labor), such limited participation would impair the coordination of works with other relevant sectors appropriately.

60. While the representative from Indonesia suggested that the FCG/ASSP Meeting could be conducted as a small forum between the Chairperson of PCM and Chairperson of ASWGFi, the representative from Viet Nam viewed that this may not be appropriate to consider policy framework documents or common positions for submission to the ASEAN for consideration.

61. The Meeting noted that for the future FCG/ASSP Meetings, SEAFDEC Secretariat should also check the availability of the ASEAN Secretariat to ensure their participation in the discussions on the ASEAN-SEAFDEC collaborative activities in the future. In addition, the Meeting agreed to recommend to ASWGFi for its Chair to send a letter requesting the ASEAN Secretariat to reaffirm its commitment to support the FCG/ASSP mechanism.

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

62. The Meeting considered and adopted its recommendations and the Report of the 19<sup>th</sup> Meeting of the Fisheries Consultative Group (FCG) of the ASEAN-SEAFDEC Strategic Partnership (ASSP) as prepared by the Secretariat.

63. 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

64. The Co-chairperson for SEAFDEC of the 19<sup>th</sup> Meeting of the FCG/ASSP thanked the cooperation of the ASEAN-SEAFDEC Member Countries for their active participation during the Meeting especially for their 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. He also expressed his appreciation to SEAFDEC/IFRDMD and MMAF for the excellent arrangements of the Meeting, and then declared the Meeting closed. His Closing Remarks appears as **Annex 26**.

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## OPENING REMARKS

*By Mr. Nestor D. Domenden*

*Co-chair for the ASEAN Sectoral Working Group on Fisheries*

The Co-chair for the 19<sup>th</sup> FCG/ASSP, SEAFDEC Secretary-General *Dr. Kom Silapajarn*, Distinguished Delegates from the ASEAN-SEAFDEC Member Countries, Senior Officials of SEAFDEC, Representative from Japan Mission Team to the ASEAN, *Mr. Yusaku Miyabukuro*, Ladies and Gentlemen, *Magandang umaga sa ating lahat! Selamat pagi!* Good morning to everyone!

First of all, I regret to inform the Meeting that the representative from the ASEAN Secretariat cannot make to this meeting as this coincides with similarly important ASEAN event. I am therefore here to serve as the Co-Chair of the 19<sup>th</sup> Meeting the FCG/ASSP on behalf of the current Philippine focal point of the ASEAN Sectoral Working Group on Fisheries or ASWGF<sub>i</sub>, BFAR Regional Director *Mr. Sammy Malvas*. Together with my Co-chair for this Meeting, SEAFDEC Secretary-General *Dr. Kom Silapajarn*, we welcome you all to this 19<sup>th</sup> Meeting of the Fisheries Consultative Group (FCG) of the ASEAN-SEAFDEC Strategies Partnership (ASSP). Unfortunately, the Undersecretary for Fisheries of the Philippine Department of Agriculture and concurrently National Director of the Philippine Bureau of Fisheries and Aquatic Resources, Retired Commodore *Eduardo B. Gongona* and Regional Director *Sammy Malvas* cannot attend this Meeting due to their equally important domestic engagements. However, both of them convey their regards and wishes for the success of this Meeting.

Distinguished Delegates, Ladies and Gentlemen,

The FCG/ASSP has been an important platform in moving forward our efforts to achieve sustainable fisheries in this region, particularly in line with the ASEAN/SEAFDEC “*Resolution and Plan of Action on Sustainable Fisheries for Food Security for the ASEAN Region toward 2020.*” This Co-chair was appraised with the work of SEAFDEC and under the FCG during the PCM in the past 3 days. I really appreciated and commend the effort being done by the ASEAN Member Countries and SEAFDEC in this direction. However I also recognize that many things remain to be done to achieve our goals of sustainable fisheries in the region.

For today and tomorrow, we will be deliberating on the various programs and activities implemented under the FCG/ASSP mechanism in 2016 and those that are planned for 2017 and beyond. These relate to Management Strategies/Measures, Combating IUU Fishing, Sustainable Fishing and Aquaculture, Climate Change and Mitigation Measures, Catch Documentation and Traceability of Fish Products, among others. These are of importance in moving forward to sustainable fisheries in the region. I am therefore looking forward to AMSs active engagement in the discussions and arrive at fruitful results during this meeting.

Distinguished Delegates, Ladies and Gentlemen,

May I likewise express gratitude to the SEAFDEC Inland Fishery Resources Development and Management Department (IFRDMD), led by the Chief of the Department, *Dr. Arif Wibowo*, for graciously hosting this meeting in this beautiful City of Yogyakarta.

Again on behalf of my CO-chair, *Dr. Kom Silapajarn*, and the Chair for ASWGF<sub>i</sub>, I am declaring the 19<sup>th</sup> FCG/ASSP Meeting open!

Thank you.





## 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 48<sup>th</sup> Meeting of SEAFDEC Council and 18<sup>th</sup> Meeting of Fisheries Consultative Group of the ASEAN- SEAFDEC Strategic Partnership
- 3.2 Follow-up Actions to the Directives Given at ASEAN Bodies Related to Fisheries During 2016

### **Agenda 4: ASEAN-SEAFDEC Strategic Partnership (ASSP) and Fisheries Consultative Group (FCG) Collaborative Programs for the Year 2016-2017**

- 4.1 Summary report on the FCG/ASSP Collaborative Programs for the Year 2016- 2017

### **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
- 5.2 ASEAN Fisheries Consultative Forum (AFCF)
- 5.3 ASEAN Shrimp Alliance (ASA)
- 5.4 Others
  - 5.4.1 ASEAN Fisheries and Aquaculture Conference and Exposition 2016: ASEAN Seafood for the World and the 11<sup>th</sup> Asian Fisheries and Aquaculture Forum and Exhibition: Asian Food Security for the World
  - 5.4.2 Results of the High-Level Consultation on Regional Cooperation in Sustainable Fisheries Development Towards The ASEAN Economic Community: Combating IUU Fishing and Enhancing the Competitiveness of ASEAN Fish and Fishery Products
  - 5.4.3 Concept Proposal Toward the Development of ASEAN Common Fisheries Policy

### **Agenda 6: Policy Considerations on International Fisheries-related Issues**

- 6.1 CITES Issues: Regional Implementation Support (CoP-17)
- 6.2 Combating IUU Fishing
  - 6.2.1 Progress on Regional Fishing Vessels Record for Vessels 24 meters in Length and Over
  - 6.2.2 Progress on ASEAN Catch Documentation Scheme
  - 6.2.3 Progress on ASEAN Guidelines to Preventing the Entry of Fish and Fishery Products from IUU Activities into the Supply Chain
  - 6.2.4 Progress on Regional Cooperation for Implementation of the Port State Measures
  - 6.2.5 Progress on Regional Plan of Action for the Management of Fishing Capacity (RPOA-Capacity)
  - 6.2.6 Development of the ASEAN Guidelines on Implementation of Labor Standards for the Fisheries Sector
- 6.3 Promotion on Sustainable Fisheries and Aquaculture in ASEAN Region
  - 6.3.1 RPOA for Sustainable Utilization of Neritic Tunas in ASEAN Region: Results on the Stock Assessment of Longtail Tuna and Kawakawa



- 6.3.2 Management Strategies and Measures for Purse Seine Fishery in the South China Sea
- 6.3.3 Progress on Conservation and Management of Catadromous Eel Resources and Promotion of Sustainable Aquaculture in the Southeast Asia
- 6.3.4 Progress on the Strategic Plans of Action for Fishery Resources Enhancement in the Southeast Asian Countries
- 6.3.5 Policy Recommendations on “Early Mortality Syndrome” (EMS) or “Acute Hepatopancreatic Necrosis Disease” (AHPND) and Other Transboundary Aquatic Animal Health Diseases
- 6.3.6 Regional Approaches for Securing Sustainable Small-scale Fisheries and Way Forwards for Southeast Asian Region
- 6.4 Food Safety Issues
  - 6.4.1 Regional Guidelines on Traceability System for Aquaculture Products
- 6.5 Others Emerging Issues

**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 48<sup>TH</sup> MEETING OF THE SEAFDEC COUNCIL**

Issues	Para	Responsible Department, Countries/ Recommendations made by the Council	1 <sup>st</sup> Follow-up Action (As of June 2016)	2 <sup>nd</sup> Follow-up Action (As of November 2016)
<b>II. REPORT OF THE SECRETARY-GENERAL</b>				
1. 2011 Resolution and Plan of Action on Sustainable Fisheries for Food Security for the ASEAN Region Towards 2020	15	<p><b>TD:</b> - “Optimizing Energy Use/Improve Safety Onboard Fishing Vessels” <i>should be</i> focused on sanitation and working conditions and welfare of fishers onboard fishing vessels</p> <p>- An evaluation on “Rehabilitation of Fisheries Resources and Habitat,” <i>should be</i> undertaken to ensure good outcomes, specifically on “Inland Fisheries” activities should be area-based and species-based; while the outputs should be packaged into “models”</p> <p><b>AQD:</b> -Aquaculture research activities <i>should be</i> linked with policies, and address possible loopholes along the whole supply chain</p>	<p><b>TD:</b> - Further program activities are under consultation with donor agency.</p> <p>- TD will organize an on-site training on Energy Saving and Safety at Sea for Small Fishing Vessels, from 20 to 22 September 2016 in Preah Sihanouk Province, Cambodia. An official letter has been sent out to FiA-Cambodia already. SEAFDEC and Cambodia training course coordinators will have a discussion on the details of training course in Bangkok on 3<sup>rd</sup> July 2016</p> <p><b>AQD:</b> This recommendation is presently being addressed through the program on ‘Meeting socio-economic challenges in aquaculture’ One of the expected long-term outputs is the development/ formulation of enabling policy recommendations that support the effective management of aquatic resources through sustainable aquaculture. Moreover, proposals for future projects will be further scrutinized to ensure that all aquaculture research activities are</p>	<p><b>TD:</b> On-site Training on Energy Saving and Safety at Sea for Small Fishing Vessels was organized from 20 to 22 September 2016 in Perah Sihanouk Province, Cambodia, aims to awareness building on energy saving and improve of working condition onboard fishing vessels. There are 30 trainees who are fisheries officer, fishing vessel owner, and so on attended this course. At the end, the trainees are expected to transfer and utilized the knowledge and information on energy saving and safety at sea for capture fishery obtained from the course to their responsible area.</p> <p><b>AQD:</b> In-progress; AQD’s Program on ‘Healthy and Wholesome Aquaculture’ recently came up with important regional policy recommendations in the areas of feeding and nutrition ( use of alternative protein source as ingredient in feed formulations) and aquatic animal health (EMS/APHND and other emerging diseases on shrimps). These recommendations have been/are being disseminated to ASEAN Member States and other stakeholders through publications and presentations in various fora; other on-going Programs are expected to come up with</p>

Issues	Para	Responsible Department, Countries/ Recommendations made by the Council	1 <sup>st</sup> Follow-up Action (As of June 2016)	2 <sup>nd</sup> Follow-up Action (As of November 2016)
			linked with policies and address possible loopholes along the whole supply chain. Part of the planned strategy (from 2016 onwards) is also for AQD to prepare and disseminate this information through publication of policy briefs.	relevant policy recommendations that will support effective management of aquatic resources through sustainable aquaculture. Also, proposals for future projects will be further scrutinized by AQD's Research Management to ensure that all aquaculture research activities are linked with policies and address possible loopholes along the whole supply chain.
2. Program Thrust on "Enhancing Capacity and Competitiveness to Facilitate International and Intra-regional Trade,"	16	<p><b>All Departments:</b></p> <ul style="list-style-type: none"> <li>- to undertake more proactive works in the future under the Program Thrust on "Enhancing Capacity and Competitiveness to Facilitate International and Intra-regional Trade",</li> <li>- to make use of and synthesize statistics as well as all available data derived from its activities in order to provide information that would support fisheries development of the Member Countries</li> </ul>	<p><b>MFRDMD:</b> Together with all other Departments, MFRDMD will consider to undertake more proactive works under the noted Program Thrust by fully utilizing available information.</p> <p><b>IFRDMD:</b> IFRDMD had investigated present status of catch statistics on Anguillid eels in SEAFDEC Member Countries. IFRDMD also plans the investigation on the situation of catch statistics on inland fisheries in the Member Countries through questionnaire and international workshop held in August 2016.</p>	<p><b>SEC:</b> The ASEAN Catch Documentation Scheme is under development with aims to support AMSs in enhancing intra-regional trade and international trade of ASEAN fish and fishery products.</p> <p><b>IFRDMD</b> got feedback from Member Countries through questionnaires on the status of catch statistics on Anguillid eels, and also inland fisheries in the Member Countries. Eel workshop had summarized the "way forward" for Enhancing the Sustainability of Catadromous Eels in Southeast Asia. IFRDMD is also collecting various kinds of the information regarding inland fisheries in the Member Countries.</p>
3. SEAFDEC activities undertaken in 2015	17	<p><b>AQD:</b></p> <ul style="list-style-type: none"> <li>- to consider undertaking activities on the utilization of locally available ingredients for feed formulations (for fish meal in aquaculture), instead of soybean which is an imported commodity in many countries,</li> <li>- to focus on development of</li> </ul>	<p><b>AQD:</b> Under AQD's program on 'Healthy and wholesome aquaculture, 4 projects/studies are on-going to test/evaluate the effectiveness of locally available ingredients (<i>i.e.</i> enriched seaweeds, various agricultural wastes and by-products) as protein sources (substitute for fish meal) in feed</p>	<p><b>AQD:</b> Utilization of locally available ingredients for feed formulations is one of the priority research areas under AQD's Program on 'Healthy and Wholesome Aquaculture'. Four studies are still in-progress to test/evaluate the effectiveness of locally available ingredients (<i>i.e.</i> enriched seaweeds, various agricultural wastes and</p>

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		sustainable aquaculture on common species of the region  <b>TD, MFRDMD and SEAFDEC MCs:</b> - to consider joining the stock assessment survey of Indonesia in its waters using its national research vessel as invited by Indonesia, - to consider supporting the production of materials in the national languages of the countries, including translation into local languages	formulations; outputs of these studies will be disseminated through publications, training and participation in various fora/meetings  AQD has been providing focus on important common species (high value marine species, freshwater fishes, crustaceans, mollusks, seaweeds) in the SE Asian region for R&D. However, apart from these common species, research funded by the Philippine Government is being implemented for some important indigenous species. This is to address also the research needs of the host country of AQD.  <b>MFRDMD:</b> MFRDMD would like to consider for joining the survey upon official request from Indonesia and budget availability.	by-products) as protein sources (substitute for fish meal) in feed formulations; outputs of these studies will be disseminated through publications, training and participation in various fora/meetings.  AQD has continued to provide focus on important common species (commercially important marine and freshwater fishes, crustaceans, mollusks, seaweeds) in the SE Asian region for R&D. However, apart from these common species, research funded by the Philippine Government has been implemented for few important indigenous species. This is also AQD's response to priority needs of its host country.  <b>MFRDMD:</b> MFRDMD would like to consider for joining the survey upon official request from Indonesia and budget availability.
4. SEAFDEC activities undertaken in 2015	21	<b>AQD:</b> - to consider putting more emphasis on issues of common concern, particularly on shrimp diseases, <i>e.g.</i> EMS or AHPND, as well as on the development of aquaculture feed to reduce the use of fish meal, and in combating IUU fishing  <b>AMSS:</b> -to consider denying landing of fish by Malaysian vessels in their respective ports as a means of preventing the entry of fish from	<b>AQD:</b> On-going; R&D activities to address aquatic animal health issues and aquaculture feeds are being implemented and will continue to receive high priority in AQD. Other developments are as follows: (i) recent updates on aquafeed formulation were disseminated to ASEAN Member States through the publication of proceedings on regional consultation (Use of Alternative Ingredients in Aquaculture Feed Formulation) held in Myanmar in December 2014; (ii)	<b>AQD:</b> AQD has given high priority to research that will address issues on aquatic animal health and aquaculture feeds. Concerning shrimps diseases, one of the expected outcomes of AQD's on-going project funded by GOJ-TF is the development of protective measures against emerging diseases such as EMS/APHND.  Other development: preparation of the Proceedings of the ASEAN regional technical consultation on EMS/APHND is underway and expected to be published in

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		IUU fishing into the supply chain	<p>preparations are in-progress for the publication of proceedings on ASEAN regional technical consultation on EMS/APHND held in the Philippines in February 2016.</p> <p><b>MFRD:</b> AVA/Singapore will work with the relevant Malaysian authorities to deter commercial Malaysian fishing vessels from landing their fish directly at any of our fishery ports.</p>	<p>December 2016.</p> <p><b>MFRD:</b> AVA/Singapore will work with the relevant Malaysian authorities to deter commercial Malaysian fishing vessels from landing their fish directly at any of our fishery ports.</p>
5. SEAFDEC activities undertaken in 2015	22	<p><b>IFRDMD and TD:</b> - to continue providing technical support to Lao PDR in terms of capacity building on sustainable fisheries development (inland fisheries)</p>	<p><b>IFRDMD:</b> IFRDMD had conducted on-site investigation in Lao PDR in March 2016 then collected information regarding fisheries management by fishermen’s committees. Since there have already been several projects in Lao PDR conducted by TD, IFRDMD will plan the activities in Lao PDR with consultation with TD to adjust the contents of our activities.</p> <p><b>TD:</b> Under a consultation with DLF, Lao PDR on conducting a TOT (Training of Trainer) on Facilitating Fisheries Information Gathering through Introduction of Co-management and Community-Based Fisheries Management in Lao PDR in 2016.</p>	<p><b>IFRDMD</b> IFRDMD presented the result of investigation in Lao PDR in the inland fishery workshop (August 2016), and got some addition information from TD and Lao PDR. Now IFRDMD collects all the components of inland fisheries in Lao PDR (and the other Member Countries) to extract the key issues what and how we can/should support them.</p> <p><b>TD:</b> TOT (Training of Trainer) on “Facilitating Fisheries Information Gathering through Introduction of Community-based Fisheries Management” was organized from 19 to 22 September 2016, in Vientiane, LAO PDR, aims to impart knowledge and better understanding of fishers and local government authorities on the importance of sustainable fisheries development through co-management for inland fisheries. There</p>

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				are 25 local fishery officers attended in the said training.
6. SEAFDEC activities undertaken in 2015	23	<p><b>TD:</b></p> <ul style="list-style-type: none"> <li>- to consider enhancing the curriculum and tools of the EAFM concept by making it more applicable to the Member Countries and address the concerns on the level of participants attending the training course, thus, optimizing the implementation of EAFM concept in the region,</li> <li>-to discuss with Viet Nam for the National Surveys in 2017-2018 by utilizing the M. V. SEAFDEC2 after an approval of the budget</li> </ul>	SEAFDEC will initiate a meeting with Viet Nam after finishing a mission to support a national fisheries resources survey to Department of Fisheries-Malaysia, July 2016	“The Regional Workshop on Piloting E-EAFM LEAD Materials” was organized from 27 to 29 June 2016 in Rayong Province, Thailand, with funding support from the FAO/GEF/SEAFDEC/REBYC-II CTI Project. The Workshop was attended by fifteen (15) policy level participants from REBYC participating countries, representatives from the Food and Agriculture Organization (FAO), REBYC-II CTI, IMA International, SEAFDEC Secretariat and Training Department. The Workshop was aimed at testing the developed LEAD materials in a realistic LEAD workshop situation and obtaining feedback required for fine-tuning and finalization of the materials.
<b>III. NOTE OF THE CHAIRPERSON OF THE SEAFDEC PROGRAM COMMITTEE ON THE RESULTS OF THE THIRTY-SEVENTH MEETING</b>				
7. The Results of the Thirty-Seventh Meeting of the SEAFDEC Program Committee	27	<p><b>All SEAFDEC Departments:</b></p> <ul style="list-style-type: none"> <li>- to provide a list of projects, the proposed time frame from start to completion, and the status of implementation so that the Council would know the status of project implementation</li> </ul> <p><b>SEC:</b></p> <ul style="list-style-type: none"> <li>- o consider raising the profile of the High Level Consultation (scheduled in August 2016) in the media at the ASEAN level through cooperative effort among the Member Countries, ASEAN and</li> </ul>	<p><b>AQD:</b></p> <p>Noted by AQD</p> <p><b>IFRDMD:</b></p> <p>There are two projects in IFRDMD, tropical anguillid eels and promotion of the responsible utilization of inland fisheries. Both projects are on the stage of data collection from Member Countries then summarize the present status. Both of the projects are on the way of the original processes of these projects with one year’s delay. IFRDMD will make up for these delays on 3rd year of the projects (in 2017).</p>	<p><b>AQD:</b></p> <p>AQD will cooperate with SEC regarding the submission of list.</p> <p><b>IFRDMD</b> already submitted the proposals of the projects for next year (2017) with adding the delaying activities in the first two years.</p> <p><b>SEC:</b></p> <p>Secretariat has compiled all lists of FCG/ASSP Projects including list of achievements for consideration by the 39<sup>th</sup> PCM. In addition, Secretariat reviewed and analyzed the current situation of regional</p>

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		SEAFDEC as it appears that this is not much visible especially outside SEAFDEC and the ASEAN Community	<b>MFRDMD:</b> MFRDMD will consider working with SEC to provide reporting format during the next PCM Meeting to include information required by PCM members.	fisheries in relation with the future actions needs towards combating IUU fishing. This paper was introduced at the High Level Consultation. In addition, Secretariat also addressed this regional profile to many international meetings to increase SEAFDEC visibility toward combating IUU fishing such as at 2016 IMCS Network Workshop in Auckland-Australia, 32 Session of FAO COFI in Rome-Italy, 34 <sup>th</sup> APFIC in Columbo- Sri Lanka, and etc.
8. The Results of the Thirty-Seventh Meeting of the SEAFDEC Program Committee	28	<b>All Departments:</b> - To follow up actions and evaluation of the activities as well as constraints and post-evaluation of the projects upon completion should be provided in the tabulated status of implementation of the SEAFDEC programs and activities. In addition, constraints and post-evaluation of the projects upon completion should also be provided to determine the value of the project accordingly	<b>AQD:</b> Noted by AQD  <b>IFRDMD:</b> After receiving the evaluation by council, IFRDMD would complete the process. The project will follow the appropriate input from Secretariat.  <b>MFRDMD:</b> MFRDMD will consider working with SEC to provide follow up actions and evaluation of our activities as well as constraints and post-evaluation of the projects.	<b>AQD:</b> AQD will cooperate with SEC on whatever inputs needed for the evaluation of the projects/activities  <b>IFRDMD</b> follows the inputs, comments and evaluations on our projects and their results.  <b>MFRDMD:</b> MFRDMD will consider working with SEC to provide follow up actions and evaluation of our activities as well as constraints and post-evaluation of the projects.
9. The proposed programs of SEAFDEC for 2016	29	<b>TD and AQD:</b> - to inform the MCs on the Plans for training courses especially those of SEAFDEC/TD and SEAFDEC/AQD through the official communications aside from those uploaded the SEAFDEC	<b>TD:</b> The new TD website and update is now under processing. The training menu to promote plan for training course will be developed and uploaded to new TD website.	<b>TD:</b> The training plan and more information of each training course is uploaded to TD homepage in column of SEAFDEC/TD Events 2016.



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		Website	<p><b>AQD:</b> Official communications (addressed to SEAFDEC Council Directors) on the planned training courses are usually sent by AQD to Member Countries; AQD will however improve its communication strategy to ensure that information on planned training courses will reach the MCs and targeted beneficiaries/clientele.</p>	<p><b>AQD:</b> AQD's Training Section was reminded on this matter during the in-house Review and Planning Meeting held last September 2016. Communication strategy will be improved to ensure that information on planned training courses will reach the Member Countries.</p>
10. The proposed programs of SEAFDEC for 2016	30	<p><b>SEC:</b> - to support and assist MCs to develop their respective National Plans of Action in line with the RPOA-Capacity which could be associated with the EAFM concept</p> <p><b>TD:</b> - to assist the MCs in improving the fishing vessel registration system, as well as on technical matters relevant to the establishment of Port State Measures for the region to reduce IUU fishing</p>	<p><b>TD:</b> TD in collaboration with SEC assisted Cambodia improving the fishing vessel registration system. The development of "FiA/Cambodia Fishing Licenses database system" is in progress to design and initiate.</p> <p>Regarding the technical matter on establishment of PSM for the region to reduce IUU fishing, the experts meeting on regional cooperation to support the implementation of PSM in Southeast Asian Region was organized by TD in collaboration with SEC from 2 to 4 February 2016.</p> <p>The Meeting came up with 1) a concept proposal on regional cooperation to support the implementation of PSM, 2) harmonization of the issues to support the implementation of PSM, and 3) a training module for capacity building of PSM in the region.</p>	<p><b>SEC:</b> After the adoption of the RPOA-Capacity by all SEAFDEC Member Countries with the support and endorsement by 38<sup>th</sup> AMAF in October 2016, Secretariat will integrate many management tools and measures such as RPOA-capacity, combating IUU fishing guidelines, MCS, and EAFM concept for improvement of fisheries in the region and sub-regional areas namely; the GOT and Andaman sea. It is expected that by 2017-2018, the activities related to RPOA-capacity will be addressed for consideration by Member Countries.</p> <p><b>TD:</b> TD in collaboration with SEC has been supporting the Fishery Administration of Cambodia (FiA) to develop the database of fishing vessels licensing as requirement for a tool to reduce IUU fishing. The observation on fishing port, fishing vessels and landing site was conducted at pilot site in Koh Kong Province from 29 August to 2 September 2016. Moreover, introduction and work plan</p>

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				<p>to implementation of the database which developed by TD in collaboration with FiA were presented and discussed to sixteen fishery officers in pilot site.</p> <p>TD in collaboration with SEC will organize the “Consultation and Workshop on Regional Cooperation and Activities Plan for Implementation of Port State Measures to Reduce IUU Fishing in Southeast Asia” in November 2016, aims to 1) strengthening of understanding on PSM implementation for Member Countries and 2) Harmonizing on related activities with partnership to support the implementation of PSM in the region.</p>
11. The proposed programs of SEAFDEC for 2016	31	<p><b>TD:</b></p> <ul style="list-style-type: none"> <li>- to consider selecting Viet Nam as a pilot country for the implementation of Fishery <i>Refugia</i> Project,</li> <li>- to assist Viet Nam in training Vietnamese fishers to reduce number of labor onboard purse seiner (<i>i.e.</i> changing from fore deck purse seining to stern deck instead)</li> </ul>	<ul style="list-style-type: none"> <li>- On-going Fisheries <i>Refugia</i> Project under UNEP/GEF supporting for 2016 and onwards (Preparation for an Inception Meeting 2016)</li> <li>- In connection to this, SEAFDEC has sent official letters “Establishment and Operation of a Regional System of Fisheries <i>Refugia</i> in the South China Sea and Gulf of Thailand” to all participating countries (6 countries) to prepare readiness and call for an inception meeting</li> <li>- Conduct a literature review on Japanese Purse Seining for further assistance to Viet Nam</li> </ul>	The Regional Inception Workshop to launch the project of “Establishment and Operation of a Regional System of Fisheries <i>Refugia</i> in the South China Sea and Gulf of Thailand” will organized from 1 to 3 November 2016 in Bangkok, Thailand
12. The proposed programs of SEAFDEC for 2016	32	<p><b>TD and IFRDMD:</b></p> <ul style="list-style-type: none"> <li>- to consider the conduct of HRD</li> </ul>	<p><b>AQD:</b></p> <ul style="list-style-type: none"> <li>AQD will explore regional R&amp;D</li> </ul>	<p><b>AQD:</b></p> <ul style="list-style-type: none"> <li>AQD collaborates with officials,</li> </ul>

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		<p>training for Cambodian fishers/biologists including, Viet Nam in the Mekong River Basin Sub-region, the inclusion of Cambodia as pilot site for the USAID Oceans and Fisheries Partnership Project to ensure that the country would also be involved in HRD programs on combating IUU fishing and vessel inspection, and gain experiences in these aspects</p> <p><b>AQD:</b> - to provide involvement of researchers from Cambodia in AQD's research projects</p>	<p>initiatives that can involve researchers from Cambodia. Involvement of researchers from AMS in AQD research projects/activities will depend on research needs, cooperation arrangements, and availability of funding support.</p> <p><b>IFRDMD:</b> IFRDMD had conducted on-site investigation in Cambodia in May 2016 then collected information regarding present situation of inland fishery in both Cambodia and the Mekong River basin and fisheries management by fishermen's committees. Collecting the information also will collect from the international workshop on Inland fisheries in the Member Countries. Since there have already been several projects in Cambodia and other Mekong River basin countries, IFRDMD will consult with TD and other organizations to plan our activities.</p>	<p>researchers/staff from Cambodia on the implementation of on-site training programs on aquatic animal health. For 2016, AQD will conduct on-site training course on health management of parasitic and bacterial diseases of fish and crustaceans in Cambodia in December. This will be done under the GOJ-funded research project 'Reinforcement and optimization of fish health management and effective dissemination'.</p> <p><b>IFRDMD</b> presented the results of our investigation in Cambodia and Mekong River Basin in the inland fishery workshop (August 2016) then got some additional information from TD, Cambodia, MRC and the other participants. Now IFRDMD collects all the component of inland fisheries in Cambodia and other countries located in lower Mekong basin to extract the key issues what and how we can/should conduct our activities.</p>
<b>V. POLICY CONSIDERATION ON IMPORTANT ISSUES</b>				
<b>5.1 Issues on Combating IUU Fishing</b>				
<b>5.1.1 ASEAN Guidelines for Preventing the Entry of Fish and Fishery Products from IUU Fishing Activities into the Supply Chain</b>				
13. ASEAN Guidelines for Preventing the Entry of Fish and Fishery Products from IUU Fishing	41	<b>All SEAFDEC Departments:</b> - to enhance the awareness and capacity building on IUU fishing	<b>IFRDMD:</b> IFRDMD keeps in our mind while we conduct our activities, especially	<b>IFRDMD</b> continues to keep in our mind for collecting the information regarding commodity chain and statistics.

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Activities into the Supply Chain		for small-scale fishers, to enhance the capacity building of countries to come up with harmonized catch certification, to develop the follow up system of the route of documents along the supply chain so that the IUU fishing could be addressed	regarding the commodity chains and statistics.  <b>MFRDMD:</b> MFRDMD will consider supporting AMSs activities to enhance awareness and capacity building on IUU fishing for small-scale fishers. MFRDMD also considers enhancing the capacity building of AMSs to come up with harmonized ASEAN catch certification.	<b>MFRDMD:</b> MFRDMD will consider supporting AMSs activities to enhance awareness and capacity building on IUU fishing for small-scale fishers. MFRDMD plans to visit Viet Nam and Lao PDR in 4Q 2017. MFRDMD also considers enhancing the capacity building of AMSs to come up with harmonized ASEAN catch certification.
<b>5.1.2 Regional Fishing Vessels Record for Vessels 24 Meters in Length and Over</b>				
14. Regional Fishing Vessels Record for Vessels 24 Meters in Length and Over	44	<b>TD:</b> - to regularly update the RFVR Database	In the 1 <sup>st</sup> quarter of the year, information on the RFVR Database was updated for Brunei Darussalam and Singapore. Malaysia sent the updated information to TD but not completed. Therefore, TD requested the National Focal Point for Malaysia to revise the information and waiting for new updated information. Meanwhile, a reminder to provide updated information was sent to National Focal Point for the Philippines and still waiting for their response.  In the 2 <sup>nd</sup> quarter of this year, information on the RFVR Database was updated for Thailand.	In the 3 <sup>rd</sup> quarter of the year, the reminder letter was sent by e-mail to National Focal Point for Myanmar. TD is waiting for response update information of RFVR.
	45	<b>TD:</b> - to accommodate RFVR Database of Indonesia by mid of April 2016	The required information for RFVR Database from Indonesia was sent to TD and some information was updated and consolidated to the current	

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	46	<p><b>SEC:</b></p> <ul style="list-style-type: none"> <li>- to seek approval from ASEAN on sharing RFVR Database to non-AMSs (e.g. RPOA-IUU MCs, RFMOs)</li> </ul>	<p>database. However, some of information is not correct. The RFVR team resent this information back to Indonesia for their verification.</p> <p><b>SEC:</b></p> <p>Secretariat has raised this matter at the 24<sup>th</sup> ASWGFI. In this connection the ASWGFI requested SEAFDEC to develop the mechanism on sharing of RFVR database to non-AMSs. In this connection Secretariat - after the PSM workshop in November 2016 – consider to improve the system as suggested by the workshop before any development of the mechanism for sharing.</p>	
	47	<p><b>TD:</b></p> <ul style="list-style-type: none"> <li>- should continue updating the RFVR Database on an annual basis</li> </ul>	<p>Updating of the RFVR Database will be done annually based on agreement made by Countries</p>	<p>Updating of the RFVR Database will be done annually based on agreement made by Countries</p>
<p><b>5.1.3 ASEAN Catch Documentation Scheme for Marine Capture Fisheries</b></p>				
<p>15. ASEAN Catch Documentation Scheme for Marine Capture Fisheries</p>	49 52 53	<p><b>SEC and MFRDMD:</b></p> <ul style="list-style-type: none"> <li>- to carry out a pilot test on ACDS in Brunei Darussalam in collaboration with USAID Oceans</li> <li>- to finalize the ACDS as a result from the demonstration in Brunei Darussalam</li> <li>- to investigate the accuracy of information on ACDSs,</li> <li>- to simplify the manuals on fish species identification that could enhance the fishers to provide data accurately</li> </ul>	<p><b>MFRDMD:</b></p> <ul style="list-style-type: none"> <li>- MFRDMD will take part in pilot project activities for ACDS implementation in Brunei Darussalam upon an official request by USAID or Secretariat.</li> <li>- MFRDMD is ever ready to work together with Brunei Darussalam and Secretariat</li> <li>- MFRDMD always supports any activities that has link with her current project and program</li> </ul>	<p><b>SEC:</b></p> <p>Secretariat has conducted the consultation visit and baseline survey in the 3<sup>rd</sup> week of August this year. Since the USAID-Oceans are still studying on the appropriate system for their pilot sites in Indonesia and the Philippines by 2017-18, SEAFDEC therefore decided to develop the e-ACDS system based on lesson learned from various agency concerned such as CCAMLR-CDS system, SwAM-Sweden CDS, Indonesia system for EU, and DOF/Thailand system for EU in order develop the e-ACDS including paper types ACDS, SEAFDEC</p>

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				with funding support by SEAFDEC Sweden project cooperates with FMO-Thailand. It is expected that the 1 <sup>st</sup> Draft e-ACDS would be completed by end of December this year for introduction to Brunei Darussalam in Jan 2017 for testing.
<b>5.1.4 Regional Cooperation to Support the Implementation of the Port State Measures in ASEAN Region</b>				
16. Regional Cooperation to Support the Implementation of the Port State Measures in ASEAN Region	56	<b>SEC and TD:</b> -to review and adjust the proposed work plan and timeframe of Port State Measures (PSM) to ensure that the expected outputs could be attained, -to harmonize/integrate the compiled RFVR Database to refrain from developing another database	<b>TD:</b> In progress	<b>TD:</b> To harmonized/ integrate the complied RFVR Database to refrain from developing another database is in progress
	57	<b>SEC and TD:</b> - to revisit the work plan and integrate the database for PSM with other databases for combating IUU fishing, particularly the RFVR Database	<b>TD:</b> In progress	<b>TD:</b> In progress
	58	<b>SEC and TD:</b> - to consider 4 main aspects during the implementation of PSM 1) denying entry of IUU vessels into AMS's ports based on an integrated vessel database; 2) identification of designated ports; 3) prior notification of vessels entering into the countries' ports; and 4) capacity building for	<b>TD:</b> In progress	<b>TD:</b> The strengthening of understanding for policy level of Member Countries in the "Consultation and Workshop on Regional Cooperation and Activities Plan for Implementation of Port State Measures to Reduce IUU Fishing in Southeast Asia" in November 2016

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		inspectors		Capacity building for inspector is planned to organize in next year
	60	<b>SEC and TD:</b> - to consider revising the work plan to ensure the readiness of the implementation of PSMA by the countries	<b>TD:</b> In progress	<b>TD:</b> The work plan to support and facilitate AMS to implement PSM will be discussed in the “Consultation and Workshop on Regional Cooperation and Activities Plan for Implementation of Port State Measures to Reduce IUU Fishing in Southeast Asia” in November 2016
	61	<b>SEC and TD:</b> - to raise the profile of PSM and its implementation to the higher authorities of the ASEAN and -to push toward the process of PSMA ratification and implementation	<b>SEC:</b> - Secretariat in collaboration with TD considers the advice made by the Council, and many points have been taken into action such as future plan for improvement of the existing RFVR to cover fishing vessels less than 24m to support the PSMA Implementation by AMS. In addition, Secretariat has already revised the Concept proposal for endorsement by the Council as referendum and later endorsed by the 24 <sup>th</sup> ASWGF.	<b>SEC:</b> Secretariat and TD in collaboration with DOF-Thailand organized the Workshop on Regional Cooperation for Implementation of Port State Measures to Improve Fisheries Management and Reduce IUU Fishing in Southeast Asia with the technical supports from partners such as FAO, USAID/RDMA, Marino-forum21, RPOA/Australia, and etc. The workshop could come up with future actions and needs for regional cooperation to support the implementation of the port state measures. The workshop also aimed to increase better understanding on PSMA, so that Member Countries would consider to be part of PSMA.
	62	<b>SEC and TD:</b> - to develop and disseminate a package of measures to support the AMSs in the implementation of PSM		
	63	<b>SEC and TD:</b> - to revise the concept proposal including work plan in response to the objectives of the cooperation, to circulate the revised PSM work plan within one month after the Council Meeting by ad referendum and would seek the comments/endorsement of the Concept Note before its submission to the ASWGF and higher authorities of the ASEAN as appropriate for consideration.		

Issues	Para	Responsible Department, Countries/ Recommendations made by the Council	1 <sup>st</sup> Follow-up Action (As of June 2016)	2 <sup>nd</sup> Follow-up Action (As of November 2016)
<b>5.1.5 Regional Plan of Action for the Management of Fishing Capacity</b>				
17. Regional Plan of Action for the Management of Fishing Capacity	65  66  69	<p><b>SEC:</b> -to explore the supporting measures to achieve the target of managing inputs/efforts commensurate with MSY without reducing the number of fishing vessels</p> <p><b>SEC:</b> - to update/adjust the figures of the number of fishing vessels of Indonesia and Philippines</p> <p><b>SEC:</b> - to update the number of fishing vessels of the respective MCs and circulate the final draft of RPOA-Capacity to the CDs for endorsement by <i>ad referendum</i> before submitting together with the Template for the Development of the NPOA-Capacity to the ASWGF<sub>i</sub> for consideration</p>	<p>SEAFDEC under the support from Sweden Government has conducted the Stock Assessment for Neritic Tunas in late June 2016, while later will come up with the Risk assessment and management measures for managing neritic tuna resources and fishing capacity.</p> <p>In response to the finalization of the RPOA-Capacity, secretariat has revised the documents as suggested by the Council. In addition, the final document has already been endorsed by 24 ASWGF<sub>i</sub> in June 2016. Later it was also support by 38 AMAF in October 2016.</p>	
<b>5.1.6 Trans-boundary Issues and Technical Dialogues</b>				
18. Trans-boundary Issues and Technical Dialogues	72	<p><b>SEC :</b> -to extend the Trans-boundary Issues and Technical Dialogues model to other sub-regional areas and -to provide similar platform to enable the countries to discuss and address problems encountered with respect to fisheries management in trans-boundary areas and in</p>		<p><b>SEC :</b> Following the third Andaman Sea Meeting held in October 2016, Secretariat will renew options to facilitate dialogues in the Northern (Myanmar and Thailand), and Southern Andaman Sea (Indonesia, Malaysia and Thailand), respectively.</p> <p>Bilateral dialogues has been facilitated between Cambodia and Viet Nam, Thailand</p>



Issues	Para	Responsible Department, Countries/ Recommendations made by the Council	1 <sup>st</sup> Follow-up Action (As of June 2016)	2 <sup>nd</sup> Follow-up Action (As of November 2016)
	73	combating IUU fishing <b>SEC:</b> -to discuss and summarize the lesson learned at technical consultation prior to seeking the consideration of the Council		and Malaysia and Cambodia and Thailand in the Gulf of Thailand and between Cambodia and Lao PDR in the Mekong Region – next sequence of meetings has been rescheduled to early 2017 while waiting for the outcome of the reviews of laws and regulations and the introduction of new fishing laws in some countries (Thailand).
	74	<b>SEC:</b> - to revisit and adjust the way forward for trans-boundary issues and technical dialogues		
<b>5.2 Other Emerging Issues Labor Aspects: Outputs and Recommendations from the Regional Technical Consultation on Labor Aspects within the Fishing Industry in the ASEAN Region</b>				
19. Other Emerging Issues Labor Aspects: Outputs and Recommendations from the Regional Technical Consultation on Labor Aspects within the Fishing Industry in the ASEAN Region	80	<b>SEC:</b> - to include essential aspects such as ‘good labor practices’ in the Guidelines to reflect and suit the conditions of fishing sector in the region		<b>SEC:</b> To ensure that the process of developing labor guidelines are in line with relevant conventions and international standards SEAFDEC is seeking consultation with ILO and other partners. To move this forward, a meeting is held with key staff at ILO in Bangkok on 18 November 2016.
	81	<b>SEC:</b> - to consider the specifications of small-scale fisheries considering that most of international labor standards in fishing sector are applied for commercial fishing industry when developing the ASEAN Guideline on labor standards		Small-scale fisheries, labor and SSF Guidelines: SEAFDEC is joining FAO (and invited by FAO) in a sequence of events (human rights and SSF, October 2016 and gender and SSF, November 2016) and based on the results from these events SEAFDEC will further develop a continued plan, that would include the recommendations from the RTC on Small-scale fisheries in June

Issues	Para	Responsible Department, Countries/ Recommendations made by the Council	1 <sup>st</sup> Follow-up Action (As of June 2016)	2 <sup>nd</sup> Follow-up Action (As of November 2016)
				2016, to the regional approach to the implement the SSF Guidelines in the region. The plan would include aspects on labor and gender.
<b>5.2.2 Presidential Task Force on Combating Illegal Unreported and Unregulated (IUU) Fishing and Seafood Fraud Action Plan</b>				
20. Presidential Task Force on Combating Illegal Unreported and Unregulated (IUU) Fishing and Seafood Fraud Action Plan	86	<b>SEAFDEC MCs:</b> - to send their common voice on Proposed Rule for species at-risk to the U.S. Government through their embassies	<b>MFRD:</b> The Ambassadors of nine ASEAN embassies in the US (excluding Indonesian) have sent a joint letter to US Secretary of State John Kerry on 12 April 2016, expressing on the concerns over the Traceability System proposed by the US Taskforce on Combating IUU fishing and Seafood Fraud.	<b>MFRD:</b> The Ambassadors of nine ASEAN embassies in the US (excluding Indonesian) have sent a joint letter to US Secretary of State John Kerry on 12 April 2016, expressing on the concerns over the Traceability System proposed by the US Taskforce on Combating IUU fishing and Seafood Fraud.
<b>5.3 Regional Cooperation to Promote Sustainable Fisheries and Aquaculture in ASEAN Region</b>				
<b>5.3.1 Regional Plan of Action on Sustainable Utilization of Neritic Tunas in the ASEAN Region</b>				
21. Regional Plan of Action on Sustainable Utilization of Neritic Tunas in the ASEAN Region	88	<b>SEC:</b> - to ensure that the scientific recommendations developed by the SWG would be disseminated to the Member Countries through National Focal Point	Secretariat takes note on this, the policy recommendations of the SWG-neritic tunas will be circulated to NC soon after finalizing by the Experts and Secretariat of the meeting.	The 3 <sup>rd</sup> SWG-Neritic Tunas could come up with Stock Assessment for LOT and KAW. Based on this scientific evidence, it will be further discussed by SWG for recommendations of management measures during the next workshop in mid of December 2016 in KL, Malaysia. Based on the results of this workshop, Secretariat will circulate to NCs for their consideration and later address at the next 49 <sup>th</sup> CM in 2017.

Issues	Para	Responsible Department, Countries/ Recommendations made by the Council	1 <sup>st</sup> Follow-up Action (As of June 2016)	2 <sup>nd</sup> Follow-up Action (As of November 2016)
<b>5.3.2 Regional Policy Recommendations on Conservation and Management of the Eel Resources and Promotion of Sustainable Aquaculture</b>				
22.Regional Policy Recommendations on Conservation and Management of the Eel Resources and Promotion of Sustainable Aquaculture	90	<b>IFRDMD:</b> - to provide technical information to the Member Countries on the existing species of eels in the region to enable the countries to support the collection of eel statistics for possible establishment of the eel database	<b>IFRDMD</b> summarized and distributed some criteria, focal points and also the requests to the Member Countries on conservation and sustainable use of tropical anguillid eels as “Way forward” after the international workshop on Eels held in April 2016.	<b>IFRDMD</b> has summarized the “way forward” for Enhancing the Sustainability of Catadromous Eels in Southeast Asia then distributed through SEAFDEC newsletter, article in Fish for People (both were published by SEAFDEC) and also through our official website.
23.Regional Policy Recommendations on Conservation and Management of the Eel Resources and Promotion of Sustainable Aquaculture	92	<b>Japan:</b> - to provide technical assistance to SEAFDEC and the Member Countries to transfer the technology of Japan on eel farming to the Southeast Asian countries.		
	94	<b>IFRDMD:</b> - to revise the detailed action plan of the project to include the comments of the Council at this Meeting  <b>SEAFDEC MCs:</b> - to establish eel statistics after the Eel Workshop	<b>IFRDMD:</b> Detailed action plan of the project has already written on the present version of the plan of actions. IFRDMD think all the activities that should be needed for complete the aim of this project has been fully written in both the 5-year plans and annual plan for 2016 of the project.  <b>MFRD:</b> Singapore has provided the requested information in the survey on eel fishery and eel culture by IFRMD	<b>IFRDMD</b> has submitted the proposals for next year (2017) that contained the revised and “left-off” tasks in the first two years.  <b>MFRD:</b> Singapore has provided the requested information in the survey on eel fishery and eel culture by IFRMD.

Issues	Para	Responsible Department, Countries/ Recommendations made by the Council	1 <sup>st</sup> Follow-up Action (As of June 2016)	2 <sup>nd</sup> Follow-up Action (As of November 2016)
<b>5.3.3 Regional Policy Recommendations for Development and Use of Alternative Dietary Ingredients in Aquaculture Feed Formulations</b>				
24. Regional Policy Recommendations for Development and Use of Alternative Dietary Ingredients in Aquaculture Feed Formulations	96	<b>SEAFDEC MCs:</b> -to support the compilation of information on aquatic animal nutrition activities for the purpose of knowledge sharing and information exchange for the benefit of the aquaculture industry in the region	<b>MFRD:</b> In progress	<b>MFRD:</b> In progress
	97	<b>AQD:</b> - to consider looking into the strategies on the use of alternative ingredients that are locally available in specific locations	<b>AQD:</b> AQD will look into this aspect through the on-going research projects on the use of alternative ingredients in aquafeed formulation	<b>AQD:</b> In-progress; The on-going research studies on aquafeeds and nutrition are also looking into the strategies on the use of alternative feed ingredients that are available under local conditions
	98	<b>AQD:</b> - to take into consideration the availability of supply of the ingredients all year round, and the possibility of conducting research activities that complement rather than duplicate those of other institutions	<b>AQD:</b> This problem area will be tackled in the on-going research projects on the use of alternative ingredients in aquafeed formulation	<b>AQD:</b> This problem area is being tackled in the on-going research projects on the use of alternative ingredients in aquafeed formulation.
	99	<b>AQD:</b> - to consider establishing “Feed Network” to serve as a platform for SEAFDEC and its Member Countries to share technical information on alternative feed ingredients (protein sources) for	<b>AQD:</b> Not yet initiated; AQD Nutrition and Feed Development Section to hold in-house discussions and deliberate on the approach that will be taken to address this recommendation	<b>AQD:</b> The issue on the establishment of the Feed Network was brought up with senior staff/researchers during the AQD in-house Review and Planning meeting held last 20-21 September 2016 in Iloilo. AQD had initial internal discussions on the

Issues	Para	Responsible Department, Countries/ Recommendations made by the Council	1 <sup>st</sup> Follow-up Action (As of June 2016)	2 <sup>nd</sup> Follow-up Action (As of November 2016)
		aquaculture feed formulations and for collaborative efforts in screening alternative feed ingredient that are available in the region.		possibility of coming up with a database on alternative feed ingredients. Depending on the availability of funds and commitment/interest of ASEAN Member States (AMS), this database will be developed and maintained by AQD through participation of and inputs that will be provided by AMS.
<b>5.3.4 Voluntary Guidelines for Securing Sustainable Small-Scale Fisheries</b>				
25. Voluntary Guidelines for Securing Sustainable Small-Scale Fisheries	103  104  105	<p><b>SEC:</b> - to develop the concept proposal based on the recommendations of the Council at this meeting and the regional framework could be developed for intervention at the COFI Meeting</p> <p><b>SEC:</b> - to take note that the outputs of the Bali Workshop could be adopted by the Member Countries</p> <p><b>SEC:</b> - to develop regional approach for the implementation of VGSSF, To conduct the RTC in relation to the VGSSF in June 2016 and to prepare a Regional Program to submit at the 32<sup>nd</sup> Session of COFI to be organized in July 2016</p>	Secretariat has conducted the RTC on SSF in early of June 2016, the 1 <sup>st</sup> draft of the Regional Approaches for implementation the international guidelines is being finalized and will be circulated to all participants for consideration. In connection to this, the Regional framework to be addressed at the next COFI is also included.	
<b>5.3.5 Regional Policy Recommendations and Strategic Plans for Fishery Resources Enhancement in the Southeast</b>				

Issues	Para	Responsible Department, Countries/ Recommendations made by the Council	1 <sup>st</sup> Follow-up Action (As of June 2016)	2 <sup>nd</sup> Follow-up Action (As of November 2016)
<b>Asian Countries</b>				
26.Regional Policy Recommendations and Strategic Plans for Fishery Resources Enhancement in the Southeast Asian Countries	107	<b>TD:</b> - to consider include some elaborations in the respective actions of the Regional Policy Recommendations and Strategic Plans for Fishery Resources Enhancement in the Southeast Asian Countries whether these should be undertaken at national or regional levels. Emphasis should also be given on the need to protect mangrove areas considering the benefit of mangroves for coastal protection and as nursing ground for several aquatic species	Further program activities are under consultation with donor agency. Consultation process with Member Countries on elaborations in the respective actions needs to be included in future project activities planning.	
	108	<b>TD:</b> - to take into consideration conducting an assessment of the wild stocks after installations of artificial reefs through implementation of the project on fisheries <i>refugia</i> with funding support from UNEP/GEF starting in 2016	On-going Fisheries <i>Refugia</i> Project by participating countries under UNEP/GEF supporting for 2016 and onwards.	On-going Fisheries <i>Refugia</i> Project by participating countries under UNEP/GEF
	110	<b>TD:</b> - to include other important coastal ecosystems, such as mangroves and salt marshes in the Strategic Plans, - to add the engagement of stakeholders and other relevant agencies as they are key elements to ensure successful implementation of the Strategic Plans	On-going Fisheries <i>Refugia</i> Project as proposed activities by participating countries under UNEP/GEF supporting for 2016 and onwards.	On-going Fisheries <i>Refugia</i> Project by participating countries under UNEP/GEF

Issues	Para	Responsible Department, Countries/ Recommendations made by the Council	1 <sup>st</sup> Follow-up Action (As of June 2016)	2 <sup>nd</sup> Follow-up Action (As of November 2016)
<b>5.3.6 Regional Guidelines on Traceability System for Aquaculture Products in the ASEAN Region</b>				
<b>5.3.7 Regional Policy Recommendations on Addressing Early Mortality Syndrome (EMS)</b>				
27. Regional Policy Recommendations on Addressing Early Mortality Syndrome (EMS)	116	<b>SEC, AQD and AMSs:</b> - to consider establishing a regional early warning system of EMS (Early Mortality Syndrome)	<b>AQD:</b> AQD and NACA aquatic animal health experts will communicate to discuss details and approaches needed to address the recommendation made by the Council. This aspect can be part of the joint initiative under the existing MOU between AQD and NACA	<b>AQD:</b> The recommendation was also discussed with AQD's aquatic animal health experts during the In-house Review and Planning Meeting held last 20-21 September. AQD's Head of Fish Health Section will meet with NACA Coordinator on Aquatic Animal Health on November 21, 2016 in Bangkok to discuss the strategy or lay out the plans. The arrangements will be formalized through MOA with NACA and participating ASEAN Member States. One strategy that will be taken is to prepare a joint proposal on the subject.
28. Regional Policy Recommendations on Addressing Early Mortality Syndrome (EMS)	117	<b>SEAFDEC and Thailand:</b> - to consider applying for a member of the "ASEAN Network of Aquatic Animal Health Centres (ANAAHC)" in order to mobilize to address aquatic animal diseases in the region	<b>AQD:</b> Establishing MOA between SEAFDEC (to be facilitated by Secretariat?) and ANAAHC (represented by Thailand) can be explored as an option	<b>AQD:</b> The recommendation was also discussed with AQD's aquatic animal health experts during the In-house Review and Planning Meeting held last 20-21 September. AQD representative (Head of Fish Health Section) will meet with NACA Coordinator on aquatic animal health and ANAAHC lead country (Thailand) focal point sometime during the last quarter of 2016 in Bangkok to discuss the details/plans

Issues	Para	Responsible Department, Countries/ Recommendations made by the Council	1 <sup>st</sup> Follow-up Action (As of June 2016)	2 <sup>nd</sup> Follow-up Action (As of November 2016)
<b>VI. Other Matters</b>				
<b>6.1 High-level Consultation on Regional Cooperation in Sustainable Fisheries Development Toward the ASEAN Economic Community 2015</b>				
29. High-level Consultation on Regional Cooperation in Sustainable Fisheries Development Toward the ASEAN Economic Community 2015	120 121	<b>SEC:</b> - to ensure that Drafting Committee for coming up with the Draft Joint Declaration that captured all aspects that should be addressed to ensure the competitiveness of ASEAN fish and fishery products, and provided comments to be accommodated in the final Draft (Refer to the table in paragraph 120, page 21)	The final Joint ASEAN-SEAFDEC Declaration was raised at the 24 <sup>th</sup> ASWGF <sub>i</sub> in late May 2016 for consideration and endorsement. In final stage, the documents were amended by the ASWGF <sub>i</sub> and later were endorsed by ad referendum in late June 2016.	
<b>6.2 Southeast Asian State of Fisheries and Aquaculture 2017 (SEASOFIA 2017)</b>				
30. Southeast Asian State of Fisheries and Aquaculture 2017 (SEASOFIA 2017)	124	<b>SEC:</b> - to issue official communications to the Council Directors, requesting for the submission of article inputs on topics into the SEASOFIA to ensure full cooperation from countries in providing inputs on topics that may be requested by SEAFDEC		Inputs (incomplete) for SEASOFIA2017 were provided by respective Departments and Secretariat and were discussed at the 17 <sup>th</sup> ISP Meeting. Comments from ISP Meeting would be accommodated by respective contributors and the revised draft to be submitted to the PCM.
<b>6.3 The 50<sup>th</sup> Anniversary of SEAFDEC</b>				
31. The 50 <sup>th</sup> Anniversary of SEAFDEC	127	<b>SEC in collaboration with Brunei Darussalam and DoF-Thailand:</b> - to discuss the details of the		The Anniversary of SEAFDEC would be convened in November 2017, and would be hosted by the DOF Thailand. Concept



Issues	Para	Responsible Department, Countries/ Recommendations made by the Council	1 <sup>st</sup> Follow-up Action (As of June 2016)	2 <sup>nd</sup> Follow-up Action (As of November 2016)
		arrangements of the 50 <sup>th</sup> Anniversary of SEAFDEC in 2017 (hosted by Thailand), 49 <sup>th</sup> Meeting of the SEAFDEC Council (hosted by Brunei Darussalam)		proposal with tentative program was prepared. The date of the 50 <sup>th</sup> Anniversary event was proposed to be on 15-16 November 2017 in Pattaya, Thailand.
<b>6.4 Preliminary Results on Human Resources Survey in SEAFDEC Member Countries</b>				
32. Preliminary Results on Human Resources Survey in SEAFDEC Member Countries	131	<b>SEC (RFPN):</b> For future, SEC should carefully consider the following issues when conducting the survey: 1) proper design, 2) use to the Personnel Management Units as source of information, 3) communication should be addressed to the Council and NC		
<b>VII. COOPERATION WITH INTERNATIONAL/REGIONAL ORGANIZATIONS AND NON-MEMBER GOVERNMENTS</b>				
33. Cooperation with International/Regional Organizations and Non-Member Governments	133	<b>SEAFDEC MCs:</b> - to implement the CDS of CCAMLR (the Commission for the Conservation of Antarctic Marine Living Resources) especially for toothfish as encouraged by Japan (as a member of RFMOs)	<b>MFRD:</b> Singapore is already a non-contracting party cooperating with CCAMLR and implements CCAMLR's CDS.	<b>MFRD:</b> Singapore is already a non-contracting party cooperating with CCAMLR and implements CCAMLR's CDS.
<b>IX. MANAGEMENT OF THE CENTER</b>				
<b>9.1 New Calculation of the MRC for 2016</b>				
35. New Calculation of the MRC (Minimum Regular Contribution)	156	<b>SEC and TD:</b> - to postpone the new Calculation	<b>SEC:</b> Letter was issued to all Council	

Issues	Para	Responsible Department, Countries/ Recommendations made by the Council	1 <sup>st</sup> Follow-up Action (As of June 2016)	2 <sup>nd</sup> Follow-up Action (As of November 2016)
for 2016	157	<p>of the MRC for 2016 to be starting in 2017 (as suggested by Viet Nam)</p> <p><b>SEC and TD:</b></p> <p>- to take note that Indonesia is still negotiating with its Ministry of Foreign Affairs to secure the MRC, considering that the amount of MRC from Indonesia has drastically increased from 26,000 US\$ in 2007 to 58,000 US\$ in 2013. Indonesia would further consult with MOFA on the new rate of MRC</p>	Director on the application of the new MRC starting form 2017.	
<b>9.2 Plans of Operation and Programs of Work of SEAFDEC Departments and Secretariat</b>				
36. Plans of Operation and Programs of Work of SEAFDEC Departments and Secretariat	161	<p><b>All SEAFDEC Departments and SEC:</b></p> <p>- to consider working on fisheries governance and management for sustainable fisheries in the region,</p> <p>- to incorporate fisheries governance in appropriate division in the new SEAFDEC structure</p>	<p><b>IFRDMD:</b></p> <p>IFRDMD always consider this issue. To achieve this goal, IFRDMD focuses on establishment and improvement on catch statistics on inland fishery.</p> <p><b>MFRDMD:</b></p> <p>MFRDMD will consider fisheries governance and management in the region through sustainable fisheries resource management which is under MFRDMD's responsibility.</p>	<p><b>IFRDMD</b> continues focusing on the improvement of the catch statistics and the methods of their collection, including the establishment of the useful databases.</p> <p><b>MFRDMD:</b></p> <p>MFRDMD considers fisheries governance and management in the region through sustainable fisheries resource management which is under MFRDMD's responsibility.</p>
<b>9.3 Operation of SEAFDEC Training and Research Vessels</b>				
37. Operation of SEAFDEC Training and Research Vessels	166	<p><b>SEAFDEC MCs:</b></p> <p>- to fully utilize the M.V. SEAFDEC2 in the future after restoration and maintenance as funded by Government of Japan</p>		

**FOLLOW-UP ACTIONS TO THE DIRECTIVES GIVEN AT THE 18<sup>TH</sup> MEETING OF THE FISHERIES CONSULTATIVE GROUP OF ASEAN-SEAFDEC STRATEGIC PARTNERSHIP (FCG/ASSP)**

Issues	Para	Responsible Department	Action Plan from Jan 2016 to March 2017	Progress/Done/Constraint
<b>FOLLOW-UP ACTIONS TO THE DIRECTIVES GIVEN AT SEAFDEC COUNCIL MEETINGS AND ASEAN BODIES RELATED TO FISHERIES</b>				
<p>1. On the development of the ASEAN Catch Documentation Scheme (ACDS) to improve traceability and to combat IUU fishing, the Meeting was informed by the representative from Viet Nam that FAO will be organizing a regional consultative workshop for Asia and Pacific region in December 2015 in China to develop the FAO Catch Documentation Scheme (FAO CDS) and is planning to organize two consultations to discuss the inputs for this initiative. In this regard, SEAFDEC was requested to follow-up the progress of the FAO CDS development and to make sure that the ACDS which SEAFDEC is developing is in line with this global initiative.</p>	6	SEC in collaboration with MFRDMD	<p>Noted the information from VN on the FAO Meeting in China, However, SEAFDEC could not find any information and invitation letter on this</p> <p><b><u>The following action plan in response to the Development of the ACDS are as follows:</u></b></p>	
<p>2. The representatives from Indonesia and Thailand shared the same concern that the ACDS should be acceptable by the EU market, and requested SEAFDEC to consider this concern in working towards the development of the ACDS in order to avoid additional burden to the fishing industry of the region, and to efficiently make use of the funds allocated for the development of ACDS. In this connection, the Meeting was informed that the ACDS is not meant to replace the EC catch certification, but it is meant to help in promoting intra-regional trade in a more effective manner, and serve as a tool for ensuring that fish and fishery products from the region are not derived from IUU fishing activities. Furthermore, while ACDS is still in its development process, and if the system is ready and could be effectively implemented in facilitating intra-regional and inter-national trade, then this would be acceptable to fulfill the requirements of the EU market in the future.</p>	7		<p>1) Consultation with the RFMOs that could come up with the CDS while dealing with EU system. In addition to have lesson learnt from RFMOs to improve the ACDS and e-system for future development;</p> <p>2) Further developing the detailed system including e-system requiring for Implementation by MCs. In order to update to the SEAFDEC Council at 48CM;</p> <p>3) Conduct the Stakeholders Consultation in 1<sup>st</sup> week of March on the Implementation of ACDS to enhance the Intra-regional trade and international trade as well as to support in combating IUU fishing</p> <p>4) Conduct the testing of the ACDS, in this matter, the 48CM support the selected pilot country: Brunei Darussalam. In connection to this</p>	<p>1) SEAFDEC consider that no any CDS even from SEAFDEC or RFMOs are accepted to replace the EC Certification, Therefore the most appropriate is to improve the performance of the MC enhancing the traceability through the implementation of ACDS;</p> <p>2) On-going &lt;Will be updated later&gt;</p> <p><b>MFRDMD:</b></p> <ul style="list-style-type: none"> <li>- MFRDMD noted the information.</li> <li>- MFRDMD considers to take part in the testing of the ACDS upon an official request by USAID or Secretariat.</li> <li>- MFRDMD always supports any activities that has link with her current project and program.</li> </ul>
<p>3. The representative from Japan raised the concern that USAID is now in the process of developing another catch documentation and traceability (CDT) system, which has been placed under the ASEAN</p>	9			

Issues	Para	Responsible Department	Action Plan from Jan 2016 to March 2017	Progress/Done/Constraint
<p>mechanism through the USAID Oceans and Fisheries Partnership (USAID-Oceans) project under the FCG/ASSP collaborative program, and requested the AMSs to take note of the initiatives to be developed under this USAID-Oceans project. The representative from Thailand agreed that the approach undertaken by the USAID-Oceans project is very significant for the region and should be carefully considered by the AMSs.</p>			<p>the baseline survey in BN will be conducted in August 2016.</p>	
<b>PROGRESS OF THE PROPOSALS IMPLEMENTED UNDER THE ASSP</b>				
<p><b>• Preparation for the High-Level Consultation on Regional Cooperation in Sustainable Fisheries Development Towards the ASEAN Economic Community: Combating IUU Fishing and Enhancing the Competitiveness of ASEAN Fish and Fishery Products</b></p>				
<p>4. While noting the concern expressed by the representative from Brunei Darussalam on the time required for endorsement of the Joint Declaration by the high-level authority of the country, the representative from the ASEAN Secretariat assured the Meeting that the ASEAN Secretariat would facilitate the process of obtaining the endorsement of the Joint Declaration. Nevertheless, the SEAFDEC Secretariat was requested to send the draft Joint Declaration to the ASEAN Secretariat in order that this could be tabled for consideration by the 24<sup>th</sup> Meeting of the ASWGF, and the higher-authorities of the ASEAN as appropriate. The ASEAN Secretariat would communicate with the Chair of the ASWGF to include this concern as one of the agenda during the 24<sup>th</sup> ASWGF Meeting.</p>	28	SEC	<p>SEC noted the requests from MCs on:</p> <p>1) Circulate the Draft Joint Declaration from the Drafting Committee Meeting to all ASEAN-SEAFDEC MCs for comments before addressed at the 48CM in April 2016</p> <p>2) Coordinate with ASEAN SEC on endorsement of the Joint Declaration by submission the Draft Joint Declaration to the 24<sup>th</sup> ASWGF in June 2016</p>	<p>The High-level Consultation on Regional Cooperation in Sustainable Fisheries Development Towards the ASEAN Economic Community: Combating IUU Fishing and Enhancing the Competitiveness of ASEAN Fish and Fishery Products was organized in collaboration with the Department of Fisheries on 3 August 2016, at the “Centara Grand &amp; Bangkok Convention Centre” at Central World in Bangkok, Thailand. The consultation adopted the Joint ASEAN-SEAFDEC Declaration on Regional Cooperation for Combating Illegal, Unreported and Unregulated (IUU) Fishing and Enhancing the Competitiveness of ASEAN Fish and Fishery Products.</p>
<p>5. Sharing the same concern as that of Brunei Darussalam, the representative from Indonesia also requested the SEAFDEC Secretariat to circulate the draft Joint Declaration to the Member Countries the soonest time possible, to allow the countries adequate time to make comments. The quick response from the countries would also give the SEAFDEC Secretariat enough time to revise the draft Joint Declaration. This way, the countries could also assist in facilitating the endorsement of the Joint Declaration, for consideration by the SEAFDEC Council and the ASWGF.</p>	29			
<b>POLICY CONSIDERATION ON INTERNATIONAL FISHERIES-RELATED ISSUES</b>				
<p><b>• CITES Issues: Regional Implementation Support</b></p>				
<p>6. The Meeting took note of the request from SEAFDEC for countries to nominate appropriate persons who could make decisions on the common/coordinated positions, to attend in the</p>	36	SEC	<p><b><u>For work plan in Developing the ASEAN-SEAFDEC Common Positions, SEC will take action as</u></b></p>	<p>The ASEAN-SEAFDEC Common Position on CITES was developed and adopted by SEAFDEC member</p>

Issues	Para	Responsible Department	Action Plan from Jan 2016 to March 2017	Progress/Done/Constraint
<p>RTC to be organized by SEAFDEC in May 2016.</p> <p>7. In response to the request of the representative from Viet Nam for the inclusion of fisheries-related matters in the agenda during the forthcoming AEG-CITES Meeting, the representative from the ASEAN Secretariat suggested that the respective countries should provide inputs to the national CITES Management Authorities in their respective countries for them to be aware of the fisheries-related issues to be discussed during the 12<sup>th</sup> AEG-CITES Meeting in Cambodia or Indonesia in 2016. It is therefore necessary that the focal points from the AMSs for fisheries should provide information to their respective national CITES Management Authorities. He added that the Chairperson for ASWGF and SEAFDEC will be invited to the forthcoming AEG-CITES Meeting by the host country.</p>	37		<p><b>follows:</b></p> <p>1) Expert Group Meeting for analyzing the proposed proposal on listing of CEAs to the CITES Appendix by Party with aims to come up with Technical/ policy recommendations in early of May;</p> <p>2) RTC on Developing the ASEAN-SEAFDEC Common Position based on the Results from Expert Group Meeting. The meeting plan to be organized in last week of May 2016</p> <p>3) The Results from RTC will be submitted to SEAFDEC Council for endorsement and further submission to 24ASWGF and 12AEG-CITES.</p> <p>4) It is expected to get the ASEAN Common Position through the SOM AMAF Meeting by August-September 2016.</p> <p>5) The ASEAN Common Position will be will be addressed at the CITES-CoP17 in September.</p>	<p>Countries with the support and endorsement by high level authority to be addressed at the CITES CoP17.</p> <p>In this connection, SEAFDEC team led by SEAFDEC Secretary-General, accompany with Deputy Secretary General, joined the Seventeenth Conference of the Parties to the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES) in Johannesburg, South Africa from 24 September to 5 October 2016.</p> <p>In addition, the MFRDMD was represented by Deputy Chief and Senior Researcher-Dr. Ahmad Ali for both RTC in May 2016. For CoP 17 CITES in September, MFRDMD was represented by Dr. Ahmad Ali</p>
<i>ASEAN Guidelines to Prevent the Entry of Fish and Fishery Products from IUU Activities into the Supply Chain</i>				
<p>8. The representative from Viet Nam recalled the decision made during the SOM-37<sup>th</sup> AMAF that the Guidelines should be amended by deleting “the <i>FAO Port State Measures Agreement</i>” from Topic 3: Guiding Principle of the Guidelines. While noting that the ASEAN Secretariat has already amended the Guidelines and uploaded the Guidelines on its website, SEAFDEC was also asked to amend the Guidelines accordingly in response to the recommendation of the SOM-37<sup>th</sup> AMAF.</p>	42	MFRDMD	<p>MFRDMD will send out correction to the guidelines in accordance with the recommendation by SOM 37<sup>th</sup> AMAF. MFRDMD will amend the guidelines uploaded in MFRDMD website</p>	<p>MFRDMD has already amended the guidelines in accordance with the recommendation by SOM 37<sup>th</sup> AMAF and uploaded the revised guidelines in MFRDMD website</p>
<i>Regional Cooperation for Implementation of the Port State Measures</i>				
<p>9. The representative from Malaysia supported the activities as proposed by SEAFDEC and suggested to remove “Agreement” from “Port State Measures Agreement” in the concept proposal (Para 3 and 4) because some countries are still not in the position to ratify</p>	45	SEC and TD	<p>Secretariat noted the Comments from Member Countries to not spelling a word “Agreement” in the Conceptual Proposal, as well as in the MFRDMD</p>	<p>TD in collaboration with SEC organized the “Experts Meeting on Regional Cooperation to Support the Implementation of Port State</p>

Issues	Para	Responsible Department	Action Plan from Jan 2016 to March 2017	Progress/Done/Constraint
<p>the Agreement. In addition, SEAFDEC was requested to establish a model or pilot site for PSM implementation in the AMSs, and Malaysia had offered a potential pilot site in Malaysia for this purpose.</p> <p>10. The representative from SEAFDEC pointed out that the Regional Cooperation to Support the Implementation of PSM is not meant to ask countries to ratify the PSMA but to prevent the entry of fish and fishery products from IUU fishing into the supply chain. In this regard, SEAFDEC plans to conduct the Expert Consultation Meeting to consider this aspect and the Member Countries were requested to send appropriate experts to attend this consultation.</p> <p>11. While appreciating the attempts of SEAFDEC to implement the initiatives related to combating IUU fishing, concern was raised by the representative from Viet Nam on the US Presidential Task Force on Combating IUU Fishing and Seafood Fraud which had already issued the list of species at risk including shrimps. In this connection, the representative from Thailand requested SEAFDEC to include this concern under its project on Assistance of Capacity Building in the Region to Address International Trade-Related Issues and to conduct Regional Technical Consultation to address this concern as soon as possible.</p>	<p>47</p> <p>48</p>		<p>Paper on ASEAN Guidelines for Preventing the entry of fish and fisheries products from IUU fishing activity into the Supply Chains.</p> <p>In 2016 plan: TD in collaboration with SEC will consult the following meetings:</p> <ol style="list-style-type: none"> <li>1) Expert Consultation to discuss and draft the Concept Proposal on Regional Cooperation in supporting the PSM implementation in Feb.</li> <li>2) Address the results from expert meeting to the Stakeholders Consultation in March.</li> <li>3) Address the Concept proposal at 48CM and 24<sup>th</sup> ASWGFi for consideration and endorsement in April and June, respectively</li> <li>4) RTC to finalize the Regional Cooperation in supporting the PSM Implementation in the ASEAN Region in Feb. 2017.</li> <li>5) SEAFDEC will monitor on the US Presidential Task Force on Combating IUU Fishing and Seafood Fraud while working with USAID to seek more update information on the issue.</li> </ol>	<p>Measures in Southeast Asian Region” from 2 to 4 February 2016 in Bangkok, Thailand. The Meeting came up with</p> <ul style="list-style-type: none"> <li>○ Identified issues for harmonization to support the implementation of PSM in the region</li> <li>○ The recommendations for Regional Cooperation to support the implementation of PSM</li> <li>○ Identification of Capacity Building Requirements by AMS</li> <li>○ Concept proposal on regional cooperation to support the implementation of Port State Measures to be addressed at the Council and high-level under the ASEAN mechanism.</li> </ul> <p>TD in collaboration with SEC will organize the “Consultation and Workshop on Regional Cooperation and Activities Plan for Implementation of Port State Measures to Reduce IUU Fishing in Southeast Asia” in November 2016, aims to</p> <ol style="list-style-type: none"> <li>1) strengthening of understanding on PSM implementation for Member Countries and 2) Harmonizing on related activities with partnership to support the implementation of PSM in the region.</li> </ol>
<i>Voluntary Guidelines for Securing Sustainable Small-scale Fisheries in the Context of Food Security and Poverty Eradication</i>				
<p>12. The representative from Viet Nam requested SEAFDEC to prepare a Regional Proposal supporting the implementation of</p>	<p>60</p>	<p>SEC</p>	<p><b>Similar to Para 103-105 of the 38PCM Follow-up Action by</b></p>	<p>Sixty participants, women and men, representing fishing communities,</p>

Issues	Para	Responsible Department	Action Plan from Jan 2016 to March 2017	Progress/Done/Constraint
<p>international guidelines for small-scale fisheries under the framework of Global Assistant Programme (GAP) to be submitted to the 32<sup>nd</sup> COFI in 2016.</p> <p>13. After the discussion, the Meeting was informed that SEAFDEC is planning to organize a Regional Technical Consultation or Experts Meeting to discuss the contents and scope of the RSSF in early 2016.</p>	61		<p><b><u>SEAFDEC:</u></b></p> <p>SEAFDEC, after consulting with Partners, will address this issues again at the 48CM as follows:</p> <ol style="list-style-type: none"> <li>1) At 48CM to re-consider the development of Regional Approaches to support implementation of the SSF Guidelines, rather than to develop the regionalized SSF Guidelines.</li> <li>2) RTC on the Regional Approaches to support the implementation of the SSF in May 2016.</li> <li>3) Submit to the Council for endorsement as referendum.</li> <li>4) The results from RTC will be addressed at the Next FAO COFI as a Regional inputs to the FAO.</li> <li>5) Inputs the results and requirement for implementation by MCs to the 39PCM in November 2016.</li> </ol>	<p>civil society organizations and governments in the Mekong region (Cambodia, Laos, Viet Nam, Thailand and Myanmar) along with 17 representatives from regional and international organizations participated in the Regional Workshop on Securing Sustainable Small-scale Fisheries in the Lower Mekong Region from 30 April to 1 May, 2016, and identified following issues of concern to small-scale fishing communities in the region and proposed action points for the consideration of relevant government departments, regional bodies such as the Southeast Asian Fisheries Development Center (SEAFDEC), other relevant national, bilateral and multilateral bodies and the civil society, as appropriate. The results was also addressed at the FAO COFI in July 2016.</p>





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

**Agenda 3.2**  
**Follow-up Actions to the Directives  
Given at ASEAN Bodies Meeting  
related to Fisheries**

19<sup>th</sup> Meeting of Fisheries Consultative Group of  
the ASEAN-SEAFDEC Strategic Partnership




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**Meetings of ASEAN Bodies related to Fisheries**

- ❑ 24<sup>th</sup> ASWGFI Meeting held on 1-3 June 2016 in Makati City, Philippines
- ❑ SSOM-37<sup>th</sup> AMAF held on 22-23 August 2016 in Palawan, Philippines
- ❑ The 38<sup>th</sup> AMAF held on 6 October 2016 in Singapore



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**24<sup>th</sup> ASWGFI Meeting**

**ASEAN Integrated Food Security (AIFS) Framework**


- **INFORMED** on the upcoming food security related activities such as OECD-FAO-ASEAN Regional Conference on Policies to Enable Food Security, Agricultural Productivity, and Improved Nutrition on 14-15 June 2016 in Myanmar; and the ASEAN Food Security Reserve Board on 16-17 June 2016 in Myanmar.

**Vision and Strategic Plan for ASEAN Cooperation in Food, Agriculture and Forestry (SP-FAF) (2016-2025)**

- **TOOK NOTE** on the development of Key Performance Indicators for SP-FAF (2016-2025).

**Streamlining of ASWGFI**

- **TOOK NOTE** on the output of the 8<sup>th</sup> Meeting of the ASEAN Fisheries Consultative Forum and the recommendations to maintain the existing sub-working groups under the ASWGFI consisting of AFCF, FCG/ASSP and ASEFA with the caveat to continue exploring effective mechanisms to strengthen AFCF, requesting the assistance of the Interim Secretariat and ASEFC; and to consider expanding the TOR of the ASWGFI to cover the agenda on Research and Development, Training and Extension.



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**24<sup>th</sup> ASWGFI Meeting**

**Strategic Plan of Action (SPA) on ASEAN Cooperation on Fisheries (2016-2020)**


- **ENDORSED** the Strategic Plan of Action on ASEAN Cooperation in Fisheries (2016-2020) to the SSOM-37<sup>th</sup> AMAF.

**Harmonisation of Fishery Sanitary and Phytosanitary (SPS) Measures**

- **INFORMED** that the pilot implementation of the Standard Operating Procedure (SOP) for Responsible Movement of Live Aquatic Animals will be conducted under collaboration between IAAHRI, DOF and NACA pending the budgetary requirements.

**ASEAN-SEAFDEC Strategic Partnership (ASSP)**

- **TOOK NOTE** on the SEAFDEC's Executive Report on Addressing International Fisheries Related Issues (2015-2016)
- **ENDORSED** the *Regional Plan of Action for Managing Fishing Capacity and Regional Guidelines on Traceability System for Aquaculture Products* in the ASEAN Region to the SSOM-37<sup>th</sup> AMAF.




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**24<sup>th</sup> ASWGFI Meeting**

**ASEAN-SEAFDEC Strategic Partnership (ASSP)**

- **TOOK NOTE** on the following documents:
  - i. Concept Proposal on Regional Cooperation for Supporting the Implementation of the Port State Measures in ASEAN Region
  - ii. Proposed Development of the ASEAN Guidelines on Implementation of Labor Standards for the Fisheries Sector
  - iii. Regional Policy Recommendation on Early Mortality Syndrome (Acute Hepatopancreatic Necrosis Disease) and other Transboundary Aquatic Animal Health Diseases.
- **TOOK NOTE** on the progress of the 20 on-going projects under the FCG/ASSP mechanism in 2015-2016, and **CONFIRMED** the ASEAN Lead Countries for the following projects:
  - i. Enhancing Coastal Community Resilience for Sustainable Livelihood and Coastal Resources Management (**Malaysia**)
  - ii. USAID Oceans and Fisheries Partnership (**Thailand**)
  - iii. Establishment and Operation of a Regional System of Fisheries Refugia in the South China Sea and Gulf of Thailand (**Philippines**)




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**24<sup>th</sup> ASWGFI Meeting**

**ASEAN-SEAFDEC Strategic Partnership (ASSP)**

- **AGREED** in principle the sharing of Regional Fishing Vessels Record (RFVR) on the condition that guidelines or protocols for data sharing are in place, e.g. to specify the level of authority to grant approval for data sharing, assure data security, and that data would not be used as barrier to trade in the future; and **REQUESTED** SEAFDEC to develop and establish guidelines or protocols for data access.
- **NOTED** the progress on the development of the ASEAN Catch Documentation Scheme for marine capture fisheries, and the Info-graphics on usages of ACDS in various scenarios of catch flows of fish and fishery products into ASEAN Region; and **SUPPORTED** the future plan for testing the ACDS in Brunei Darussalam, and the synchronization of ACDS to the Oceans and Fisheries Partnership.



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### 24<sup>th</sup> ASWGFi Meeting

**ASEAN Fisheries and Aquaculture Conference and Exposition 2016: ASEAN Seafood for the World**

- **NOTED** the invitation from Thailand on the upcoming ASEAN Fisheries and Aquaculture Conference and Exposition, back to back with the High Level Consultation on Regional Cooperation in Sustainable Fisheries Development toward the ASEAN Economic Community 2015: Combating IUU Fishing and Enhancing Competitiveness of ASEAN Fish and Fishery Products.

**ASEAN Common Position on CITES**

- **AGREED** to submit the ASEAN-SEAFDEC Common Positions on Inclusion of the Commercially- exploited Aquatic Species (CEAS) to the CITES Appendices at CoP-17, for consideration and endorsement by the ASEAN Working Group on CITES and Wildlife Enforcement.




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### 24<sup>th</sup> ASWGFi Meeting

**High Level Consultation on Regional Cooperation in Sustainable Fisheries Development toward the ASEAN Economic Community 2015: Combating IUU Fishing and Enhancing Competitiveness of ASEAN Fish and Fishery Products**

- **NOTED** that the High-level Consultation is scheduled on 3 August 2016 in Bangkok, and it is expected that the Consultation would come up with adoption of the Joint Declaration by the SOM-level Officials from ASEAN-SEAFDEC Member Countries.
- Considering that no consensus has been reached in the inclusion of human rights and human trafficking on Para 9 of the Draft Joint Declaration, the Meeting, except Indonesia, **PROPOSED** to delete Para 9 and its corresponding preamble statement, and **REQUESTED** AMS to conduct internal consultation with their respective Ministry on the proposal and to submit the final decision to ASEAN Secretariat by 10 June 2016.




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### SSOM-37<sup>th</sup> AMAF Meeting

- **ADOPTED** the Report of the 24<sup>th</sup> Meeting of the ASWGFi
- **AGREED** to submit the following documents to the 38<sup>th</sup> AMAF Meeting for adoption:
  - i. Strategic Plan of Action on ASEAN Cooperation in Fisheries (2016-2020)
  - ii. ASEAN Regional Plan of Action for the Management of Fishing Capacity (RPOA-Capacity)
  - iii. Regional Guidelines on Traceability System for Aquaculture Products in the ASEAN Region
- **NOTED** the Joint ASEAN-SEAFDEC Declaration on Regional Cooperation for Combatting IUU Fishing and Enhancing the Competitiveness of ASEAN Fish and Fishery Products that was endorsed by ASWGFi and issued at the High-Level Consultation on Regional Cooperation in Sustainable Fisheries Development Toward the ASEAN Economic Community 2015




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### SSOM-37<sup>th</sup> AMAF Meeting

- **REQUESTED** Thailand to work with the ASEAN Secretariat to draft a paragraph that incorporate the 11 (eleven) activities declared in the Joint Declaration for inclusion in the Joint Press Statement of the 38<sup>th</sup> AMAF Meeting and circulate to SOM AMAF for consideration two weeks before the 38<sup>th</sup> AMAF Meeting.
- **AGREED** that in the future all ASEAN Statements/ Declarations in the Food, Agriculture and Forestry (FAF) sector prepared by sectoral working groups should be endorsed by SOM AMAF before submitting to AMAF for approval and issuance




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### 38<sup>th</sup> AMAF Meeting

- **APPRECIATED** the achievements of the ASEAN Sectoral Working Group on Fisheries (ASWGFi), and adopted the following documents:
  - i. Strategic Plan of Action on ASEAN Cooperation in Fisheries (2016-2020)
  - ii. ASEAN Regional Plan of Action for the Management of Fishing Capacity (RPOA-Capacity)
  - iii. Regional Guidelines on Traceability System for Aquaculture Products in the ASEAN Region
- **NOTED** the Joint ASEAN-SEAFDEC Declaration on Regional Cooperation for Combatting IUU Fishing and Enhancing the Competitiveness of ASEAN Fish and Fishery Products; and **ENCOURAGED** AMS to support the implementation of 11 Key Actions of the Declaration in collaboration with dialogue partners and international organisations.
- **ENCOURAGED** ASEAN Member States to develop the "Common ASEAN Fisheries Policy" in order to strengthen collective efforts for sustainable and responsible fisheries and food security towards the unification of ASEAN Community and tasked the ASEAN Secretariat to seek support from international organization



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**SUMMARY REPORT ON THE ASEAN-SEAFDEC STRATEGIC PARTNERSHIP AND FISHERIES CONSULTATIVE GROUP (FCG/ASSP) COLLABORATIVE PROGRAMS FOR THE YEARS 2016-2017**

**I. INTRODUCTION**

1. The programs of activities under the Fisheries Consultative Group (FCG) of the ASEAN-SEAFDEC Strategic Partnership (ASSP) Mechanism for the years 2016-2017 were reviewed by the Thirty-ninth Meeting of the Program Committee of the Southeast Asian Fisheries Development Center (SEAFDEC) held in Yogyakarta, Indonesia from 28 to 30 November 2016. The results of the program scrutiny and adopted recommendations are summarized and submitted to the 19<sup>th</sup> Meeting of the Fisheries Consultative Group (FCG) of the ASEAN-SEAFDEC Strategic Partnership (ASSP) (19<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 YEARS 2016-2017 AND RECOMMENDATIONS MADE AT THE 39<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 2016 and proposed activities for 2017 as well as the new projects proposed for 2017, appear in **Appendix 1**. The twenty-one projects had been categorized into five 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 two Special Projects. The Program Committee endorsed the programs, and provided recommendations summarized as follows:

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

**(1) Human Resources Development (HRD) for Sustainable Fisheries**

- TD to consider the lessons learned from the project implementation in the AMSs in continuing the implementation of the project
- TD to share lessons from project implementation at the pilot-learning sites in Cambodia, Viet Nam and Myanmar to other AMSs
- TD to involve EAFM trainers of Malaysia in the planned activities in Myanmar and other countries in the future, where the experience of Malaysia could be shared
- TD to mobilize experiences and lessons learned among the countries in exploring the ways and means of strengthening the capacity of the AMSs in providing alternative livelihoods for small-scale fishers
- Myanmar to coordinate with TD in the implementation of relevant activities at the project-learning site in Myanmar
- TD to revisit the activities workplans to ensure that the project objective on “strengthening knowledge and skills of the national officers in dealing with the sustainable fisheries development in all aspects” is achieved
- TD to highlight some significant findings from project implementation during 2013 to 2016 in and share such information among AMSs
- TD to cooperate with other relevant regional initiatives on this aspect, *e.g.* FAO/GEF, Sweden, and USAID-Oceans in the formulation and implementation of work plans taking into consideration the abovementioned recommendations

**(2) Optimizing Energy Use/Improving Safety Onboard in Fishing Activities**

- Japan to conduct training for trainers on safety at sea and energy saving in Malaysia, with trainers to be provided by Japan and funding to be secured from various sources, *e.g.* JTF etc.
- TD to establish clear goals and indicators of achievements of the project (to include trawls and seines)
- TD to explore other funding sources for the project activity on vessels design to be carried out beyond 2017
- TD to come up with a documentation of the techniques on energy saving based on the outputs of the activities
- TD to mobilize the results from studies on carbon footprints for tuna capture fisheries conducted by Indonesia for the improvement of the project activities, especially in minimizing the use of energy in capture fisheries
- TD to collaborate with the Philippines in the implementation of this project taking into consideration the experiences of the Philippines in promoting safety at sea and optimizing energy for small-scale fishing vessels, especially fiberglass fishing vessels
- TD to mobilize the information from updates and progress on ASEAN activities on climate change mitigation and adaptation measures to improve the implementation of this project
- TD to summarize the major achievements of the project for dissemination to the Member Countries
- SEAFDEC to provide assistance to Malaysia on improvement of safety at sea and working conditions of fishers onboard fishing vessels, to enable the country to comply with international requirements

**(3) Promotion of Sustainable Fisheries Resources Enhancement Measures in Critical Habitats/Fishing Grounds in Southeast Asia**

- TD to include capacity building activities on monitoring and evaluation of the effectiveness of fisheries resources enhancement designs/measures developed by the project, and to improve scientific monitoring techniques for resource/habitat enhancement
- TD to consider merging some of the activities with the fisheries *refugia* project to optimize allocation of resources
- TD to continue the activity in Lao PDR in 2017 as follow-up on the previous activities conducted under the project
- Malaysia to collaborate with TD in a joint research particularly in comparing the efficiency between FADs and ARs, and to share information on its experiences and lessons learned in designing FADs
- TD to include Myanmar in the implementation of this project through the country's participation in relevant training courses
- Indonesia to share with TD and other AMSs the experiences gained from the country's research institutes on stock enhancement of inland fisheries

**(4) Environment-friendly, Sustainable Utilization and Management of Fisheries and Aquaculture Resources**

- AQD to share the result from laboratory research work implemented under the activity on "Use of Plant-based Protein Source in Tilapia Feeds for Improved Production Traits" with the Member Countries
- AQD to incorporate the experience of Viet Nam on rice-shrimp farming systems in relevant training courses to be conducted by AQD as this could serve as model for climate change adaptation measures in aquaculture
- AQD to consider conducting collaborative research with national agencies of Malaysia on research and training in aquaculture
- AQD to share the results of the activity on "Use of Plant-based Protein Sources in Tilapia Feeds for Improved Production Traits" as well as those from the activity on "Appropriate Transport and Acclimation Strategies of Seashorses" with Malaysia
- AQD to extend support to the participation of Malaysia in training courses particularly on breeding of commercial aquatic species

- (5) **Enhancement of Sustainability of Catadromous Eel Resources in Southeast Asia**
- Member Countries that have eel industry, to monitor and record the annual and monthly data from wild caught eels and from eel aquaculture for compilation of long-term statistics on eel resources
  - IFRDMD to support the data recording system of Myanmar in order to come up with better information on the trends of eel stocks, to provide assistance to Myanmar on conservation and management of eels as well as in addressing eel farming issues
- (6) **Promotion of Responsible Utilization of Inland Fisheries in Southeast Asia**
- TD to include Viet Nam in the activity on “Study on Co-management and Rights-based Fisheries Management Applicable for Inland Fisheries in the Region” to be able the country to share its experiences on inland fisheries management
  - IFRDMD to compile relevant information on inland capture fisheries in the region and to come up with a publication on inland fisheries profile of the Southeast Asian region
  - SEAFDEC to make reference to “2015 Rome Declaration: 10 Steps to Responsible Inland Fisheries” in formulating programs for the sustainable development of fisheries in the Southeast Asian region
- (7) **Enhancing Coastal Community Resilience for Sustainable Livelihood and Coastal Resources Management**
- MFRDMD to coordinate with concerned participating countries in the capacity building activities for small-scale fishers to be carried out in Brunei Darussalam, Indonesia and Malaysia
- 2.2 **Program Thrust II: Enhancing Capacity and Competitiveness to Facilitate International and Intra-regional Trade**
- (8) **Chemical and Drug Residues in Fish and Fish Products in Southeast Asia - Biotoxins (ASP, AZA and BTX) and Harmful Algal Bloom (HABs) in the ASEAN region**
- MFRD to extend the conduct of biotoxins monitoring surveys in other areas of Myanmar, and to consider the participation of Myanmar in future relevant training courses MFRD to include Malaysia during the training course on identification of common harmful algal bloom species (HABs)
  - MFRD to come up with a handbook on protocols for biotoxins monitoring surveys that could serve as regional reference for the Member Countries
- (9) **Cold Chain Management of Seafood**
- MFRD to share the results of the project among the Member Countries as well as finalize the Guidelines on Cold Chain Management for Seafood during the end-of-project seminar
- (10) **Reinforcement and Optimization of Fish Health Management and the Effective Dissemination in the Southeast Asian Region**
- AQD to include Malaysia in the activities related to the establishment of protective measures against persistent and emerging parasitic diseases of tropical fish, epidemiology of the EMS/APHND, technology extension and demonstration, sharing of information, and to consider the participation of Malaysian representatives in the training course in Lao PDR
  - AQD to continue conducting training courses on fish health management in Myanmar in 2017 considering that the occurrence of aquatic animal diseases in the country could be escalated by climate change
  - AQD to involve Thailand in activities on epidemiology of the EMS/AHPND, and on technology extension and demonstration
  - AQD to exchange information on fish health management with the ASEAN Network on Aquatic Animal Health Centre (ANAAHC) to improve the implementation of this project

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

#### **(11) Strategies for Trawl Fisheries By-catch Management (REBYC-II CTI)**

- The progress and achievements in the implementation of this project were noted

#### **(12) Promotion of Countermeasures to Reduce IUU Fishing Activities**

- TD to consult with the Member Countries prior to the inclusion of vessels less than 24 meters in length in the RFVR Database
- Member Countries to maximize utilization of RFVR Database, and TD to monitor the frequency of usage of the RFVR Database by the AMSs, and to extend technical assistance to AMSs in conducting awareness campaign on the Database
- TD to develop a mechanism of sharing the information in the RFVR Database with relevant national agencies of the AMSs, *e.g.* coastguards in order to promote maximum utilization of the Database
- SEAFDEC and Member Countries to address the recommendations and challenges identified during the Workshop on Regional Cooperation for Implementation of PSM to Improve Fisheries Management and Reduce IUU Fishing in Southeast Asia in November 2016
- SEAFDEC to develop a work plan to support the Member Countries in the implementation of the Port State Measures Agreement (PSMA), especially in terms of reflecting the requirements of PSMA in their respective national laws and legal frameworks
- TD to explore the possibility of including IUU fishing countermeasures in inland capture fisheries under this project

#### **(13) Combating IUU Fishing in the Southeast Asian Region through Application of Catch Certification for Trading of Fish and Fishery Products**

- SEAFDEC to raise during the forthcoming Meeting of ASWGFi in 2017, the possibility of transforming the “ASEAN Guidelines for Preventing the Entry of Fish and Fishery Products from IUU Fishing Activities into the Supply Chain” into a mandatory instrument to ensure its future implementation and eventual elimination of the entry of illegal fish and fishery products into the supply chain
- SEAFDEC to seek directives from the forthcoming SEAFDEC Council Meeting on the proposed consultation between SEAFDEC and the ASEAN Secretariat and AMAF towards the effective implementation of the 11 key items stipulated in the ASEAN-SEAFDEC Joint Declaration on Regional Cooperation for Combating IUU Fishing and Enhancing the Competitiveness of ASEAN Fish and Fishery Products

#### **(14) Establishment and Operation of a Regional System of Fisheries *Refugia* in the South China Sea and Gulf of Thailand**

- The progress of implementation of the project and the activities proposed for 2017 were noted

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

#### **(15) Fisheries Resource Survey & Operational Plan for M.V. SEAFDEC 2**

- Viet Nam to collaborate and communicate with TD for the arrangements on the resources survey on stock assessment of small pelagic using the M.V. SEAFDEC 2 in May to June 2017
- SEAFDEC to consider equipping the M.V. SEAFDEC 2 with better scientific echo-sounder that is more appropriate for scientific surveys

#### **(16) Offshore Fisheries Resources Exploration in Southeast Asia**

- TD to explore the possibility of conducting training on fish handling onboard the M.V. SEAFDEC 2 during the small pelagic survey in Viet Nam in May to June 2017
- TD to consider conducting on-site training on post-harvest fish handling onboard fishing vessels in the AMSs

- (17) **Enhancing the Compilation and Utilization of Fishery Statistics and Information for Sustainable Development and Management of Fisheries in the Southeast Asian Region**
- TD to include Viet Nam in the activity on “monitoring and evaluation of appropriate activities to be sustainable for CBRM/Co-management” considering that this is relevant to the country’s efforts to modify relevant provisions of its Fishery Law
  - TD to facilitate coherent understanding of the AMSs on the various management concepts being promoted, *e.g.* community-based fisheries management, co-management, EAFM
  - MFRDMD to develop a work plan on how the regional database on sharks could be mobilized to support the AMSs in developing and/or implementing their respective NPOA-Sharks
  - AMSs to report the necessary fishery statistics at species or species group levels to facilitate compilation of information for the Fishery Statistical Bulletin of Southeast Asia
  - AMSs to exert efforts in improving their respective systems of collecting inland capture fisheries statistical data
  - Thailand to submit to IFRDMD a proposal on the use of GIS and remote sensing technologies to facilitate monitoring of resources and supporting activities, for consideration and seeking support from appropriate donors
- (18) **Comparative Studies for Management of Purse Seine Fisheries in the Southeast Asian Region**
- MFRDMD to take into consideration the strategies for reducing bycatch of juveniles of commercial pelagic species in improving the implementation of the project activities
  - MFRDMD to include assessment of the impact of various management measures including closed season for small pelagic fisheries in the study, taking into consideration the results from studies in the Philippines on establishment of reference points for management of small pelagic fisheries
- (19) **Research and Management of Sharks and Rays in the Southeast Asian Regions**
- AMSs to improve their capacity in species identification of sharks and rays to be able to provide better data and information on landings and utilization of sharks and rays
  - MFRDMD to continue collaborating with Myanmar on the implementation of the project especially in collecting scientific information on species of sharks and rays

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

- (20) **Assistance for Capacity Building in the Region to Address International Trade-related Issues**
- SEAFDEC to conduct annual regional consultation to review and discuss the identified important international fisheries-related issues to be reflected by the Member Countries at relevant regional/international fora such as COFi, in order to safeguard the priorities and interests of the countries in the region, and to incorporate the results of such consultation into the project activity for 2017
  - SEAFDEC to consider incorporating during the regional consultations issues on abandoned, lost or discarded fishing gears (ALDFG) and on marking of fishing gears
  - SEAFDEC to strengthen cooperation with other organizations and frameworks such as FAO, USAID, and SEAFDEC-Sweden Project as required, for the implementation of activities that address emerging issues in the AMSs including the need to comply with the Rules of Fish and Fishery Products Import Provisions under the US Marine Mammal Protection Act
- (21) **Strengthening SEAFDEC Network for Sustainable Fisheries**
- The progress of implementation of the project and the activities proposed for 2017 were noted

## 2.6 Special Projects

- (22) **Fisheries and Habitat Management, Climate Change and Social Well-being in Southeast Asia**
- SEAFDEC to develop SOP for inspectors to support the implementation of PSMA in Southeast Asia taking into consideration the SOP developed by other more advanced countries, *e.g.* US, Australia
  - SEAFDEC to strengthen linkages and cooperation among sub-regions in fisheries management

- SEAFDEC to set its priority and come up with a joint management plan in 2017 for specific sub-region focusing on tonggol tuna and kawakawa
- Viet Nam to share with SEAFDEC and other AMSs scientific information on the management of blue swimming crab resources
- SEAFDEC to support Myanmar in strengthening bilateral cooperation with Thailand on management of transboundary fishery resources

**(23) USAID-SEAFDEC/Oceans and Fisheries Partnership**

- USAID Oceans to provide technical support to Viet Nam for the improvement of its online database systems
- USAID Oceans to work closely with other relevant projects including the SEAFDEC-Sweden Project on gender, labor rights, and EAFM among others, to enhance the impact and achieve the desired results
- SEAFDEC and USAID Oceans to assure that integration of the e-ACDS and USAID CDT is in place

**III. REQUIRED CONSIDERATION BY THE MEETING**

- The Meeting is requested to consider and endorse the achievements of the projects implemented under FCG/ASSP mechanism in 2016 and the proposed project activities for 2017 including the abovementioned recommendations
- The Meeting is also invited to provide suggestions on areas of improvement of 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 FCG/ASSP mechanism in 2016 and the proposed programs for 2017 would be submitted to higher authorities of the ASEAN and SEAFDEC for endorsement



**PROGRAM OF ACTIVITIES UNDER FCG/ASSP MECHANISM  
FOR THE YEAR 2016-217**

**I. Existing programs**

Program Thrust/Project Title	Lead Department	2016	2017
<b>Thrust I: Developing and Promoting Responsible Fisheries for Poverty Alleviation &amp; Food Security</b>			
1. Human Resource Development for Sustainable Fisheries	TD	Y	Y
2. Optimizing Energy Use/Improving Safety Onboard in Fishing Activities	TD	Y	Y
3. Promotion of Sustainable Fisheries Resources Enhancement Measures in Critical Habitats/Fishing Grounds in Southeast Asia	TD	Y	Y
4. Environment-friendly, Sustainable Utilization and Management of Fisheries and Aquaculture Resources	AQD	Y	Y
5. Enhancement of Sustainability of Catadromous Eel Resources in Southeast Asia	IFRDMD	Y	Y
6. Promotion of Responsible Utilization of Inland Fisheries in Southeast Asia	IFRDMD	Y	Y
7. Enhancing Coastal Community Resilience for Sustainable Livelihood and Coastal Resources Management	MFRDMD	Y	Y
<b>Thrust II: Enhancing Capacity &amp; Competitiveness to Facilitate International and Intra-regional Trade</b>			
8. Chemicals 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
9. Cold Chain Management for Seafood	MFRD	Y	Y
10. Reinforcement and Optimization of Fish Health Management and the Effective Dissemination in the Southeast Asian Region	AQD	Y	Y
<b>Thrust III: Improving Management Concepts and Approaches for Sustainable Fisheries</b>			
11. Strategies for Trawl Fisheries By-catch Management	TD	Y	N
12. Promotion of Counter Measures to Reduce IUU fishing activities	TD	Y	Y
13. Combating IUU Fishing in the Southeast Asian Region through Application of Catch Certification for Trading of Fish and Fishery Products	MFRDMD	Y	Y
14. Establishment and Operation of a Regional System of Fisheries <i>Refugia</i> in the South China Sea and Gulf of Thailand	TD	Y	Y
<b>Thrust IV: Providing Policy &amp; Advisory Services for Planning &amp; Executing Management of Fisheries</b>			
15. Fisheries Resource Survey and Operational Plan for M.V. SEAFDEC 2	TD	Y	Y
16. Offshore Fisheries Resources Exploration in Southeast Asia	TD	Y	Y
17. Enhancing the compilation and Utilization of Fishery Statistics and Information for Sustainable Development and Management of Fisheries in Southeast Asian Region	TD/SEC	Y	Y
18. Comparative Studies for Management of Purse Seine Fisheries in the Southeast Asian Region	MFRDMD	Y	Y
19. Research for Enhancement of Sustainable Utilization and Management of Sharks and Rays in the Southeast Asian Region	MFRDMD	Y	Y
<b>Thrust V: Addressing International Fisheries Related Issues from a Regional Perspective</b>			
20. Assistance of Capacity Building in the Region to Address International Trade Related Issues	SEC	Y	Y
21. Strengthening SEAFDEC Network for Sustainable Fisheries	SEC	Y	Y

***Special Project***

<b>Project Title</b>	<b>Lead Department</b>	<b>Period</b>
1. Fisheries and Habitat Management, Climate Change and Social Well-being in Southeast Asia	SEC	2013-2017
2. USAID-SEAFDEC “Oceans and Fisheries Partnership”	SEC	2015-2019

Y = Program/project implemented during the year

N = Program/project not implemented during the year

## PROGRESS OF THE IMPLEMENTATION OF ASEAN SHRIMP ALLIANCE (ASA)

### I. 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 (29<sup>th</sup> 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. 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.

### II. PROGRESS OF ASEAN SHRIMP ALLIANCE FOR NOVEMBER 2015-NOVEMBER 2016

After the Sixth Meeting of ASEAN Shrimp Alliance which was organized on 2<sup>nd</sup> September 2015 in Bangkok, Thailand and was hosted by Department of Fisheries, Thailand. The Meeting encouraged ASEAN Member States to develop or align national shrimp standard with the ASEAN Shrimp GAP. The meeting was agreed that a workshop to discuss the proposal which aims to harmonize the certification scheme for ASEAN especially for shrimp farming would be organized by Thailand in January 2016 while the proposal would be developed by NACA in cooperation with concerned organization. However, until now Department of Fisheries, Thailand could not organized this workshop due to the proposal are in process of developing and donor seeking.

During the 24<sup>th</sup> ASWGFi meeting which be held in Makati, Philippines, *Dr. ChumnarnPongsri*, Focal point of ASWGFi, Thailand informed the meeting that ASA meeting will be held in August 2016, however, due to the internal condition, the 7<sup>th</sup> ASA Meeting is proposed to be held in January 2017 and the meeting aims to update the current status of national shrimp standard development or alignment with the ASEAN Shrimp GAP, US Presidential Taskforce relating issues, Certification Scheme and also discuss on the way forward to following AEC blueprint which stated that AMSs have to align national shrimp standard with ASEAN Shrimp GAP by 2017.

### III. REQUIRED CONSIDERATION BY THE MEETING

The Meeting is required to take note of the progress of ASA's activities.



**ASEAN FISHERIES AND AQUACULTURE CONFERENCE AND EXPOSITION 2016: ASEAN SEAFOOD FOR THE WORLD AND THE 11<sup>TH</sup> ASIAN FISHERIES AND AQUACULTURE FORUM AND EXHIBITION: ASIAN FOOD SECURITY FOR THE WORLD**

**I. BACKGROUND**

The ASEAN Economic Community (AEC) is the goal of regional economic integration among ten ASEAN Member States to be achieved by 31<sup>st</sup> December 2015. The AEC will establish ASEAN as a single market and production base making ASEAN more dynamic and competitive in the world market. Fisheries Sector is one of 12 priority sectors which ASEAN Leaders agreed to accelerate economic integration since 2007. Moreover, most of ASEAN Member States (AMS) are major producers and exporters of fishery products to the world market. Therefore, promoting and building good images of ASEAN fishery products to the world market is required comprehensive actions at national and regional levels. Organizing the ASEAN Fisheries and Aquaculture Conference and Exposition is important strategy of ASEAN Member States in order to build awareness of consumer and importers on ASEAN best practices through the supply chain of fishery products.

In addition, ensuring the sustainability of fisheries and aquaculture of Southeast Asian Region is very crucial to sustain the fisheries industry as well as socio-economic well-being of small-scale fisheries. Therefore, a Fisheries Conference together with the Exposition is proposed to be organized as a platform for regional and international experts/scientists to share and exchange information/ experiences which would contribute to sustainable development and management of fisheries in the region. Furthermore, new technologies and techniques for sustainable aquaculture will be exchanged which would create new innovation as well as motivation to AMSs to develop their fisheries sector to ensure enough supply for processing sector.

The 21<sup>st</sup> Meeting of the ASEAN Sectoral Working Group on Fisheries (ASWGFi) held on 24-26 July 2013 in Vientiane, Lao PDR supported the Concept Proposal of the Conference and Exposition and suggested Thailand to develop detailed proposal and accommodate comments from the Meeting. The Meeting agreed that this would be an ASEAN initiative to be held in biennial basis. The revised concept proposal of the Conference and Exposition entitled ASEAN Fisheries and Aquaculture Conference and Exposition 2015: ASEAN Seafood for the World was submitted and endorsed by Special SOM 34<sup>th</sup> AMAF Meeting and 35<sup>th</sup> AMAF Meeting respectively.

**II. PROGRESS OF THE IMPLEMENTATION FOR THE CONFERENCE AND EXPOSITION**

However, 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, Thailand postponed the organization to August 2016 since the proposal including required budget were still under the process of approval by the Thai cabinet. In 2015 the ASEAN Fisheries and Aquaculture Conference and Exposition 2015: ASEAN Seafood for the World was approved to change the title to the ASEAN Fisheries and Aquaculture Conference and Exposition 2016: ASEAN Seafood for the World and the 11<sup>th</sup> Asian Fisheries and Aquaculture Forum and Exhibition: Asian Food Security for the World. The Conference and Exposition was already held from 4 to 6 August 2016, at Bangkok International Trade and Exhibition Centre (BITEC), Bangkok, Thailand.

The event was organized in collaboration with Asian Fisheries society, the Network of Aquaculture in the Asia-Pacific, SEAFDEC and INFOFISH and comprised with 2 activities which were Conference and Exposition.

First, the ASEAN Fisheries and Aquaculture Conference 2016 and the 11<sup>th</sup> Asian Fisheries and Aquaculture Forum was organized during 4-6 August 2016. The conferences were comprised six themes which were Governance, Education & training, Sustainable intensification of aquaculture, Response to Impacts of climate change, Sustainable fisheries and Seafood, post-harvest technology and food safety. The Conference was participated by various officials, researchers, industrial sector from ASEAN Member



States and regional/international organizations. Scientists/experts from ASEAN Member States as well as other regions were invited to attend the Conference as speakers. About 500 audiences participated the conferences throughout 3 days. The handbook containing abstracts of the presentation during the conferences as well as publications and medias were distributed to the audiences. In the conference scientists and experts share the knowledge, experiences and lesson learned in respective thematic issues.

Second, the ASEAN Fisheries and Aquaculture Exposition 2016: ASEAN Seafood for the World was organized during 4-6 August 2016. 200 booths were displayed by exhibitors, producers, traders, government and private organization, regional and international organization around the world. The AMSs including Brunei Darussalam, Lao PDR., Myanmar, Singapore and Japan were joined the booth exhibition. Around 600 people visited the exposition. There were special programs conducted during three days of exposition such as the competition of eating, competition of drawing and special shows on stage.

The ASEAN Fisheries and Aquaculture Conference and Exposition held in Thailand was the first regional exposition in ASEAN. It raised and intensified the profile of ASEAN fisheries under the formation of the ASEAN Economic Community (AEC). It was also to promote fisheries trade in the region as an opportunity for buyers and supplier in fishing industry in ASEAN region and worldwide including the retail operator form Thailand to negotiate and promote their business. This ASEAN event should be organized continuously in biennial basis.

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

The meeting is required to take note the outcome of The ASEAN Fisheries and Aquaculture Conference and Exposition 2016: ASEAN Seafood for the World and the 11<sup>th</sup> Asian Fisheries and Aquaculture Forum and Exhibition: Asian Food Security for the World.

## **RESULTS OF THE HIGH-LEVEL CONSULTATION ON REGIONAL COOPERATION IN SUSTAINABLE FISHERIES DEVELOPMENT TOWARDS THE ASEAN ECONOMIC COMMUNITY**

### **Executive Summary**

SEAFDEC in collaboration with the ASEAN-SEAFDEC Member Countries gathered inputs based on a series of relevant technical consultations organized by SEAFDEC; and convened the “Stakeholders Consultation on Regional Cooperation in Sustainable Fisheries Development Towards the ASEAN Economic Community” on 1-2 March 2016 in Bangkok, Thailand to compile the views and inputs of the representatives from relevant private sector and governmental agencies responsible for fisheries. Based on such technical inputs, the draft Joint Declaration was developed during the “Drafting Committee Meeting” subsequently held on 3-4 March 2016. The draft Joint Declaration was then reviewed and endorsed by the SEAFDEC Council at its 48th Meeting for submission to the ASWGFi Meeting at its 24th Meeting in June 2016, after which it would be circulated to the countries to obtain internal endorsement process before its final adoption at the High-level Consultation.

The High-level Consultation on Regional Cooperation in Sustainable Fisheries Development Towards the ASEAN Economic Community: Combating IUU Fishing and Enhancing the Competitiveness of ASEAN Fish and Fishery Products was organized in collaboration with the Department of Fisheries on 3 August 2016, at the “Centara Grand & Bangkok Convention Centre” at Central World in Bangkok, Thailand. The consultation adopted the Joint ASEAN-SEAFDEC Declaration on Regional Cooperation for Combating Illegal, Unreported and Unregulated (IUU) Fishing and Enhancing the Competitiveness of ASEAN Fish and Fishery Products. The results of the Consultation and the adopted Joint ASEAN-SEAFDEC Declaration is appeared in the **Appendix 1**.

At the 38<sup>th</sup> Meeting of the ASEAN Ministers of Agriculture and Forestry (38AMAF) held on 6 October 2016 in Singapore, the Meeting noted and appreciate the adoption of the Joint ASEAN-SEAFDEC Declaration on Regional Cooperation for Combatting IUU Fishing and Enhancing the Competitiveness of ASEAN Fish and Fishery Products issued on 3 August 2016 in Bangkok, Thailand. The Meeting encouraged AMS to support the implementation of 11 Key Actions of the Declaration in collaboration with dialogue partners and international organizations. In addition, the Meeting encouraged ASEAN Member States to develop the “Common ASEAN Fisheries Policy” in order to strengthen collective efforts for sustainable and responsible fisheries and food security towards the unification of ASEAN Community and tasked the ASEAN Secretariat to seek support from international organization.

### **Required Consideration by the Meeting**

The 19<sup>th</sup> Meeting of the FCG/ASSP is requested to take note results of the High-level Consultation and adoption of the “Joint ASEAN-SEAFDEC Declaration on Regional Cooperation for Combating IUU Fishing and Enhancing the Competitiveness of ASEAN Fish and Fishery Products”. The meeting is also invited to provide advice and suggestion to SEAFDEC on develops the “Common ASEAN Fisheries Policy” in order to strengthen collective efforts for sustainable and responsible fisheries and food security.



**Joint ASEAN-SEAFDEC Declaration  
on Regional Cooperation for Combating Illegal, Unreported and Unregulated (IUU) Fishing and  
Enhancing the Competitiveness of  
ASEAN Fish and Fishery Products**

**WE, the Senior Officials of ASEAN-SEAFDEC Member Countries met on the occasion of the “High-level Consultation on Regional Cooperation in Sustainable Fisheries Development Towards the ASEAN Economic Community: Combating IUU Fishing and Enhancing the Competitiveness of ASEAN Fish and Fishery Products,” in Bangkok, Thailand on 3 August 2016;**

**Recognizing** the provisions in international instruments such as the United Nations Convention on the Law of the Sea (UNCLOS, 1982), Agenda 21, which was adopted at the UN Conference on Environment and Development (UNCED, 1992), the FAO Code of Conduct for Responsible Fisheries (CCRF, 1995), and the Regional Plan of Action to Promote Responsible Fishing Practices including Combating IUU Fishing in the Region (RPOA-IUU, 2007);

**Guided by** the ASEAN Charter, which aims to ensure sustainable development for the benefit of present and future generations and to place the well-being, livelihood and welfare of the people at the center of the ASEAN community building process;

**Bearing in mind** that fisheries in the Southeast Asian region had developed rapidly during the last decade contributing significantly to the improved economy and food security of the region, however, IUU fishing is a serious concern and threatens the sustainability of the region’s fisheries management and conservation measures, fishery resources and aquatic ecosystems, as well as economic viability and food security;

**Aware of** the existing national, regional and international initiatives in combating IUU fishing undertaken by the ASEAN Member States (AMSs), relevant Regional Fisheries Management Organizations (RFMOs), and other regional and international organizations;

**Recalling** the Resolution and Plan of Action on Sustainable Fisheries for Food Security for the ASEAN Region adopted by the ASEAN-SEAFDEC Ministers and Senior Officials responsible for fisheries during the ASEAN-SEAFDEC Conference on Sustainable Fisheries for Food Security for the ASEAN Region Towards 2020 “Fish for the People 2020: Adaptation to a Changing Environment” held in June 2011;

**Conscious of** the need to meet food safety and quality requirements; such as through implementing the ASEAN Guidelines for the Use of Chemicals in Aquaculture and Measures to Eliminate the Use of Harmful Chemicals, ASEAN Good Aquaculture Practice (GAqP), ASEAN Shrimp GAP, and continue developing ASEAN standards in line with relevant regional and international instruments such as the Codex Alimentarius Commission and the Agreement of Sanitary and Phytosanitary (SPS) Measures;

**Taking into consideration** the importance of working conditions of labor in fisheries sector as outlined in the International Labour Organization (ILO), International Maritime Organization (IMO), Food and Agriculture Organization of the United Nations (FAO), and the ASEAN Declaration on the Protection and Promotion of the Rights of Migrant Workers;

**HEREBY DECLARE OUR INTENT**, without prejudice to the sovereign rights, obligations, and responsibilities of ASEAN-SEAFDEC Member Countries under relevant international laws and arrangements, to combat IUU fishing in the Southeast Asian region and enhance the competitiveness of ASEAN fish and fishery products by:



1. Strengthening Monitoring, Control and Surveillance (MCS) programs under national laws and regulations for combating IUU fishing and enhancing cooperation among relevant national agencies within the country for effective implementation of laws and regulations for combating IUU fishing;
2. Intensifying capacity building and awareness-raising programs, including information, education and communication campaigns;
3. Enhancing traceability of fish and fishery products from capture fisheries through the implementation of the “ASEAN Guidelines for Preventing the Entry of Fish and Fishery Products from IUU Fishing Activities into the Supply Chain,” and “ASEAN Catch Documentation Scheme for Marine Capture Fisheries”;
4. Enhancing traceability of aquaculture products, through the implementation of all ASEAN GAPs with certification scheme based on regulations of respective countries, and traceability systems that are harmonized with those of major importing countries;
5. Managing fishing capacity with a view to balance fishing efforts taking into account the declining status of the fishery resources in the Southeast Asian region, and establishing conservation measures based on scientific evidence;
6. Promoting the implementation of port State measures through enhanced inter-agencies and regional cooperation in preventing the landing of fish and fishery products from IUU fishing activities from all foreign fishing vessels, and encouraging the use of the “Regional Fishing Vessels Record (RFVR)”;
7. Enhancing regional cooperation in managing trans-boundary fisheries resources through regional, sub-regional, and bilateral arrangements in combating IUU fishing, particularly poaching by fishing vessels, transshipment and transportation of fish and fishery products across borders of respective countries;
8. Regulating the quality and safety of ASEAN fish and fishery products all throughout the supply chain to meet standards and market requirements as well as acceptability by importing countries, and development and promotion of ASEAN seal of excellence/label;
9. Addressing issues on labor (safe, legal and equitable practices) in the fisheries sector in the Southeast Asian region through strengthened cooperation among relevant national agencies within the country as well as establishing regional, sub-regional and bilateral cooperation and collaboration via relevant ASEAN platforms, and helping to support the development and implementation of relevant labor guidelines for the fisheries sector;
10. Enhancing close collaboration between the AMSs and relevant RFMOs in combating IUU fishing; and
11. Undertaking collective efforts in developing preventive and supportive measures to strengthen rehabilitation of resources and recovery of fish stocks to mitigate the impacts of IUU fishing.

#### **WE HEREBY DECLARE AND ENCOURAGE THAT**

This Joint ASEAN-SEAFDEC Declaration on Regional Cooperation for Combating IUU Fishing and Enhancing the Competitiveness of ASEAN Fish and Fishery Products be implemented by the ASEAN-SEAFDEC Member Countries; and that AMSs and SEAFDEC with support from donors and collaborating partners, strengthen their efforts to implement programs to combat IUU fishing and enhancing the competitiveness of ASEAN fish and fishery products.



This Joint Declaration is adopted on 3 August 2016. In attendance during the adoption are:

- 1) *Pg. Kamalrudzaman bin Pg. Haji Md Ishak*, Senior Special Duties Officer, Policy and Planning Division, Ministry of Primary Resources and Tourism, Brunei Darussalam
- 2) *Dr. Kao Sochivi*, Deputy Director General, Fisheries Administration, Kingdom of Cambodia
- 3) *Dr. Achmad Poernomo*, Senior Advisor to the Minister for Public Policy, Ministry of Marine Affairs and Fisheries, Republic of Indonesia
- 4) *Mr. Hideki Moronuki*, Senior Fisheries Negotiator, Fisheries Agency, Japan
- 5) *Mr. Xaypladeth Choulamany*, Director General, Department of Planning and Cooperation, Ministry of Agriculture and Forestry, Lao People's Democratic Republic
- 6) *Datuk Hj. Ismail bin Abu Hassan*, Director General, Department of Fisheries, Malaysia
- 7) *Mr. Khin Maung Maw*, Director General, Department of Fisheries, Republic of the Union of Myanmar
- 8) *Mr. Sammy A. Malvas*, Regional Director, Bureau of Fisheries and Aquatic Resources, Republic of the Philippines
- 9) *Dr. Tan Lee Kim*, Deputy Chief Executive Officer (Corporate and Technology), Agri-Food & Veterinary Authority, Republic of Singapore
- 10) *Dr. Theerapat Prayurasiddhi*, Permanent Secretary, Ministry of Agriculture and Cooperatives, Kingdom of Thailand
- 11) *Mrs. Nguyen Thi Trang Nhung*, Deputy Director, Department of Science, Technology and International Cooperation, Fisheries Administration, Socialist Republic of Viet Nam

## **CONCEPT PROPOSAL: TOWARDS THE DEVELOPMENT OF ASEAN COMMON FISHERIES POLICY**

### **I. BACKGROUND**

Under the ASEAN-SEAFDEC collaborative mechanism established since 1999, SEAFDEC has extended technical assistance to the ASEAN Member States toward sustainable fisheries development. Several regional fisheries policy frameworks were developed in close consultation between ASEAN and SEAFDEC, *i.e.* the Resolution and Plan of Action on Sustainable Fisheries for Food Security for the ASEAN Region (adopted in 2001); Resolution and Plan of Action on Sustainable Fisheries for Food Security for the ASEAN Region Towards 2020 (adopted in 2011). In line with the Resolution and Plan of Action, several fisheries cooperative frameworks were also developed by SEAFDEC in collaboration with AMSs to facilitate cooperation toward the unification of the ASEAN community. Recently during the High-level Consultation organized on 3 August 2016, where the ASEAN-SEAFDEC Member Countries adopted the “Joint ASEAN-SEAFDEC Declaration on Regional Cooperation for Combating Illegal, Unreported and Unregulated (IUU) Fishing and Enhancing the Competitiveness of ASEAN Fish and Fishery Products,” the SOM representative of Thailand also inquired on the possibility for SEAFDEC to facilitate a regional dialogue among the Southeast Asian countries that would consider the possibility of developing common fisheries policy for the ASEAN.

Under the ASEAN mechanism, activities under wide-range of fisheries disciplines have been undertaken under the ASEAN Fisheries Consultative Forum (AFCF) mechanism established in 2008. Furthermore in 2015, the ASEAN Economic Community was realized with the adoption of Vision and Strategic Plan (2016-2025) with seven Strategic Thrusts including fisheries. In line with this, the Strategic Plan of Action (SPA) for ASEAN Cooperation on Fisheries (2016-2010) was developed and subsequently adopted by the ASEAN Ministers on Agriculture and Forestry (AMAF) at the 38<sup>th</sup> AMAF Meeting on 6 October 2016 in Singapore. During the 38<sup>th</sup> AMAF Meeting, the Meeting also encouraged AMSs to develop the “ASEAN Common Fisheries Policy” in order to strengthen collective efforts for sustainable and responsible fisheries and food security in the ASEAN region towards the unification of ASEAN Community.

In recognition of the emerging needs of the AMSs, SEAFDEC therefore plans to proceed in providing forum for AMSs to discuss on the possibility and prospect for development of the “ASEAN Common Fisheries Policy.” A series of consultation could be convened in 2017 to facilitate such discussion; and considering that SEAFDEC is also planning to organized its 50<sup>th</sup> Anniversary in November 2017 in Thailand, with the participation of the SEAFDEC Council Directors and officials from the SEAFDEC Member Countries, the result of the aforementioned discussion consultation(s) could be tabled for consideration by the SEAFDEC Council during the “Special Event” which shall be convened back-to-back with the 50<sup>th</sup> Anniversary of SEAFDEC.

### **II. LESSON LEARNT FROM EU**

EU’s Common Fisheries Policy<sup>1</sup> (CFP) would be one of the lesson learnt that needs to studies and understanding for applying to the ASEAN region. In EU, the CFP is a set of rules for managing European fishing fleets and for conserving fish stocks. Designed to manage a common resource, it gives all European fishing fleets equal access to EU waters and fishing grounds and allows fishers to compete fairly.

The CFP aims to ensure that fishing and aquaculture are environmentally, economically and socially sustainable and that they provide a source of healthy food for EU citizens. Its goal is to foster a dynamic fishing industry and ensure a fair standard of living for fishing communities. Although it is important to maximize catches, there must be limits. EU needs to make sure that fishing practices do not harm the ability of fish populations to reproduce. The current policy stipulates that between 2015 and 2020 catch limits should be set that are sustainable and maintain fish stocks in the long term.

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<sup>1</sup> [https://ec.europa.eu/fisheries/cfp\\_en](https://ec.europa.eu/fisheries/cfp_en)

The CFP has 4 main policy areas:

1. Fisheries management ([https://ec.europa.eu/fisheries/cfp/fishing\\_rules\\_en](https://ec.europa.eu/fisheries/cfp/fishing_rules_en) )
2. International policy ([https://ec.europa.eu/fisheries/cfp/international\\_en](https://ec.europa.eu/fisheries/cfp/international_en) )
3. Market and trade policy ([https://ec.europa.eu/fisheries/cfp/market\\_en](https://ec.europa.eu/fisheries/cfp/market_en) )
4. Funding of the policy
  - a. EFF 20072013 ([https://ec.europa.eu/fisheries/cfp/eff\\_en](https://ec.europa.eu/fisheries/cfp/eff_en) )
  - b. EMFF 20142020 ([https://ec.europa.eu/fisheries/cfp/emff\\_en](https://ec.europa.eu/fisheries/cfp/emff_en) )

The EU’s common fisheries policy has been criticized by fishers who say it is threatening their livelihoods, although fishing stocks were in decline long before the policy came into being. When it came into force, the Treaty formally enshrined fisheries conservation policy as one of the handful of 'exclusive competences' reserved for the European Union, to be decided by Qualified Majority Voting. However, general fisheries policy remains a "shared competence" of the Union and its member states. Thus decisions will still be made primarily by the Council of the European Union, as is the case now.

### III. WHAT’S COMMON FISHERIES POLICY FOR ASEAN

ASEAN/SEAFDEC fundamentally understands the need for the sustainability of fish resources especially within the Southeast Asian region. Fish stocks maybe renewable, however unless they are managed properly they are also finite – and we risk overfishing and depleting them. Sustainable management, on other hand, creates stable conditions to invest, and contributes to the economic viability of our industry, in line with the ASEAN-SEAFDEC goals to ensure the sustainable fisheries for food security towards 2020. Managing fish stocks properly means at least two things:

- Firstly, **POLICY** must be based on science: we need to have a good biological understanding of the state of the stocks as well as sound economic and social data on the sector before we decide how much our fishermen can fish,
- Secondly, we need to have a **TRANSPARENT and FAIR SET of RULES** for fishermen – rules that governments must enforce by promoting a culture of compliance and applying deterring sanctions for wrongdoers.

Fish do not know borders or carry a passport. Several pelagic fish migrate within the regions, and/or sub-regions such as the Gulf of Thailand, Andaman Sea, South China Sea, Sulu-Sulawesi seas, and etc. Management of fish stocks therefore requires cooperation among the ASEAN Member States. Challenges are due to different country having different rules and regulations. In addition, how can we know and decide that how much fishermen can fish. These all above challenges can be solved if all SEAFDEC Member Countries agreed to manage fish stock together toward the development of the ASEAN Common Fisheries Policy together in all concerned fisheries sectors.

### IV. OBJECTIVES OF THIS CONCEPT PROPOSAL

The objectives of this concept proposal are not only to provide the better understanding on Common Fisheries Policy based on the good practices by EU, but also for SEAFDEC to explore the possibility, and seek recommendations and directives from ASEAN Member States on the development of ASEAN Common Fisheries Policy through the SEAFDEC forum/meetings including Conferences for 50<sup>th</sup> Year of the Anniversary of SEAFDEC Establishment.

### V. INDICATIVE WORKPLAN AND TIMEFRAME

39 <sup>th</sup> PCM (2016)	Informing on the concept proposal, and seeking recommendations from the Program Committee
19 <sup>th</sup> FCG/ASSP Meeting (2016)	Informing on the concept proposal, including recommendations from SEAFDEC Program Committee, and seeking further recommendations from the FCG/ASSP Meeting
Jan-March 2017	Development of proposal with more detailed workplan for submission to the SEAFDEC Council, taking into consideration the recommendations from the PCM

	and FCG/ASSP Meeting
Jan- February 2017	Inception Meeting on Development of the ASEAN Common Fisheries Policy will be co-organized by DOF/Thailand in collaboration with SEAFDEC
49 <sup>th</sup> SEAFDEC Council Meeting (2017)	Informing the SEAFDEC Council on the proposal and workplan, and seeking directives from the Council on the development of ASEAN Common Fisheries Policy
25 <sup>th</sup> ASWGFi Meeting (2017)	Informing the ASWGFi on the proposal and workplan, accommodating directives from the Council; and seeking directives from the ASWGFi on development of ASEAN Common Fisheries Policy, identification of the needs for establishment of Institution for CFP, common legislation, and international treaty, and etc.
July-October 2017	Organizing forum for AMSs to discuss, <i>i.e.</i> on Roadmap for Development of ASEAN Common Fisheries Policy.
Special Event (back-to-back, prior to 50 <sup>th</sup> SEAFDEC Anniversary) (November 2017)	<p>Special SEAFDEC Conference for 50<sup>th</sup> Anniversary of SEAFDEC on “ASEAN Common Fisheries Policy”, various key notes speakers from international Organizations, EU, Donors and Stakeholders are selected to provide views on ASEAN Common Fisheries Policy and directive toward 2030.</p> <p>The results from the discussion forum will be addressed for consideration by ASEAN-SEAFDEC Member Countries through SEAFDEC Council, ASSP mechanism, ASWGFi and high level ASEAN Ministers of Agriculture and Fisheries (AMAF)</p>

## VI. REQUIRED CONSIDERATION BY THE MEETING

The 19<sup>th</sup> FCG/ASSP is requested to take note the results and advice from 38<sup>th</sup> AMAF. The Meeting is also invited to provide recommendations toward the development of ASEAN Common Fisheries Policy, particularly on structures and working mechanisms, and regional legal instruments toward development of CFP for ASEAN.



## CITES ISSUES: RESULTS FROM THE CITES COP-17

### Executive Summary

The proposed listing of commercially exploited aquatic species (CEAS) into the Convention on the International Trade of Endangered Species of Wild Flora and Fauna (CITES) Appendices is one of the crucial issues that could impact not only on the management of fisheries but also on the economies of the countries in the region. It was along this rationale that the 32<sup>nd</sup> Meeting of the SEAFDEC Program Committee requested SEAFDEC to carefully give consideration on the proposed listing of CEAS into the Appendices of the CITES. It should be noted that SEAFDEC has initiated a program on “Assistance of Capacity Building in the Region to Address International Fish-Trade Related Issues” under the ASEAN-SEAFDEC Strategic Partnership mechanism. The program, which has been promoted by SEAFDEC for more than a decade, is mainly aimed at discussing relevant emerging issues as well as CITES issues and is being supported by the Government of Japan through the Japanese Trust Fund. Through the said program, policy recommendations related to international fisheries related issues including fish trade and the environment are formulated as well as the common/coordinated position of the ASEAN-SEAFDEC Member Countries reflecting the Southeast Asian fisheries situations at international fora to safeguard regional interests.

Refers to the CITES-CoP16 held in Bangkok, Thailand, some sharks and rays species, namely: *Carcharhinus longimanus* (oceanic white-tip), *Sphyrna lewini* (scalloped hammerhead shark), *Sphyrna mokarran* (great hammerhead shark), *Sphyrna zygaena* (smooth hammerhead shark), *Carcharodon carcharias* (great white shark), *Lamna nasus* (porbeagle shark), Pristidae Family (sawfishes), and *Manta spp.* (mobulid rays) had been listed into the CITES Appendices. In addition, *Cetorhinus maximus* (basking shark) and *Rhincodon typus* (whale shark) had been listed earlier in the CITES Appendices.

For CITES-CoP17, the Commercially-exploited Aquatic Species, there are seven proposals made by CITES Parties on the inclusion of some CEAS, *i.e.* *Alopias spp.* (thresher sharks), *Mobula spp.* (mobula or devil rays), *Carcharhinus falciformis* (silky shark), *Holocanthus clarionensis* (Clarion angelfish), *Potamotrygon motoro* (ocellate river stingray), *Pterapogon kauderni* (Banggai cardinalfish), all species of Nautilus into the CITES Appendix II; and the proposed downlisting of *Crocodylus porosus* (saltwater crocodile) from Appendix I to Appendix II, proposed by Malaysia. In this connection, SEAFDEC - in collaboration with all ASEAN-SEAFDEC Member Countries and with the support from the Council at its 48<sup>th</sup> Meeting – developed the ASEAN-SEAFDEC Common Position, the Experts Meeting on CEAS that was organized on 16-17 May 2016 back to back with the Regional Consultation for Development of the ASEAN-SEAFDEC Common Position on the proposed listing of CEAS into the CITES Appendices through series of experts and technical consultations in May 2016. Accordingly, the ASEAN-SEAFDEC Common Positions on Inclusion of the CEAS to the CITES Appendices at the CoP17 were endorsed by the 24<sup>th</sup> ASWGFi and later are adopted ad-referendum by SOM-AMAF on 1<sup>st</sup> September 2016. See **Appendix 1**.

At the CITES-CoP17 held on 24 September – 5 October 2016 in South Africa, the meeting attended by the ASEAN-SEAFDEC Member Countries namely Cambodia, Indonesia, Japan, Lao PDR, Malaysia, Myanmar, Singapore, Thailand and Viet Nam. Parties voted all seven proposals where consensus was not possible, with a two thirds majority required. The results from voting shown that Silky shark, *Alopius spp.*, *Mobula spp.*, *Holocanthus clarionensis*, Nautilidae and Sea water crocodile are accepted by the majority. Ocellate river string ray and *Pterapogon kauderni* proposals are withdraw by the proponents. See **Appendix 2**.

In addition, the CoP17 also consider and decide upon many proposals and documents related to CEAS, in the agenda of Species specific matters such as sturgeons and paddlefish (*Acipenseriformes spp.*), conservation of and trade in *Anguilla spp.*, review of precious corals in international trade [Order Antipatharia/family Coralliidae], humphead wrasse (*Cheilinus undulatus*), sharks and rays (*Elasmobranchii spp.*), and freshwater stingrays (*Potamotrygonidae spp.*).



### **Required Consideration by the Meeting**

The 19<sup>th</sup> Meeting of the FCG/ASSP is requested to take note development of the ASEAN-SEAFDEC Common Position on Inclusion of the CEAS to the CITES Appendices at the CoP17, and the results of the CoP17 particularly on proposals related to CEAS. The meeting is also invited to provide advice and suggestion to SEAFDEC Member Countries on the strengthening cooperation to address the regional interest and/or common position as agreed by high-levels authority, while advise to SEAFDEC on future direction to deal with CITES issues.





**ASEAN-SEAFDEC Common Positions on  
Inclusion of the Commercially-exploited  
Aquatic Species (CEAS) to  
the CITES Appendix**

**CONFIDENTIAL**

1<sup>st</sup> September 2016

Adopted ad-referendum by SOM-AMAF






*To be addressed at the CITES CoP-17 on 23 September – 5 October 2016*






## PREAMBLE

Taking into consideration the seven proposals made by CITES Parties on the inclusion of some commercially-exploited aquatic species, *i.e.* *Alopias* spp. (thresher sharks), *Mobula* spp. (mobula or devil rays), *Carcharhinus falciformis* (silky shark), *Holacanthus clarionensis* (Clarion angelfish), *Potamotrygon motoro* (ocellate river stingray), *Pterapogon kauderni* (Banggai cardinalfish), and all species of *Nautilus* into the CITES Appendix II; and the proposed downlisting of *Crocodylus porosus* (saltwater crocodile) from Appendix I to Appendix II during the 17<sup>th</sup> Conference of the Parties of CITES (CITES-CoP17) on 24 September – 5 October 2016 in South Africa, SEAFDEC with financial support from the Government of Japan through the Japanese Trust Fund convened the Regional Experts Meeting on Commercially Exploited Aquatic Species from 16-17 May 2016 in Bangkok, Thailand. Attended by fisheries experts from SEAFDEC Member Countries, namely: Cambodia, Indonesia, Japan, Lao PDR, Malaysia, Myanmar, Philippines, Thailand, and Viet Nam as well as from the SEAFDEC Secretariat and Departments, the Meeting after analyzing the said proposals taking into consideration the impacts from inclusion of the said species in the CITES Appendices to fisheries and trade in the Southeast Asian region, came up with technical recommendations which were then used as inputs for discussion during the Regional Consultation for Development of the ASEAN-SEAFDEC Common Position on the Proposed Inclusion of Commercially-exploited Aquatic Species (CEAS) into the CITES Appendices from 19 to 20 May 2016. Accordingly, the ASEAN-SEAFDEC Countries' Positions on Inclusion of the Commercially-exploited Aquatic Species (CEAS) to the CITES Appendices at CoP-17 are endorsed by the 24<sup>th</sup> ASWGFi and later are adopted ad-referendum by SOM-AMAF on 1<sup>st</sup> September 2016.

**ASEAN-SEAFDEC COMMON POSITION**  
To the CITES CoP17 Proposals for amendment of Appendices I and II

Proposal No.	Proponents	Proposal	Illustration	Common Position
Prop. 42: <i>Carcharhinus falciformis</i> , (Silky shark)	Bahamas, Bangladesh, Benin, Brazil, Burkina Faso, Comoros, Dominican Republic, Egypt, European Union, Fiji, Gabon, Ghana, Guinea, Guinea-Bissau, Maldives, Mauritania, Palau, Panama, Samoa, Senegal, Sri Lanka and Ukraine	Include Silky shark <i>Carcharhinus falciformis</i> in Appendix II		Not Support the Proposal
Prop. 43: <i>Alopias spp.</i> (Thresher sharks)	Bahamas, Bangladesh, Benin, Brazil, Burkina Faso, Comoros, Dominican Republic, Egypt, European Union, Fiji, Gabon, Ghana, Guinea, Guinea-Bissau, Kenya, Maldives, Mauritania, Palau, Panama, Samoa, Senegal, Seychelles, Sri Lanka and Ukraine	Include the genus <i>Alopias</i> spp. in Appendix II		Not Support the Proposal
Prop. 44: <i>Mobula spp.</i> (Devil rays)	Bahamas, Bangladesh, Benin, Brazil, Burkina Faso, Comoros, Costa Rica, Ecuador, Egypt, European Union, Fiji, Ghana, Guinea, Guinea-Bissau, Maldives, Mauritania, Palau, Panama, Samoa, Senegal, Seychelles, Sri Lanka and the United States of America	Include the genus <i>Mobula</i> spp. in Appendix II		Not Support the Proposal (except for Philippines)
Prop. 45: <i>Potamotrygon motoro</i> (Ocellate river stingray)	Bolivia (Plurinational State of)	Include Ocellate River Stingray <i>Potamotrygon motoro</i> in Appendix II		Not Support the Proposal
Prop. 46: <i>Pterapogon kauderni</i> (Banggai cardinalfish)	The European Union	Include <i>Pterapogon kauderni</i> in Appendix II		Not Support the Proposal

<p>Prop. 47: <i>Holacanthus clarionensis</i> (Clarion angelfish)</p>	<p>Mexico</p>	<p>Include <i>Holacanthus clarionensis</i> in Appendix II</p>		<p>Not Support the Proposal</p>
<p>Prop. 48: <i>Nautilidae spp.</i> (Nautilus)</p>	<p>Fiji, India, Palau and the United States of America</p>	<p>Include the Family <i>Nautilidae</i> (Blainville, 1825) in Appendix II</p>		<p>Not Support the Proposal (except for Philippines, decision held in abeyance)</p>
<p>Prop. 24:  Saltwater crocodile (<i>Crocodylus porosus</i>)</p>	<p>Malaysia</p>	<p>Transfer the Saltwater crocodile (<i>Crocodylus porosus</i>) in Malaysia from Appendix I to Appendix II, with wild harvest restricted to the State of Sarawak and a zero quota for wild specimens for the other States of Malaysia (Sabah and Peninsular Malaysia), with no change in the zero quota unless approved by the Parties</p>		<p>Support the Proposal (except for Indonesia, and Viet Nam, decision held in abeyance)</p>

## RECOMMENDATIONS, COUNTRY'S VIEWS ON THE PROPOSAL

**Prop. 42: Inclusion of silky shark *Carcharhinus falciformis* in Appendix II**

**ASEAN-SEAFDEC Common Position: Not support the Proposal**

Recommendations	Countries' Views
<p>Listing of silky sharks in CITES Appendix II would have negative impact to the purse seine fisheries due to high mortality of silky sharks (60 to 80%), and it might not be possible for all purse seiners to comply with the regulation of CITES once this species is listed because it is possible that unloaded tuna catches have this shark species as bycatch.</p> <p>Excluding by-catch of sharks from purse seine fishing operations has become difficult, especially for the silky sharks that commonly inhabit around FADs, and since there are many purse seine fishing operations in the main habitat of silky shark, countries operating purse seine fishing including AMSs should seriously consider this problem, <i>e.g.</i> consider adopting shark by-catch reduction measures to conserve the silky sharks.</p> <p>The rapid increasing number of purse seiners during the past decades in Indian and West Pacific Ocean (Joseph, 2003) has been noted due to increased market demand for tuna products, thus, development of a new technology to reduce the by-catch of silky sharks from purse seiners is timely for the conservation of this species. This cannot be attained through CITES regulations.</p> <p>Introduction of CITES regulation on silky sharks could mask the impact from purse seine fisheries having high mortality.</p> <p>Review the current stock status of this species, since it appeared overfished in Indian Ocean (IO) although information on stock status in other areas is unknown/insufficient, while report on stock status in Sri Lanka conducted by USA was considered too small to represent the overall area of IO although Sri Lanka never submitted any data to IOTC as it is possible that their data needs validation.</p> <p>Similar with the stock status of silky sharks in Indian Ocean, the coverage area for stock study in the Atlantic Ocean could be narrow or limited, thus, the need to collect more data, in fact, ICCAT also reported that data on stock status of silky sharks is unknown (NOAA, 2012).</p>	<p><u>Brunei Darussalam:</u> Brunei Darussalam supports the consensus for ASEAN common positions to reject the proposals.</p> <p><u>Cambodia:</u> not support – this species is not found in Cambodian waters. Listing the species in CITES would affect the small/poor fishermen and Cambodia would recommend sustainable utilization of the species and prefer management of this species under RFMOs.</p> <p><u>Indonesia:</u> not support – as with <i>Alopias</i> spp., Indonesia has already NPOA for sharks and this species can be addressed through this management plan and RFMOs' management measures.</p> <p><u>Japan:</u> not support – as with <i>Alopias</i> spp., conservation and management measures should be taken by RFMOs. In addition, the listing will not help the conservation of this species as the species is caught as by-catch</p> <p><u>Lao PDR:</u> not support - strongly supports the Experts Meetings' recommendations</p> <p><u>Malaysia:</u> not support – agrees with the technical recommendations of the Experts Meeting. Not convinced that CITES listing would be effective for the protection of the species since this is mainly caught as bycatch. Malaysia NPOA-Sharks is considered the best</p>

<p>Consider the results of the study on reduction of by-catch of silky sharks from Tuna Purse Seine by the group of scientists from France showing the methods to release silky sharks from nets as this is very useful in reducing the fishing mortality.</p> <p>Results of a study in France (Amande <i>et al.</i>, 2008) indicated the fact that selecting out of silky shark from large amount of tuna and skipjack catches is practically impossible for purse seine fisheries. This means that the purse seine fisheries cannot avoid the ‘Introduction from the Sea’ of silky shark in the CITES regulations.</p> <p>Since the cycle period of conservation and exploitation of this species ranged from 10 to 15 years (Varghese, 2015), short/medium term plan for sustainable utilization of CITES listed species should be developed, which could include fishing gear modification, VMS, observers’ program, although such measures could incur high costs for their implementation.</p>	<p>tools to address this concern.</p> <p><u>Myanmar</u>: not support - limited information on the species so country needs to survey and collect data and information in detail. The species can be observed only in landing jetties in Rakhine State (western part of Myanmar)</p> <p><u>Philippines</u>: not support- this species is caught primarily as bycatch and its management is most appropriate to be undertaken by concerned RFMOs.</p> <p><u>Thailand</u>: not support – supports the technical recommendations of Experts Meeting. As a pathway for sharks fin trade, the country has difficulties in identifying shark species affecting the said trade</p> <p><u>Viet Nam</u>: not support - supports technical recommendations of Experts Meeting</p> <p>(AEG-CITES FP)</p> <p><u>Singapore</u>: Singapore would go along with ASEAN common positions to reject the proposals.</p>
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**Prop. 43) Inclusion of the genus *Alopias* spp. (thresher sharks) in Appendix II**



**ASEAN-SEAFDEC Common Position: Not support the Proposal**

<b>Recommendations</b>	<b>Countries’ Views</b>
<p>Considering that references in the proposal are outdated and mentioned only the decreasing trends of three species of thresher sharks, while information provided in the proposal to CITES does not include scientific evidence on status of recovered stock after implementation of certain management measures, therefore more scientific information is required.</p> <p>The effectiveness of various fisheries management measures, <i>e.g.</i> IOTC, ICCAT, and other RFMOs areas should be examined as these</p>	<p><u>Brunei Darussalam</u>: Brunei Darussalam supports the consensus for ASEAN common positions to reject the proposals.</p> <p><u>Cambodia</u>: <b>not support</b> - Listing the species in CITES would affect the small/poor fishermen and Cambodia would recommend sustainable</p>

<p>RFMOs have issued restrictions in retaining by-catch of the three species of thresher sharks or <i>Alopias</i> spp., prior to consideration of listing these species into the CITES Appendix II.</p> <p>The information from Sri Lanka which has not been reflected in IOTC records still needs validation, <i>i.e.</i> the general declining trends of the stock of <i>Alopias</i> spp. From 1995-2014, the increasing trend in 2012 which significantly showed recovery of the fish stock, but no data recorded in 2013 and 2014 due to no landing reports.</p> <p>Fisheries management measures should be developed taking into consideration the experiences of RFMOs and other countries as basis for justifications:</p> <p>Conservation of the three species of thresher sharks <i>Alopias</i> spp. to be carried out through “reduction of bycatch mortality scheme” rather than using trade measures of CITES regulations.</p> <p>Indonesia’s catch and-release scheme that has been effectively implemented since 2012 for tuna gillnet and longline fisheries could be a reason for the decreasing trends of the catch in the records.</p> <p>Reduction of efforts or number of fishing boats, referring to the Japanese gillnet and longline fisheries in the coastal and offshore areas during 1992 to 2014, as this must have resulted in slightly increasing trends of the thresher sharks.</p> <p>The NOAA Status Review Report on Common Thresher (<i>Alopias vulpinus</i>) and Bigeye Thresher (<i>Alopias superciliosus</i>) Sharks in 2016 (NOAA, 2016), which made the US Government decide not to list thresher sharks as threatened or endangered under the Endangered Species Act (US Wildlife, 2002), as the report contained evidence that thresher sharks stock are not in the serious situation.</p> <p>The available information indicates that more than one third of thresher sharks stocks in the world are not in bad condition and thus, does not meet with the criteria of Appendix II. FAO expert panel in 2012 suggested that more than 75 - 80 % of total biomass of the species should meet with the criteria of Appendix II for the listing. From the stock assessment in 2016 of the Eastern Pacific, the common thresher sharks stock decreased by gill net fishery from 1970 till 1990 but recovered recently until the present due to the success of the regulation.</p> <p>WCPFC report on CPUE observation data where the reliability of data is high (Clarke, 2001), showing that the trends of thresher sharks by deep set and shallow set longlines operation in 10N-10S as well as ones in Hawaii Bay, are not drastically decreased, and the view point of dynamic population stock assessment, such information supports the good stock condition of the species in Eastern Pacific Ocean. The scientific paper on “Inferring shark population trends from generalized linear mixed model of pelagic longline catch and effort data (Baum <i>et al.</i>, 2010) showing the rather stable CPUEs pattern of thresher sharks in the east coast area of USA.</p>	<p>utilization of the species and prefer management of this species under RFMOs.</p> <p><b>Indonesia: not support</b> - Considering the lessons learned from previously listed sharks species where it has become difficult to validate records of some species unless DNA analysis is carried out, and not sufficient scientific data to support the proposal. As with <i>Alopias</i> spp., Indonesia has already NPOA-Sharks and regulate species through RFMOs, this species can be addressed through these management measures.</p> <p><b>Japan: not support</b> - information from Sri Lanka is very limited to support the proposal and does not merit listing of the species in Appendix II, and since several sharks species were listed during COP16, implementation of CITES regulation on the species should be reviewed first. Moreover, conservation and management should be left with RFMOs</p> <p><b>Lao PDR: not support</b> (abides by decision of majority of ASEAN Member States (AMSs)) - agrees with the technical recommendations of the Experts Meeting</p> <p><b>Malaysia: not support</b> – agrees with the technical recommendations of the Experts Meeting, having been convinced that RFMOs have already robust conservation and management measures for the species.</p> <p><b>Myanmar: not support</b> – data collection activities only at landing jetties because DoF staff have difficulties in working as observers onboard, needs to conduct information dissemination for fishers and vessel owners, and also requires to study socio-economic for fishers before conservation and management; more data on species needed through conduct of more sharks data collection activities.</p> <p><b>Philippines: not support</b> – these sharks species are mainly caught as bycatch by fishing vessels in high seas and should be managed by RFMOs; country also has local laws protecting <i>Alopias</i> spp.</p>
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	<p><b>Thailand: not support</b> – as a pathway for sharks fin trade, the country has difficulties in identifying shark species affecting the said trade</p> <p><b>Viet Nam: not support</b> – agrees with technical recommendations of the Experts Meeting</p> <p><b>AEG-Cites FP</b>  <b>Singapore:</b> Singapore would go along with ASEAN common positions to reject the proposals.</p>
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**Prop. 44: Inclusion of the genus *Mobula* spp. (*Mobula* or devil rays) in Appendix II**



**ASEAN-SEAFDEC Common Position: Not support the Proposal except for Philippines**

<b>Recommendations</b>	<b>Countries' Views</b>
<p>Since only one species of <i>Mobula</i> rays (<i>Mobula mobular</i>) is listed as endangered (in the Mediterranean Sea) under the IUCN Red List (1 species as vulnerable, 4 species as near threatened, 1 species as endangered in the Mediterranean, and 3 species data deficient), the reasons for listing the other 8 species of <i>Mobula</i> in CITES Appendix II should be sought.</p> <p>This proposal should be considered as premature due to limited regional and global scientific landing data.</p> <p>Since <i>mobula</i> rays are caught as by-catch, there is no sufficient data to be used for providing the status and trends of <i>Mobula</i> spp. In the Southeast Asian as well as in other areas, therefore more scientific information and study are necessary.</p> <p>Based on Philippine experience, all species under this genus could be listed as “look-a-like” species, as what has occurred with the historical listing of many aquatic species in the CITES Appendices.</p>	<p><b>Brunei Darussalam:</b> supports the major consensus for ASEAN common positions to reject the proposals.</p> <p><b>Cambodia:</b> not support–supports the recommendations of Experts Meeting and ASEAN position. Since no scientific research had been conducted on <i>Mobula</i> in the country, but this species had definitely declined, the species could be listed as endangered in the country as a management measure.</p> <p><b>Indonesia:</b> not support - focus should be made on management of the species as these are look-a-like species with manta which is already listed and are also caught as by-catch. Indonesia prefers to manage this species under direct fishery conservation and management measures in the country, as this species is a look-a-like to Manta Rays which in turn gives difficulty in field identification. Indonesia also gives very strong pressure on the illegal</p>



	<p>international trade of Manta Rays gill rakers and also actively implements bycatch reduction program through RFMOs measures.</p> <p><u>Japan</u>: not support – information on mobula is limited to satisfy the criteria for listing the species in CITES Appendices</p> <p><u>Lao PDR</u>: agrees with Experts Meeting recommendations and abide by the decision of other AMSs</p> <p><u>Malaysia</u>: not support – agrees with the technical recommendations of the Experts Meeting. Malaysia goes along with the consensus of AMSs</p> <p><u>Myanmar</u>: not support – agrees with the technical recommendations of the Experts Meeting. Country needs more training on species identification, and systematically collected data and trusted information in detail such as bycatch, fishing gears and marketing related matters. In addition, more than 1,000 MT/year of all rays from Myanmar are exported to Thailand through border trade</p> <p><u>Philippines</u>: support - for the reason that manta rays are already protected under national laws. Further, this will address the problem of identification as far as giant rays is concerned.</p> <p><u>Thailand</u>: not support – agrees with the technical recommendations of the Experts Meeting. Thailand is now preparing to include 4 species of mobula rays into the protected list of national Act. 2535 (1992) or Wildlife Preservation and Protection Act</p> <p><u>Viet Nam</u>: not support – agrees with technical recommendations of the Experts Meeting.</p> <p>(AEG-CITES FP) <u>Singapore</u>: Singapore would go along with ASEAN common positions to reject the proposals.</p>
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**Prop.: 45) Inclusion of Ocellate River Stingray, *Potamotrygon motoro*, in Appendix II**



**ASEAN-SEAFDEC Common Position: Not support the Proposal**

Recommendations	Countries' Views
<p>Considering the seriously disadvantages caused by invasion of this species into the wild, as in the Philippines, where importation of the species is no longer allowed as it might become an invasive species like the janitor fish, while culture of the species could be carried out only upon conducting risk assessment studies. For such reason, Malaysia has implemented import risk assessment study of this species and considering that hybrid generation of this species may create a problem in the near future due to difficulties in species identification.</p> <p>Inclusion of the species could affect the local ornamental fish industry in the Southeast Asian countries.</p> <p>In addition to the production from South American countries, some AMSs are breeding this species and trading this to limited countries, while hybrid of this species is produced in some AMSs, e.g. Thailand, where it is becoming more popular as ornamental fish and made more attractive through morphological changes. Considering therefore the aforementioned factors, this species could be managed by range State and should be listed in Appendix III.</p>	<p><b>Brunei Darussalam:</b> Brunei Darussalam supports the consensus for ASEAN common positions to reject the proposals.</p> <p><b>Cambodia:</b> not support - could be listed in Appendix III</p> <p><b>Indonesia:</b> not support - and prefers to mitigate the alien invasive species through national control and regulation. Listing this species also might affect the ornamental fish industry.</p> <p><b>Japan:</b> not support – Information is limited to support the listing, and views of the range states should be prioritized.</p> <p><b>Lao PDR:</b> not support – Agrees with the recommendations of the Experts Meeting</p> <p><b>Malaysia:</b> not support – Agrees with the recommendations of the Experts Meeting. Listing under CITES could negatively affect local ornamental fish trade industry</p> <p><b>Myanmar:</b> not support – Agrees with the recommendations of the Experts Meeting. But not sure of its presence in the country</p> <p><b>Philippines:</b> not support – although not endemic in Philippines but there is trading and breeding of species while production of hybrids could result to difficulties in identification; importation could result in invasive species; although could be listed in Appendix III</p>

	<p><u>Thailand</u>: not support – Agrees with the recommendations of the Experts Meeting. Listing under CITES could negatively affect local ornamental fish trade industry</p> <p>Viet Nam: not support – supports the recommendations of Experts Meeting as listing this species in Appendix II could affect the ornamental fish trade industry in Southeast Asian countries</p> <p>(AEG-CITES FP)</p> <p><u>Singapore</u>: Singapore would go along with ASEAN common positions to reject the proposals.</p>
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**Prop. 46: Inclusion of Banggai Cardinalfish, *Pterapogon kauderni* in Appendix II**



**ASEAN-SEAFDEC Common Position: Not support the Proposal**

<b>Recommendations</b>	<b>Countries' Views</b>
<p>Since this species has already been successfully cultured and introduced in other areas of Indonesia (there are 10 locations outside Banggai Island), and also cultured in Thailand, and that culture-based fisheries is already well established including restocking program for this species, therefore this species should not be listed in the CITES Appendices.</p> <p>MPA and other conservation measures such as limitation of catch and rotation of catch sites for this species are already established (Ndobe, 2012) satisfying the requirements of CITES, thus this issue is no longer a CITES issue but is an issue on capacity building and could be managed without relying on CITES framework.</p> <p>It is not necessary to protect the species through CITES regulation, but Indonesia should be well prepared to justify why this species should not be listed, the logic of which should be well established.</p>	<p><u>Brunei Darussalam</u>: Brunei Darussalam supports the consensus for ASEAN common positions to reject the proposals.</p> <p><u>Cambodia</u>: <b>not support</b> – supports the recommendations of Experts Meeting.</p> <p><u>Indonesia</u>: <b>not support</b> – as this species is only found in Indonesia, Indonesia has to get the most benefit and in the same time responsible for its conservation and management. Indonesia considers the management should be addressed by local and national regulations.</p> <p><u>Japan</u>: <b>not support</b> – agree with decision of Indonesia as the range state</p> <p><u>Lao PDR</u>: <b>not support</b> – agree with Indonesia</p> <p><u>Malaysia</u>: <b>not support</b> – Agrees with the recommendations of Experts Meeting. Listing might negatively affect the ornamental fish industry</p>

<p>Regarding the species whose range is only within one country's jurisdiction, opinion of range state should be respected when new regulation is introduced.</p> <p>Though the distribution area of this species is limited, it is believed to easily expand as this species adapt to the change of environment.</p>	<p><u>Myanmar</u>: <b>not support</b> - Agrees with the recommendations of Experts Meeting.</p> <p><u>Philippines</u>: <b>not support</b> – agrees with Indonesia's position</p> <p><u>Thailand</u>: <b>not support</b> – Agrees with the recommendations of Experts Meeting and agree with Indonesia</p> <p><u>Viet Nam</u>: <b>not support</b> – supports the recommendations of the Experts Meeting and Indonesia (AEG-CITES FP)</p> <p><u>Singapore</u>: Singapore would go along with ASEAN common positions to reject the proposals.</p>
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**Prop. 47: Inclusion of Clarion Angelfish, *Holacanthus Clarionensis* in Appendix II**



**ASEAN-SEAFDEC Common Position: Not support the Proposal**

<b>Recommendations</b>	<b>Countries' Views</b>
<p>This species is specifically available only in the Revillagigedo Archipelago of Mexico and Clipperton Island (overseas possession of France) and while information on trade of this species in the Asian region is very limited, e.g. one evident only the 1005 specimens were exported to Japan, although as reported there has been a sharp decline in the stock of this species, it would be appropriate to list the species under Appendix III of CITES.</p> <p>Considering number of angel fish species are now trading internationally, it is likely that future trade management of all angel fishes may become too complicated if this species is listed under CITES Appendix during</p>	<p><u>Brunei Darussalam</u>: Brunei Darussalam supports the consensus for ASEAN common positions to reject the proposals.</p> <p><u>Cambodia</u>: <b>not support</b> – support recommendations of Experts Meeting</p> <p><u>Indonesia</u>: <b>not support</b> – Indonesia agrees with experts recommendation. Listing this species in CITES Appendix II might be impact to the country's strong ornamental fish trade industry.</p> <p><u>Japan</u>: <b>not support</b> – Information is limited to support the listing, and views of the range states should be prioritized.</p> <p><u>Lao PDR</u>: <b>not support</b> – Agrees with the recommendations of Experts Meeting.</p> <p><u>Malaysia</u>: <b>not support</b> – Agrees with the recommendations of Experts Meeting. This species is more appropriate to be listed in Appendix III. Listing in Appendix II might negatively affect the ornamental fish industry</p> <p><u>Myanmar</u>: <b>not support</b> - Agrees with the recommendations of Experts</p>

<p>COP-17, considering that hybrid generation of this species may create a problem in the near future due to difficulties in species identification.</p> <p>CITES may apply the same logic for other ornamental species once this angelfish species is successfully listed in CITES Appendix II at the COP-17.</p>	<p>Meeting.</p> <p><u>Philippines</u>: <b>not support</b> – trading is not significant and listing might impact on the ornamental fish industry; could be listed in Appendix III instead.</p> <p><u>Thailand</u>: <b>not support</b> – Agrees with the recommendations of Experts Meeting. For the same reasons as raised by other AMSs but could be listed in Appendix III</p> <p><u>Viet Nam</u>: <b>not support</b> – agree with recommendations of the Experts Meeting</p> <p>(AEG-CITES FP)</p> <p><u>Singapore</u>: Singapore would go along with ASEAN common positions to reject the proposals.</p>
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**Proposal: 7) Inclusion of all species of nautilus under the Family Nautilidae in Appendix II**



**ASEAN-SEAFDEC Common Position:** Not support the proposal except Philippines, decision held in abeyance)

<b>Recommendations</b>	<b>Countries' Views</b>
<p>Since most species under this family are already protected in the concerned AMSs <i>e.g.</i> Indonesia (1999), and that there are no fishing activities of this species, this could not be proposed for listing in CITES Appendix. However, listing or not listing would depend on the countries producing the species and that more information is needed to support such action, <i>e.g.</i> information found in a report by TRAFFIC on nautilus species (TRAFFIC, 2016).</p>	<p><u>Brunei Darussalam</u>: Brunei Darussalam supports the consensus for ASEAN common positions to reject the proposals.</p> <p><u>Cambodia</u>: <b>not support</b> - supports the recommendations of Experts Meeting and ASEAN position</p> <p><u>Indonesia</u>: <b>not support</b> - as this species is already protected in Indonesia and prefer to manage it through conservation management measures.</p> <p><u>Japan</u>: <b>not support</b> - Information is limited to support the listing and views of the range state should be prioritized</p> <p><u>Lao PDR</u>: <b>not support</b> - follow with other AMSs</p>

	<p><b>Malaysia: no strong position and willing to accept consensus decision</b> – Since this species’ distribution in Malaysian waters is very limited, Malaysia could go by consensus of AMSs.</p> <p><b>Philippines: not support</b> Appendix II listing but will support Appendix III listing; enforcement of trade management is challenging.</p> <p><b>Myanmar: not support</b> – Will follow the consensus of the AMSs.</p> <p><b>Thailand: not support</b> – Agrees with the recommendation from the Experts Meeting.</p> <p><b>Viet Nam: not support</b> – more information is needed to support the listing of all species of nautilus in Appendix II</p> <p>(AEG-CITES FP)</p> <p><b>Singapore:</b> Singapore would go along with ASEAN common positions to reject the proposals.</p>
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**Prop. 24: Downlisting of *Crocodylus porosus* from Appendix I to Appendix II**



Support the Proposal  
(except Indonesia, Japan, and Viet Nam, decision held in abeyance)

<b>Recommendations</b>	<b>Countries’ Views</b>
<p>Since the level of stocks of this species in Malaysia (State of Sarawak) had already improved, the proposed down-listing of the species from Appendix I to Appendix II is justified.</p> <p>Considering that this species is managed by Environment, Forestry, or Fisheries authorities of the countries, the abovementioned decision should be discussed with such agencies before COP17.</p>	<p><b>Brunei Darussalam:</b> <b>support</b> – Agrees to Malaysia’s proposal</p> <p><b>Cambodia: support</b> – supports the recommendations of Experts Meeting and ASEAN position. The species is distinct but would be introduced back from Thailand for captive breeding.</p>

	<p><u>Indonesia</u>: subject to discussion with appropriate agencies in the country. The management authority of CITES Indonesia is in the Ministry of Environment and Forestry.</p> <p><u>Japan</u>: supports the recommendation of the Experts Meeting.</p> <p><u>Lao PDR</u>: <b>support</b> – Agree with recommendations of Experts Meeting.</p> <p><u>Malaysia</u>: <b>support</b> – down-lisitng would enable the country to exploit the resources sustainably and reduce its impacts on people</p> <p><u>Myanmar</u>: <b>support</b> – Agree with recommendations of Experts Meeting. For discussion with other agencies in country for actual decision</p> <p><u>Philippines</u>: <b>support</b></p> <p><u>Thailand</u>: <b>support</b> - Agree with recommendations of Experts Meeting.</p> <p><u>Viet Nam</u>: decision held in abeyance</p> <p>(AEG-CITES FP) Singapore: Singapore would support Malaysia’s proposal.</p>
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**ASEAN-SEAFDEC COMMON POSITION  
INTERVENTION, SUPPORT FROM MEMBER COUNTRIES, AND RESULTS OF VOTING  
FOR COMMERCIALY-EXPLOITED AQUATIC SPECIES AT CITES COP-17**

<b>Proposal No.</b>	<b>Proposal</b>	<b>Common Position</b>	<b>Intervention</b>	<b>Results of Voting</b> Support/Abstain/ Oppose	<b>Remarks</b>
<b>Prop. 42:</b> <i>Carcharhinus falciformis</i> , (Silky shark)	Include Silky shark <i>Carcharhinus falciformis</i> in Appendix II	<b>Oppose the Proposal</b>	Japan, Indonesia, SEAFDEC (Oppose)	111: 5: 30  <b>Accepted</b>	
<b>Prop. 43:</b> <i>Alopias spp.</i> (Thresher sharks)	Include the genus <i>Alopias spp.</i> in Appendix II	<b>Oppose the Proposal</b>	Philippines (support) Japan(Oppose)	108: 5: 29  <b>Accepted</b>	
<b>Prop. 44:</b> <i>Mobula spp.</i> (Devil rays)	Include the genus <i>Mobula spp.</i> in Appendix II	Oppose the Proposal (except for Philippines)	Myanmar (Oppose)	110: 3: 20  <b>Accepted</b>	
<b>Prop. 45:</b> <i>Potamotrygon motoro</i> (Ocellate river stingray)	Include Ocellate River Stingray <i>Potamotrygon motoro</i> in Appendix II	<b>Oppose the Proposal</b>	Lao PDR (Oppose)	Withdraw	
<b>Prop. 46:</b> <i>Pterapogon kauderni</i> (Banggai cardinal fish)	Include <i>Pterapogon kauderni</i> in Appendix II	<b>Oppose the Proposal</b>	Indonesia (Oppose)	Withdraw**	
<b>Prop. 47:</b> <i>Holacanthus clarionensis</i> (Clarion angelfish)	Include <i>Holacanthus clarionensis</i> in Appendix II	<b>Oppose the Proposal</b>	Viet Nam, Japan (Oppose)	97: 15: 21  <b>Accepted</b>	Viet Nam blocked the consensus and asked for voting
<b>Prop. 48:</b> <i>Nautilidae spp.</i> (Nautilus)	Include the Family <i>Nautilidae</i> (Blainville, 1825) in Appendix II	Oppose the Proposal (except for Philippines, decision held in abeyance)	Cambodia, Japan (Oppose)	102: 10: 9  <b>Accepted</b>	Cambodia blocked the consensus and asked for voting
<b>Prop. 24:</b> Saltwater crocodile ( <i>Crocodylus porosus</i> )	Transfer the Saltwater crocodile ( <i>Crocodylus porosus</i> ) in Malaysia from Appendix I to Appendix II,	Support the Proposal (except for ID & VN, decision held in abeyance)	Malaysia, Cambodia, Philippines Indonesia (Support)	No Voting Agreed with the consensus  <b>Accepted</b>	

\*CITES votes where consensus is not possible, with a two thirds majority required  
(Score: Support/Abstain/ Oppose)

\*\* EU withdraw the proposal with proposed that Indonesia need to report Banggai Cardinal Fish to Animal Committee 31 and will be bring to CoP18.



## **REGIONAL FISHING VESSELS RECORD (RFVR): A TOOL TO COMBAT THE IUU FISHING IN SOUTHEAST ASIAN REGION**

### **Executive Summary**

At the onset, SEAFDEC/TD organized a series of experts meeting as follows: 1) the 1<sup>st</sup> Meeting of Regional Core Experts in October 2011, where the procedures for fishing licensing and boats registration in Southeast Asian countries as well as the corresponding minimum requirements for obtaining fishing license and boats registration certificates were discussed as well as ways and means of preventing the fish and fishery products from IUU fishing; 2) the 2<sup>nd</sup> Meeting of Regional Core Experts in June 2012, where an principal agreement on the list of required data and information was reached by the SEAFDEC Member Countries on sharing of fishing vessels data/information for 24 meters in length and over. The results and agreed basic information requirements/list from such meetings, and the concept proposal on establishment of the RFVR were presented to and approved by the SEAFDEC Council during its 45<sup>th</sup> Meeting in April 2013 in the Philippines. 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) to establish a Regional Fishing Vessels Record (RFVR) for 24 meters in length and over as a tool to combat IUU fishing in the Southeast Asian Region.

The series of activities implementation has been continued through an expert and consultation meetings in 2014, while the RFVR for 24 m in length and over was lunched at the 47<sup>th</sup> Meeting of SEAFDEC Council in April 2015 in Chiang Rai, Thailand. Follow-up the recommendations made by Member Countries, SEAFDEC continued to update and improve the RFVR-24m Database as well as reviewing the vessels for less than 24m that are concerned in the IUU fishing activities. In connection to this, the Regional Technical Consultation on the Regional Fishing Vessels Record: Use and Way Forward of RFVR Database was held on 2-4 June 2015, in Pattaya, Thailand. The results came out with “Policy Recommendation, Strategies and Way Forward for AMSs and SEAFDEC to Prevent, Deter and Eliminate IUU Fishing through Utilization of RFVR Database for 24 Meters in Length and Over” for consideration by the 18<sup>th</sup> FCG/ASSP. In 2016, the updating of information on RFVR Database is continued in collaboration with relevant Member Countries.

### **Required Consideration by the Meeting**

The meeting is requested to take note and support to procedure for updating information for RFVR Database. The meeting is also invited to provide updating information for RFVR Database strategy.

### **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 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. The series of activities implementation has been conducted. In 2015, the Regional Technical Consultation on the Regional Fishing Vessels Record: Use and Way Forward of RFVR Database as a Management Tool to Reduce IUU Fishing in Southeast Asian Region was organized from 2-4 June 2015 with came out of “the Policy Recommendation, Strategies and Way Forward for AMSs and SEAFDEC to Prevent, Deter and Eliminate IUU Fishing through Utilization of RFVR Database for 24 Meters in Length and Over”

### **II. STRATEGY OF RFVR DATABASE IMPLEMENTATION**

Following the strategies of RFVR Database implementation to Prevent, Deter and Eliminate IUU Fishing through Utilization of RFVR Database for 24 Meters in Length and Over with agreed by AMS in the Regional Technical Consultation on the Regional Fishing Vessels Record: Use and Way Forward of RFVR

Database as a Management Tool to Reduce IUU Fishing in Southeast Asian Region was organized from 2-4 June 2015. The updated of basic information requirement is 28 items as shown in *table 1*

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

<b>Information on fishing vessels</b>	<b>Information on fishing vessels</b>
Name of vessel	International Radio Call sign
Vessel Registration Number	Engine Brand
Owner Name	Serial number of engine
Type of fishing method/gear	Hull material
Fishing License number	Date of registration
Expiration date of fishing licenses	Area (country) of fishing operation
Port of registry	Nationality of vessel (flag)
Gross tonnage (GRT/GT)	Previous name (if any)
Length (L)	Previous flag (if any)
Breadth (B)	Name of captain/master
Depth (D)	Nationality of captain/master
Engine Power	Number of crew (maximum/minimum)
Shipyard/Ship Builder	Nationality of crew
Date of launching/Year of built	IMO Number (If available)

Regarding to time lag which might be a problem in compilation of fishing vessel information, AMS agreed to update information in the RFVR Database one time for the year by submit updating information to SEAFDEC. The time for annual renewing/ updating of information on RFVR Database was identified by AMS as shown in *table 2*

*Table 2: Time of annual renewing/ update for information on RFVR Database*

<b>Period of updating information</b>	<b>Country</b>	<b>Sending reminder e-mail to NFP for RFVR to submit updating information</b>
1 <sup>st</sup> Quarter of year (January –March)	Brunei Darussalam Malaysia Philippines Singapore	February
2 <sup>nd</sup> Quarter of year (April-June)	Thailand	May
3 <sup>rd</sup> Quarter of year (July-September)	Myanmar	August
4 <sup>th</sup> Quarter of year (October-December)	Indonesia Viet Nam	November

### III. UPDATING OF INFORAMTION ON RFVR DATABASE

<b>Period of updating information</b>	<b>Country</b>	<b>Updated</b>	<b>Not Update</b>	<b>Remark</b>
1 <sup>st</sup> Quarter of year (January –March)	Brunei Darussalam	✓		
	Malaysia	✓		
	Philippines		✓	The reminder e-mail was sent to NFP of RFVR 2 times. Until now, we are still waiting for updating information from Philippines
	Singapore	✓		
2 <sup>nd</sup> Quarter of year (April-June)	Thailand	✓		
3 <sup>rd</sup> Quarter of year	Myanmar		✓	The reminder e-mail was

<b>Period of updating information</b>	<b>Country</b>	<b>Updated</b>	<b>Not Update</b>	<b>Remark</b>
(July-September)				sent to NFP of RFVR 2 times. Until now, we are still waiting for updating information from Myanmar
4 <sup>th</sup> Quarter of year (October-December)	Indonesia		✓	We are waiting for updating information from Indonesia. Reminder e-mail will sent to national coordinator and RFPN (Indonesia is not submit NFP for RFVR) in November
	Viet Nam		✓	We are waiting for updating information from Viet Nam. Reminder e-mail will sent to NFP for RFVR in November



## ASEAN CATCH DOCUMENTATION SCHEME FOR MARINE CAPTURE FISHERIES

### Executive Summary

In according to increase the traceability of capture fisheries, the 13<sup>th</sup> Meeting of the Fisheries Consultative Group of the ASEAN-SEAFDEC Strategic Partnership (FCG/ASSP) in December 2010 in Thailand suggested SEAFDEC/Secretariat to take a proactive role in facilitating the sharing of experiences and information among the Member Countries in order to enhance the capacity of Member Countries in complying with the requirements of the EC Regulation 1005/2008. In addition, ASEAN Member States (AMS) expressed their support on improve the traceability for capture fisheries to ensure the sustainability of fisheries for food security toward 2020. Furthermore, AMS also support the development of common regional catch documentation scheme/system herein after called “ASEAN Catch Documentation Scheme for Marine Capture Fisheries 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 AMSs, SEAFDEC Secretariat in collaboration with MFRDMD conducted the small group of expert while come up with the first draft ASEAN Catch Documentation System/Scheme for Marine Capture Fisheries in 14-16 October 2014. Furthermore, SEAFDEC also conducted the Regional Technical Consultation in 16 -18 December 2014 to harmonize and come up with the 2<sup>nd</sup> draft of the ASEAN CDSs. This draft was proposed for consideration and comments at the 47<sup>th</sup> Meeting of the Council of SEAFDEC (47CM) in April 2015. In order to accommodate the comments from 47CM, SEAFDEC organized another Expert meeting in May 2015 and come up with the finalized 3<sup>rd</sup> Draft of the ACDS as well as the Info-graphic on usages of ACDS in various scenarios of catch flows of fish and fishery products into the ASEAN Region. To ensure that the ACDS are benefit to the relevant stakeholders for implementation, SEAFDEC conducted the Stakeholder Consultations in March 2016. This issue was updated to the Council at its 48<sup>th</sup> Meeting in Viet Nam, while the 48CM suggested as follows:

Para. 49. While noting that implementation of the ACDS would be pilot-tested in Brunei Darussalam, the Council Director for Viet Nam raised the concern on the way forward after the scheme would have been piloted in Brunei Darussalam, which possibly implies that the scheme should be revised.

Para. 50. In this connection, the Council Director for Malaysia suggested that SEAFDEC should take into consideration the requirements of the EU and the U.S. Presidential Task Force in order that the ACDS would be acceptable by importing markets.

Para. 51. The Council Director for the Philippines also indicated that since the ACDS would be used as basis for promoting intra-regional trade by the AMSs, this should be in line with the systems that are already being implemented by the AMSs considering that the ACDS would also be used to improve national traceability of fish and fishery products.

Para. 52. The Council Director for Indonesia suggested that the pilot testing activity of the ACDS to be implemented in Brunei Darussalam could be endorsed during this Meeting, however, the final ACDS could be considered later after results of the pilot testing have already been compiled and the ACDS is adjusted accordingly.

Para. 53. The Council Director for Thailand also raised the concern on how to verify the information contained in the ACDS forms, and suggested that the process to investigate the accuracy of information should be taken into account in the ACDS plans of action.

Para. 54. After the deliberation, the Council endorsed the plan to pilot test the ACDS in Brunei Darussalam and asked SEAFDEC to report the results of trial on the implementation of the ACDS during the next Meeting of the SEAFDEC Council.



## **Electronic ASEAN Catch Documentation System (e-ACDS) and paper types ACDS**

SEAFDEC secretariat conducted the baseline survey in Brunei Darussalam in August 2016 with aims to observe the actual supply chains of fish and fishery products and consult to the relevant agencies and stakeholders on important of catch documentation (**Appendix 1**). SEAFDEC also visited the Swedish Agency for Marine and Water Management (SwAM) and other relevant organizations in September 2016 to observe the monitoring and control of fishing effort including applications of traceability systems for marine capture fisheries in Sweden (**Appendix 2**). The SEAFDEC team also observed the existing catch documentation system for exportation of fish and fisheries products to EU implementing in Thailand and Indonesia in October 2016. In this connections, the system of Catch Documentations for both electronic ACDS (e-ACDS) and paper-type ACDS for marine capture fisheries. Taking into consideration, many AMSs requires the paper-type but some can implement the e-ACDS. Monitoring and control of fishing as well as the verifying catch weight and validation of vessels by port authority before departure for fishing are integrated the lessons learned from SwAM, Indonesia and Thailand. SEAFDEC also consider that the e-ACDS required country database such as fishing vessel database, buyers, processing plants, etc., that meant the both systems will not only apply for Brunei Darussalam but also apply for all ASEAN Member States. The system is also developed for both commercial and small-scale fisheries. It is expected that the 1<sup>st</sup> draft application system would be completed by end of December 2016, while the testing of the system will be introduced to Brunei Darussalam in the 1<sup>st</sup> Quarter of 2017. It is also expected that the full-testing System for Brunei Darussalam would be launched at the 49<sup>th</sup> Meeting of SEAFDEC Council in Brunei Darussalam.

### **Required Consideration by the Meeting**

The 19<sup>th</sup> FCG/ASSP is requested to take note the progress on development of the electronic system of the ASEAN Catch Documentation Scheme for Marine Capture Fisheries. The meeting is also invited to provide advice and suggestion to ensure that implementation of the ACDS would support the prevention of entry of fish and fishery products from IUU fishing activity into the supply chains as well as enhancing the national, intra-regional and international market.



**Report on the  
Baseline Survey towards Development of the *electronic* ASEAN Catch Documentation Scheme and  
Pilot-testing in Brunei Darussalam**

16-18 August 2016

Prepared by *Dr. Somboon Siriraksophon*

**I. INTRODUCTION**

- 1) In response to the 48<sup>th</sup> Council Meeting's endorsement for Pilot-testing of the ASEAN Catch Documentation Scheme (ACDS) during a period from in 2016-2017 by ASEAN Member States, SEAFDEC conducted the baseline surveys in the AMSs with aims to observe the actual supply chains of fish and fishery products and consult to the relevant agencies and stakeholders for initiated development of the electronic system of the ACDS (e-system) for marine capture fisheries. The 1<sup>st</sup> baseline survey towards development of the e-system was conducted in Brunei Darussalam as one of the pilot-country for implementation the system on 16-18 August 2016.
- 2) The meeting was attended by the officers from different divisions of the Department of Fisheries such as Capture Fisheries Industry Division (CFID), Capture Fisheries Development Division (CFDD), Management and Surveillance Division (MAS), Seafood Processing Industry & Development Division (SPIDD), Fisheries Biosecurity Division (FBD) and Planning and Industrial Development Division (PIDD).
- 3) The meeting and baseline survey are aims to:
  - a. Introduction of the concept of ASEAN Catch Documentation Scheme
  - b. Examination of the actual supply chains of fish and fishery products in Brunei Darussalam;
  - c. Identify the key issues and challenges on the supply chains and implementation of the ACDS;
  - d. Develop the architect of the traceability system for marine capture fisheries including imported fishes and fishery products from neighboring country to ensure that fish and fishery products in the supply chains not come from IUU fishing activity;
  - e. Suggestion on the steps and arrangements for implementation of the e-ACDS.
- 4) This report summarized the results of the baseline survey that includes the basic requirements and flowchart of the supply chains of fish and fishery products in Brunei Darussalam. In addition, the report also conclude the issues/challenges and the suggestions on preparation and action by the Department of Fisheries of Brunei Darussalam for development and implementation of the ACDS e-system in early of 2017.

**II. ASEAN CATCH DOCUMENTATION SCHEME (ACDS)**

- 5) SEAFDEC introduced the development of the ACDS based on the requested by SEAFDEC Member Countries with aims to enhance the intra-regional trade. In addition, the 18 scenarios on usages of catch documentations was also introduced to all participants for further discussion in details on how to apply the ACDS to Brunei Darussalam.

**III. REVIEWS AND RESULTS OF DISCUSSIONS**

- 6) Based on the existing fisheries management of Brunei Darussalam, Under the policy of Sustainable Fisheries Management, Brunei Darussalam Fisheries Limits, Chapter 130 and Fisheries Order, 2009 provide legislative infrastructure for the management of fisheries activities and fishing areas, as well as marine reserves and parks. This underlying policy has been translated into operational and field level management programs to ensure:
  - a. The protection of resources from over-fishing and destructive fishing activities;
  - b. The protection of breeding grounds (coral reefs and mangroves) and promote recruitment and recovery.
  - c. Promotion of responsible fishing and environment-friendly technology.



- 7) Fisheries within the EEZ are managed in to 4 fishing zones. where:
  - a. Zone 1 are from coastal line to 3 nm for small scale fisheries with outboard engine;
  - b. Zone 2 are the distance from more than 3 nm to 20 nm for fishing vessel less than 60GT or engine less than or equivalent to 350HP.
  - c. Zone 3 are the distance from more than 20 nm to 45 nm, fishing vessel of 60GT to 150GT or the engine size between 351 to 600 HP; and
  - d. Zone 4 are the distance from more than 45 nm to 200 nm for fishing vessel more than 150 – 200 GT, or the engine larger than 600HP to 800 HP.
- 8) Main fishing gears operated in the Brunei Darussalam waters are grouped into 5 fishing gears namely trawl, purse seine, Longline, Drift gill net, and Hook and lines.
- 9) Marine capture fisheries productions in 2013 was around 15,250 MT higher than the production in 2012 about 1,800 MT.
- 10) Total number of fishing vessels is varied year by year, however it is estimated around 2,480 fishing vessels in 2011 in which about 44 fishing vessels length between 15-32 meter are commercial fishing vessels and 2,436 are individual small boats.
- 11) Fishing boats/vessel are under the jurisdiction of Marine Department (Registration of Fishing Vessels and Pleasure Craft)Regulation, 2011. In addition, fishing gears are under the jurisdiction of Fisheries Department (FisheriesOrder,2009)
- 12) Some mitigating measures have been implemented to abate the recent decline in the fish capture production such as;
  - a. Implementation of fishing zonation system;
  - b. Moratorium on the issuance of new fishing licenses for commercial bottom trawlers, since 2000;
  - c. The implementation of new mesh size regulations using 51 mm square mesh netting for the trawl cod end, since 2002;
  - d. Imposition of moratorium on small-scale fishing activities in Zone 1 (0 ~ 3 nautical miles from the shore) since 2008;
  - e. Promoting the conservation program in Brunei waters, for the purpose of habitat enrichment, which in turn would create more breeding grounds for the young fish, increase biodiversity as well as creating more alternative fishing grounds to the fishermen;
  - f. Prohibitions of destructive fishing implements and activities such as cyanide fishing and use of explosives under the Fisheries Order 2009;
  - g. Published the NPOA-IUU fishing in 2011.
- 13) For Commercial Fishing Vessel is required to submit the log book which contain the details of catch every month. It is also noted that many commercial fishing vessels operated in Brunei Darussalam waters are transferred from Malaysia.
- 14) There is no landing fee for all commercial fishing vessels that landed at the fishing complex landing site.
- 15) Most of marine fishes from capture fisheries after landed at the fishing complex will be sent directly to the wet/local market by fishing boat owner, however, in case of big amounts for fishes the buyer from processor will be informed in advance by the fishing boat owner.
- 16) However, the fish supply to processors are not only come from flag state vessels, it is just only 20%, but another 80% of the total marine fishes are from neighboring country by trucks/land particularly Sabah state of Malaysia.
- 17) The process for import raw materials from Malaysia by landed are simple as follows:

Exporting countries provide the sale Invoice of fresh-fishes at the border-checking point while the buyer's company in Brunei Darussalam submit a declaration document (from online website) to the Custom. The company will receive an imported license. Some fresh fishes will be sent directly

to wet/local market for local consumption. But some are used in the processing plants.

18) In case of small scale fisheries, small fishing boats are also play an important role in the supply chains of shrimp surimi products which normally for local consumption.

19) Most of the crew and fishing master operated the Brunei's flag fishing vessels are from Indonesia, and the Philippines.

20) Golden Corporation – one of the important quality seafood producer in Brunei Darussalam – produces surimi from unmarketable fishes from trawl fisheries. The wastes from surimi processing line are used for fish meal production used in local farms. The market for Surimi products are Taiwan, Indonesia, Malaysia, Thailand, Singapore, Hong Kong, USA and Japan. In addition, the Golden Corporation have their own fleets to catch tuna such as yellowfin tuna, skipjack, and etc. The company produced a wholefrozen tuna for exporting to Thailand for processing and re-export to international market including EU-market.

21) Taking noted that Brunei Darussalam is planned to implement the Catch Documentation Scheme to support the exporting of its products to international market.

#### **IV. ISSUES, CHALLENGES AND PROPOSED SOLUTIONS ON ACDS**

22) Monitoring of fishing vessels to avoid or prevent the fishing activity in unauthorized zone areas would be one of the challenges to ensure that fishes are not from illegal fishing. Regarding this, there is no VMS system in place to monitoring commercial fishing real time. The current practices to observe the location of fishing operations are from logbook which is submitted by fishing vessel's owner every month. In this connection, it is proposed to monitor and check logbook every times when the fishing vessel landing their fishes at the port.

23) Currently there is no implementation of catch documentation in place to support the exporting of fish and fishery products from the country. Only health certificate and exporting permit are regular implemented.

24) In addition, fishes from neighboring country are currently imported without any catch documentation, therefore how the DOF/BN guarantee that those fishes are not from IUU fishing activities. Referring to the Adopted ASEAN Guidelines on preventing the entry of fish and fishery products from IUU fishing activity to the supply chains, it is necessary to request the catch certificate from exporting country into Brunei Darussalam either by land or by sea transportation.

25) Unclear direction on the development of e-CDS system to support the implementation of the ACDS under the Fisheries and Oceans partnership, as it is an urgent required by AMS to improve the country traceability of marine capture fisheries. In this connection SEAFDEC would play a role in developing the e-ACDS for pilot testing in Brunei Darussalam as committed during the 48<sup>th</sup> Meeting of the SEAFDEC Council using the proposed budget for 2016-2017 under the SEAFDEC-Sweden in collaboration with Japanese Trust Fund project. In addition, the proposed e-ACDS need to be harmonized system for future implementation in all AMSs.

26) Small fishing boats contributes to the supply chains such as SURIMI products, in this connection the simplified e-ACDS would be further developed later based on the success system from the commercial one.

#### **V. DEVELOPMENT OF THE e-ACDS**

27) The architect of e-ACDS as appeared in **Figure 1** is proposed by SEAFDEC for consideration by DOF/Brunei Darussalam. In order to increase an effectiveness of the electronic system for ACDS, many modules of database are required at country level such as fish species, fishing boat, fishing boat owner, fish buyers, processor, exporter and etc.



- 28) The e-ACDS system may link to the fishing vessel monitoring system or VMS, in case there are many countries have already established at national levels. But for those country that do not have the VMS in place, the alternative monitoring system such as logbook, and other appropriate system are needed to strengthen.
- 29) At landing site, establishment of the local fisheries authority/unit is required with aims to verify the Catch Declaration (CD1) and total landing catches by species and provide the movement document (MD1) to the buyers or processors for reference
- 30) At processing plant, processor will create processing statement (PS) for re-export of processed fish by online e-system. The competent authority will validate all document details and provide the ASEAN Catch Certificate (ACC) for exportation.
- 31) In addition, the Processor may consider to develop the QR code attached to each batch of the products in order to provide origin of fish information to the end consumer. Several information related to the sustainable utilization of resources and environmental friendly fishing could be added into the QR Code.
- 32) Taking into account the effectiveness of implementation the ACDS, the electronic system required all types of information and data in forms of several database modules as appeared in **Figure 2ab**.

Figure 1: Architect of e-ACDS

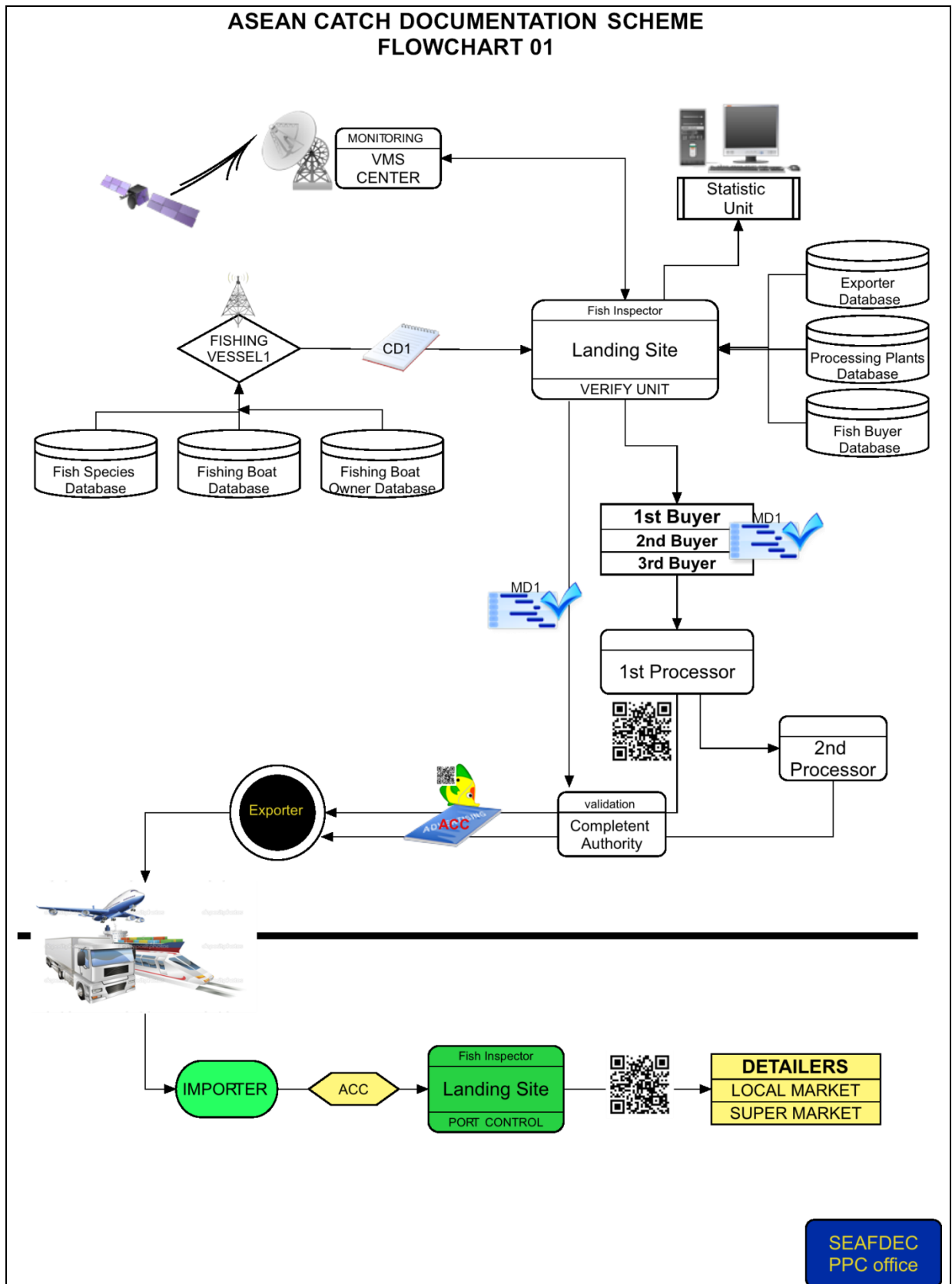


Figure 2ab: Information and data required for the e-ACDS

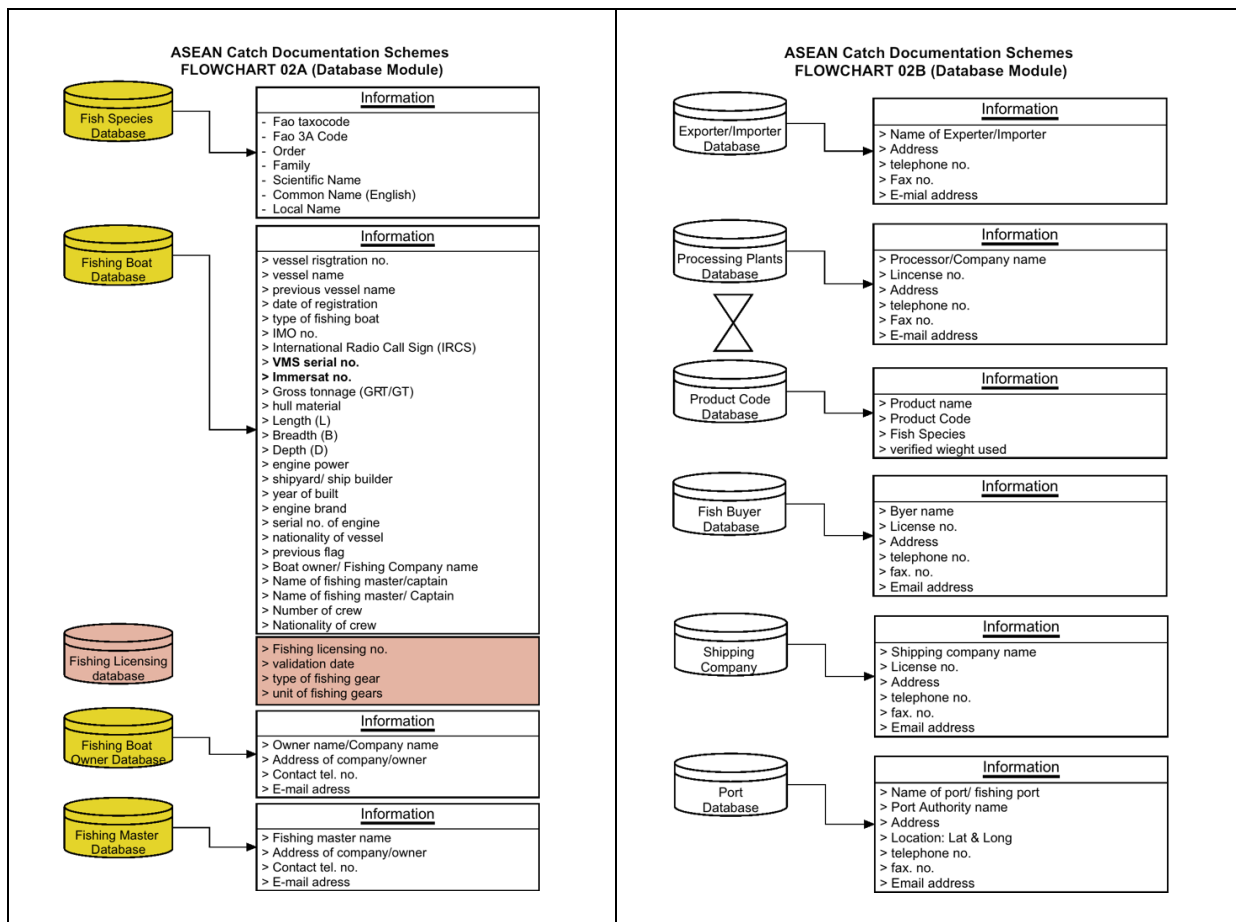
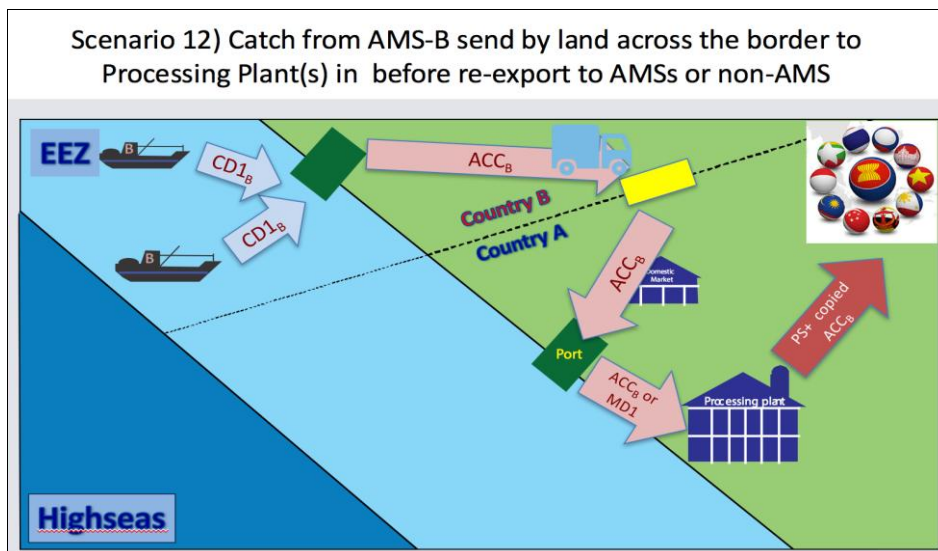


Figure 3 Info-graphic on Usages of ACDS for importing of fishes by land from neighboring country.



33) For Brunei Darussalam, the e-ACDS could be modified more simple to be implementation, however there are several points that need to be finalized again: firstly, on the existing data and information for inputs in each database module. In this connection SEAFDEC will further communicate to DOF/BN for sharing of those data. Secondly, establishment of the landing site authority/unit for verification of the CD1 and certify on the MD1 before moving fishes to the processing plants. Thirdly, establishment of the

Competent Authority to validate all documents and provide the ACC together with fishery products during exportation.

34) In case of the imported fish from Malaysia, the DOF/BN could refer to Info-graphic on Usages of ACDS in Various Scenarios of Catch Flow of Fish and Fishery Products in ASEAN Region particularly on the Scenario # 12 in which catches from AMS-B send by land across the border to Processing Plant(s) before re-export to other AMSs or non-AMS (**Figure 3**). Accordingly, to prevent the IUU fish come into supply chains of Brunei Darussalam, the exporting country need to provide the Catch Certificate.

35) Refers to para. 35, the bilateral dialogues between Brunei Darussalam and Malaysia may be needed.

## VI. CONCLUSIONS AND WAY FORWARD:

36) Work plan for development of the e-ACDS in order to apply for AMS-Pilot Testing is shown in Table 1:

ACTIVITY	TIMELINE	REMARKS
➤ Baseline survey ( Responsible agency, Landing sites, processing plants, import/expert, etc.	15-18 Aug. 2016	
➤ Designing the e-traceability system base on the surveys	Aug.-Sept. 16	In connection to the Oceans system or Move ahead by SEAFDEC
➤ Developing the e-traceability system through the Web-based Application for catch from sea to landing > processing > exporting > and consumer	Sept.16-Mar.17	
➤ Stakeholders consultation/consultation with EGNC-BN:	Jan. 2017	
➤ Testing the e-traceability system (ACDS)	Mar.17	
➤ Launching the system at the 49th Meeting of SEAFDEC Council (Create new SEAFDEC server for the system)	Apr. 2017	
➤ Implementation and Monitoring the e-traceability system	Apr. – Aug.17	
➤ Impact Assessment on the the e-traceability system in BN	Aug.– Nov.17	With responsible agency
➤ Report progress works of Pilot-testing to the 20 FCG/ASSP	Dec. 2017	

37) The 1<sup>st</sup> draft of e-ACDS would be ready for testing in March 2017 before the 49<sup>th</sup> Meeting of the SEAFDEC Council held in Brunei Darussalam. In addition, it is suggested to conduct the Stakeholders Consultation in order to introduce the system by early of 2017.

38) The system for pilot testing is the individual system for Brunei Darussalam implementation only, that why after all complete in developing the e-ACDS, the system needed to be installed at the Country's server. However, during testing the system will be run on SEAFDEC Server in which it is suggested to have separate server on e-ACDS propose only.

39) Reference to Para 39. it is necessary to consult with all SEAFDEC Member Countries again to revise the **Concept of ACDS for Marine Capture Fisheries** in which the setup of the secretariat for running whole ACDS system maybe not necessary, single window for all ASEAN Member states maybe not appropriate in this stage.

40) The e-ACDS is developed only in English language, SEAFDEC may consider in near future in case the local language is required.

41) SEAFDEC will seek again the collaboration with/support from the Oceans and Fisheries Partnership in development of the e-ACDS or CDT for Implementation by other AMSs such as Brunei Darussalam, Cambodia, Thailand, and Myanmar.

**Report on the  
Consultations with SwAM/Sweden and Other Relevant Organizations on Monitoring and  
Control of Fishing Effort Including Applications of Traceability Systems for  
Marine Capture Fisheries in Sweden**

12-15 September 2016  
Prepared by SEAFDEC Secretariat

## **I. INTRODUCTION**

1) Over the last six years, SEAFDEC and SwAM has been discussing areas suitable for cooperation of relevance to the needs of the region while building upon the experiences of SwAM and other Swedish and European institutions. Areas that have been discussed include management of fishing capacity, monitoring and control of fishing effort, regional and sub-regional dialogue and cooperation in the context of sharing European Union experiences (including stakeholder consultations) and, increasingly the applicability of (electronic) catch documentation schemes and related traceability systems based on experiences and trials in Sweden. The applicability of the traceability systems tested in Sweden has from SwAM been highlighted as an area that, potentially, could be adjusted to be applicable in the ASEAN Region.

2) Developments within Southeast Asia, with support from Sweden and other partners, has taken steps forward following international - and regional – requirements (EU, US and others) to improve traceability of catches and landings all through the supply chain in order to combat illegal practices, to strengthen regulations and to improve records/statistics within the fishing industry. Increasingly aspects on labor and working conditions have been addressed in the region and sub-regions. Progress has been made in developing a RPOA-Neritic Tuna, a framework for an ASEAN Catch Documentation Scheme (ACDS) and in drafting a RPOA-Fishing Capacity. Parallel to this dialogue to strengthen cooperation in sub-regions has been ongoing in the Gulf of Thailand, the Andaman Sea and the Sulu-Sulawesi Seas.

3) Plans of action are now in place and to move ahead it is important to test and pilot the applicability and usefulness of different systems to monitor and control levels of fishing activity while at the same time strengthen traceability throughout the supply chain (including means of certification). Some trials will be made by the USAID Oceans and Fisheries Partnership (in cooperation with SEAFDEC) in the Sulu-Sulawesi Seas while SEAFDEC have indicated that further trials could be made in cooperation with Sweden in Gulf of Thailand and Andaman Sea – possibly also in follow-up to the RPOA Neritic Tuna as has been discussed earlier with SwAM, ABBA Seafood and others.

4) The background above is provided to indicate that there is now a suitable timing to move ahead and learn more about the systems applied, including inter-institutional cooperation and private sector dialogue, in Sweden and define steps ahead to look into options to work with SwAM and others to pilot traceability systems in the Gulf of Thailand and/or Andaman Sea. A visit to Sweden need to include meetings to be held with users (fishers, traders and processing industry) and with agencies responsible to monitor fishing effort and to certify validity of catch documents. In short, SEAFDEC are looking for different options to facilitate applications of catch documents in ways that helps traceability - and Sweden/SwAM has indicated they are in the process of introducing a user friendly system that could (potentially) be adapted to fit this region. Possibly if the trip experiences are positive the Swedish model could be piloted under the RPOA-Neritic Tuna (Gulf of Thailand and/or Andaman Sea). Highlights would be provided by Sweden on the difficulty to developing the e-system, as well as the required improvement of the national data/information records such as fishing vessel record, fishing masters/owner record, fishing port, fish buyer, whole seller, retailer, and etc., these records are linked to the effective electronic-traceability system.

5) Furthermore, as SEAFDEC is to start looking into the development of a framework for continued cooperation with Sweden the opportunity should, while in Sweden, be taken to learn about processes to dialogue with other agencies, private sector, neighboring countries and other stakeholders to ensure that the



rights of all stakeholders (especially the smaller scale operators) are included in the process as a key element of project implementation.

## II. OBJECTIVES

6) To explore options for cooperation with SwAM including information on the structure and responsibilities of SwAM and coordination within EU and sub-regions on fisheries management and monitoring and control of fishing efforts and implementation of traceability requirements with the EU;

7) Following the suggestions/invitation from SwAM the visit will allow SEAFDEC to consider the usefulness of the traceability system developed by SwAM as a basis for the further development of a traceability system for marine capture fisheries suitable to Southeast Asia. SwAM to introduce the system and explain;

- Catch documentation at sea to the landing site including process to validate the catch documentation
- Continued steps in of product handling and documentation at the landing site and onwards all through the whole supply chain (*e.g.* market, processing plants through wholesalers and/or retailers)
- Special consideration of fish or fishery product for exportation and/or local consumption
- The application of the system for trace back the origin of the fish and fish products by consumers to the actual fishing ground.

8) Parallel discussions on software or database system for the e-traceability system developed by SwAM together with discussion on possibility to modify the SwAM system for Southeast Asian region

9) Site observation/visits to receive additional information on the processes applied and the usefulness of required documents and the value of the introduced traceability system such as Fishing Port authority/fish auction, processing plants/factory, SwAM/Coast Guard control center, vessel owners and other stakeholders.

## III. ACTUAL ACTIVITIES:

10) The itinerary schedule of this trip is suggested by SwAM as appeared in table 1, follows;

	<b>Activities</b>
12 September 2016	
08:45-09:15	Leave hotel for SwAM
09:15	Meet Peter and Ylva at the Reception hall of SwAM
09:30-10:30	Information brief on SwAM: by Executive officer of Administrative Staff, Maria Hellsten
10:30-11:00	Coffee Break
11:00-12:00	Introduction to traceability system- by Marten G.
12:00-13:30	Lunch break
13:30	Meet Coast Guard Officers
15:00	Visit to Coast Guard
18:30	Welcome dinner, at Skybar of the Hotel Riverton
13 September 2016	
06:45	Leave hotel for the Fish Auction in Gothenburg by Taxi
07:00	Visit Fish Auction and visits to the brothers Hansson -Ilona Miglaws
10:00	Meeting with Staffan Larsson and Peter Olsson of Fishermen at Fishermen Organization
12:00	Lunch
13:00	Information about the regulations (new rules) developed for the traceability system (to take effect in October 1?)
14:00-17:00	Introduce to the Negotiation Work in EU: by W Malin and Gunilla G.
14 September 2016	
08:00-12:00	Ylva and Peter pick the team up by rental car at the hotel. Visit to the Landing Control and Inspection of fishing vessels
12:00	Lunch

13:00-17:00	Visit to Marine Fisheries Laboratory and sightseeing on the way
15 September 2016	
10:00-12:00	Wrap up meeting at SwAM
12:00-13:00	Lunch
13:00-15:00	Discussion of possible cooperation in fisheries control and traceability, etc.
15:00	Free

#### IV. LESSONS LEARNT FROM SWEDEN

##### A. Roles of SwAM and Views on Fisheries Management in Sweden

The Swedish Agency for Marine and Water Management, SwAM, is a government agency that works for flourishing seas, lakes and streams. One of the important works is to coordinate the work with an integrated Swedish implementation of the EU Common Fisheries Policy, particularly working toward a sustainable management of fisheries resources through an ecosystem-based approach. In term of fisheries management, it is important that SwAM have to make a well connection on various parts of fisheries management regarding the introduction of EU common regulations, national regulations, and the implementation of fisheries control. Therefore the coordinating, promoting, and supporting the policy work are necessary for SwAM to achieve its objectives for fisheries and water-related environmental policies. We learned that implementation of the EU's fisheries control and operative responsibility plays an important role to manage together the fisheries resources at region or sub-regional level such as in Baltic Sea, North Sea where many countries are concerns. Particularly in Baltic Sea, the SwAM has to work regarding the implementation of Baltic Sea Action Plan (BSAP) concerning fisheries. In this connection, the regulation, licensing, and monitoring regarding living aquatic resources are the key principles that SwAM needs to strengthen.

Comparison to ASEAN region -- where the common fisheries policy at regional level is still not existed -- AMS manages their fisheries within Exclusive Economic Zone (EEZ) waters, therefore assessment of fisheries resources particularly shared stock of both demersal and pelagic species is limited. SEAFDEC, under the supports from Sweden Government considers fisheries management of common fisheries are needed to be applied to the ASEAN region where many seas such as Gulf of Thailand, Andaman Sea, the South China Sea, and Sulu-Celebrate seas are concerned and needed to manage together rather than isolate management.

##### B. Landing control and Inspection of fishing vessels

We have a chance to observe the landing control and inspection of fishing vessels at the Varberg, to the south about 50km from Gothenburg, (see Map). Two Inspectors from SwAM on their duty of inspection one commercial trawler which is expected to land at the fishing port. This commercial trawler is monitored via the SwAM's VMS system on the Tablet linked to internet. In principle, all fishing vessels - equipped with VMS system – have to report the catch by species and weight via Satellite internet every time after hauling the net on board. In addition, fishing master also have to report again the total catch by species by weight 2 hours before landing at the port. These all data and information will be recorded in SwAM data center in which the Inspectors at local areas could monitor any registered fishing vessels operated in the sea, and could check the performance of fishing master on report of fishing operations using the tablet that linked to the system via Internet.

Based on field observation, the inspector found that one Trawler heading back to the port for landing based on the VMS data that linked to the center and appeared on the tablet. In connection to this, Inspectors checked the details of this vessels and found that the fishing masters did not report fishing activity to the center. In addition, the SEAFDEC team follows the inspector's VAN (SwAM official VAN) to the port and wait for fishing vessel to along site the port. However, someone from the port may call to the vessel that we are waiting. The vessel then stopped heading to the port. We have to pretend leaving the port and wait till the vessel along the port.

This shows how the effective SwAM' VMS System including the regulation on reporting the catch by fishing master. The team also found that even though the VMS system are separately from the catch reporting to make overall system look simple but powerful and friendly operation by the inspector. We also noted that the system would be linked to the electronic traceability system in near future developing by the

SwAM as a Pilot Country for further promotion in the EU. This powerful tool is very important to support the management of fishing vessels to ensure that fishermen or fishing boat master follow the national regulation aligning with EU's regulation.



Inspectors monitored fishing vessel that heading to the port for landing of their catches



Inspection the catches after unloading from Trawler, catch will be sorted by species covered with crushed ice.

At the port, after fishing vessel along site, the fishing master must lands their fishes by species. A sale note by species includes important information such as vessel name, fishing date/period, port of landing, weight in kg, fishing method, and fishing areas. Even though the inspection is conducted randomly, the duty of fishing master is mandatory. The fishing master have to report total catch at least 2 hours before landing via the internet system for such a case that a total catch is more than 300kg. But as mentioned earlier, fishing master have to report the catch every time they operate the fishing. This is the methods to cross-check and monitor the fishing vessel performance during operating at Sea. We also understand that fishes/catches after landing, they are transferred to various places: some directly to domestic market, restaurant, or factory, but some are brought to Storage or Fish Auction in Gothenburg.

Comparison and application to the Southeast Asian: NOTED that there are few countries such as Indonesia, Malaysia, Thailand and Philippines that have the VMS system to monitoring fishing vessels. Even though the VMS system existed in those countries, but the system still is not applied for commercial fishing vessels operated within the EEZ yet, mostly applied for fishing vessels operated in the high seas or outside the EEZ. Reporting of catch from fishing vessels is one of the important activity that could be applied by ASEAN Member States starting form large size commercial fishing vessels and expand to medium-size fishing vessels. In this connection the system would be linked the Catch declaration or catch document. However, implementation of catch reporting in Southeast Asian Country should be “mandatory” rather than “voluntary base” to ensure the effectiveness of fisheries management.

### **C. Functions of Fish Auction**

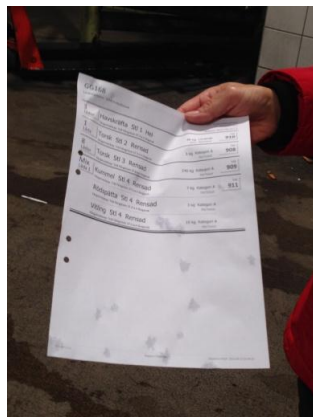
Gothenburg Fish Auction is the Sweden's biggest fish auction located in harbour since 1910. Private persons can not purchase fish at the auction, but it's a great experience to watch the lively auction with pollock, shrimps, crayfish, haddock and squid among others. To keep the quality of fishes in freshness, the building is equipped with air-conditioning to lower the temperature during auction. Surrounding the Fish Auction, there are many fish storages, processing factories and Fishermen association. However, there is no fishing vessel landing their fishes directly to the Gothenburg's harbor, all fishes come from landing port or across border to Gothenburg by truck. Fish auction plays and important role to support the SwAM's catch documentation/traceability system. Fishes from different sources/fishing vessels are whole sale through the auction process, only registered buyer(s) are allowed to join the auction. Fishes either fresh or cooked such as boiled shrimps in salt waters could be sale here. In addition, fresh fishes/shells from neighboring country can be sale in the auction too.



Observe the fishes for whole sale at the Gothenburg Fish Auction



Green Mussels from Denmark waiting for auction.



Fishes by species, weight and lot numbers for auction



Boiled shrimp with salt-water as a final product from fishing vessel

After finished the auction, sale slips from the auction will be printout and give to buyer.

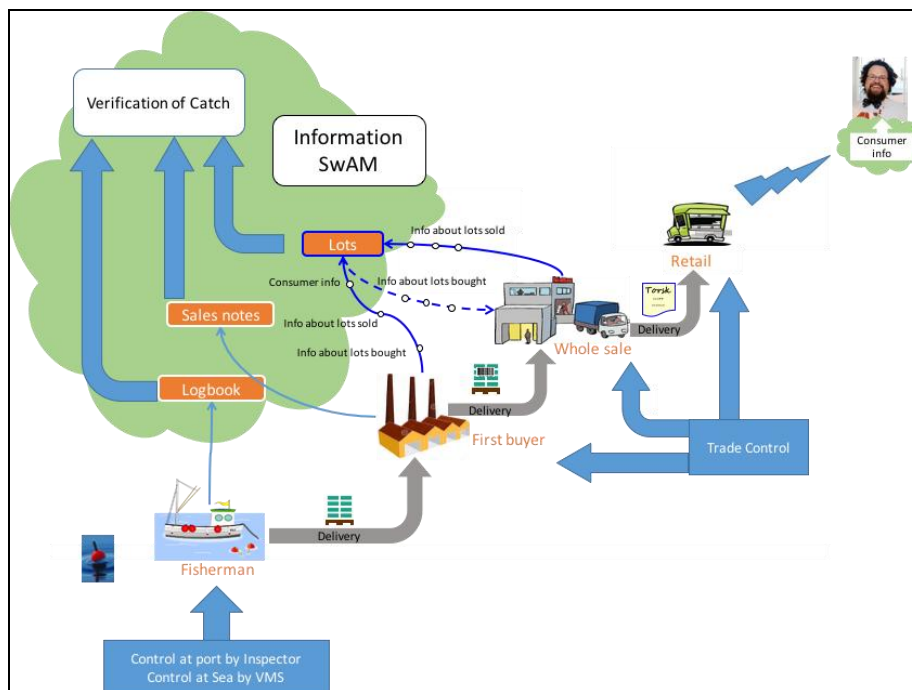
#### D. Regulation or New Rule developed for Traceability System

The EU demands for greater traceability of fishery products in addition to the requirements already contained in food law, COUNCIL REGULATION (EC) No 1224/2009 of 20 November 2009, and COMMISSION IMPLEMENTING REGULATION (EU) No 404/2011 of 8 April 2011. The reason is both a general need for improved monitoring of the uptake of the fish and consumers need for information about the catch and its origin.

Another EU fishery policy called “Union VMS” is an EU project with the goal of producing a free, open-source implementation of a VMS, vessel monitoring system. The timing of the project is linked to the increased cooperation between member states and the EU Commission as well as the radical change of data exchange among the project parties due to the introduction of **FLUX**, the **Fisheries Language for Universal exchange**.

#### E. Catch Documentation and Traceability System in Sweden

The SwAM is responsible for development of the electronic system of the Catch Documentation and Traceability system in Sweden as a pilot country in the EU. The main objectives are: to meet the requirements of the Control Regulation; To contribute to the monitoring of safer quotas (sustainability); to allow more effective fisheries control; to make it easy for the industry to live up to its obligation to provide information, and to improve the consumer information.



It is noted that the e-system is under developing based on the existing manual one. In this connection, SwAM offers two ways to report the traceability information: 1) By integration, where the operator business system reports to SwAM, and 2) Manually via a free online service. We noted that the integration (or electronic system) exchange the information/data via XML, therefore the reporting is done automatically and saves time. However, the Investment in IT systems are required. Considering the online service for catch reporting to the system, there is no fee for the users/fishing master, but it may costs working hour. Another advantage for the e-system is documentation which include important information and data for traceability of the origin of fish from sea to table. We could understand the traceability system as well as the control at port by the Inspector and at sea by VMS as described in the above figure.

The figure shows as follows:

- 1) At Sea, SwAM could monitor the fishing vessels using VMS through the online-web based system
- 2) At Sea, the fishing master of the vessel need to report their catch and fishing activities via the online services, this data will be cross checked with VMS data using vessel name/code.
- 3) At port/landing site, Fishermen - If total catch were more than 300kg - have to report by species and weights before entering to port at least 2 hours (online report). Sorting of catches by species and weight need to be labelled with signature and vessel name beside the fish tray as called "Sale note".
- 4) Fish caught at landing site will be sale to 1<sup>st</sup> Buyer before delivery to the whole sale at the Gothenburg Fish Auction. The sale note including information of fish brought and fish sold will be attached to the fish tray and recorded to the data center.
- 5) At Auction, after sale fishes to the 2<sup>nd</sup> Buyers, the auction office will provide documentation including sold out lots number.
- 6) From Auction, fishes will be delivery to the Retails, some are transferred to the processing factory nearby the Auction.





Sale note

Spårbara fiskeri- och vattenbruksprodukter		
Partinummer 07360002300014 392		
<b>Avskändare:</b> TEST Jönarna test TEST 12123 123 23 Ören Sverige	<b>Montage:</b> MIO Fisk & Fägel 7360002300003 45678 Mölbycke Sverige	
<b>Avskändningsdatum:</b> 2016-09-12	<b>Art:</b> HEK, Saltöstrering, Clupea harengus	
<b>Produktform:</b> Vik:	<b>Nettovikt (inkl. utv. utv.):</b> 80,00 kg	
<b>Uppmät:</b> Produktionsmetod:	<b>Fångad:</b> 2016-08-30 - 2016-09-31	
<b>Datum för senaste kontroll:</b> Referensstörlek för bevarande:	<b>Legit:</b>	
<b>Fiskande:</b> GG12 Södra Sverige	<b>Område:</b> 27.32(Europeiska unionen)	<b>Redskap:</b> TRALAR
<small>Foto: 1 januari 2017 ska fiskeriprodukten och grossisten som handlar med fisk och vattenbruksprodukter se till att märka varje enskild fisk med en unik och tydlig märkning. Mer information finns på <a href="http://www.havochskador.se/mar">www.havochskador.se/mar</a></small>		

Catch Document for Buyer

### F. Support activity in Development of Common Policy by the Marine Fisheries Laboratory

Considering the key important part for development of the EU common fisheries policy which are normally not only cooperation among EU Member Countries, but scientific-based assessment to understand the fish stock indicators and status of marine environment. We have chanced to visit the Marine Fisheries Laboratory located in the north of Gothenburg with aims to understanding the important of biological studies of fishes, and existing forums to support the regional stock assessment.

### V. APPLICATION OF LESSON LERNT TO THE ASEAN REGION

- 1) Apply the Traceability system developed by SwAM to the ASEAN Catch Documentation and Traceability System for further promotion to some ASEAN Member States as pilot sites such as Brunei Darussalam, Malaysia, Thailand and Myanmar. Taking into accounts the realistic in practices even though some challenges of no VMS in place in many countries. But Strengthening Monitoring Control and Surveillance are needed;
- 2) Take advantage of the existing AEC (ASEAN Economic Community), by establishing, developing and promoting the Common Fisheries Policy in ASEAN region. This would support not only the implementation of the ASEAN Catch Documentation System, to enhance the intra-regional trade but also international trade through the sustainable utilization of fisheries resources and protection the marine environment of the southeast Asian region;
- 3) Continued the existing SEAFDEC-Sweden Project in promotion of the Regional, and sub-regional fisheries management, taking into accounts the shared stock which is needed to cooperate among ASEAN Member States rather than isolate management of fisheries;
- 4) Continued the existing SEAFDEC-Sweden Project in promotion of the scientific working group to work together for regional fish stock assessment;
- 5) Increased more cooperation with SwAM to support the improvement of IT for development of the e-system for ACDS taking into accounts simplify and applicable to the Southeast Asian countries.

## **PROGRESS ON IMPLEMENTATION OF THE ASEAN GUIDELINES TO PREVENTING THE ENTRY OF FISH AND FISHERY PRODUCTS FROM IUU FISHING ACTIVITIES INTO THE SUPPLY CHAIN**

### **Executive Summary**

Illegal, unreported and unregulated (IUU) fishing was identified as the biggest threat to the sustainable development of fisheries and aquaculture in the Asia-Pacific region (29th Session of APFIC). In response to the need to combat IUU fishing, the issue on management of fishing capacity and combating IUU fishing was seriously addressed by ASEAN, SEAFDEC and the RPOA initiative to combat IUU fishing, as well as in the “Resolution and Plan of Action on Sustainable Fisheries for Food Security for the ASEAN Region Towards 2020” adopted by the Ministers and Senior Officials during the ASEAN-SEAFDEC Conference in 2011. Therefore, it is urgently needed for Southeast Asian Countries to strengthen measures to exclude IUU fish and fishery products from the supply chain through the formulation and dissemination of the “ASEAN Guidelines for Preventing the Entry of Fish and Fishery Products from IUU Fishing Activities into the Supply Chain” and the establishment of an ASEAN Catch Documentation Scheme (CDS). The guidelines and ASEAN CDS will serve as trade measures for Southeast Asian countries to combat IUU fisheries through controlling and monitoring trade of fish and fisheries products.

After SEAFDEC/MFRDMD published “ASEAN Guidelines for Preventing the Entry of Fish and Fishery Products from IUU Fishing Activities into the Supply Chain” in 2015 in cooperation with MCs, SEAFDEC/TD and SEAFDEC/SEC. MFRDMD was required by ASEAN Member States to assist identifying possible actions to implement the Guidelines.

A Regional Technical Consultation on Promotion of ASEAN Guidelines for Preventing the Entry of Fish and Fishery Products from IUU Fishing Activities into the Supply Chain was held from 7-9 March 2016 in Kuala Lumpur, Malaysia to clarify current status and issues in preventing trade of IUU fishing related products in each Member Country with reference to the statements in the Guidelines. The meeting report will be published.

MFRDMD visited Cambodia, Indonesia, Malaysia, Myanmar, Lao PDR and Thailand for information gathering activity on implementation of the “ASEAN guidelines for preventing the entry of fish and fishery products from IUU fishing activities into the supply chain”. MFRDMD also plans to visit Viet Nam for the same activity. After compiling the gathered information, MFRDMD will publish the possible actions for MCs to facilitate the implementation of the Guidelines.

Considering the importance of this project in combating IUU, especially in relation to trading fish and fish products in the region, SEAFDEC proposes to expand this project period to 2019.

### **Required Consideration by the Meeting**

The 19<sup>th</sup> Meeting of the FCG/ASSP is requested to take note results of the implementation of the “ASEAN Guidelines for preventing the Entry of Fish and Fishery Products from IUU Fishing Activities into the Supply Chain” in ASEAN Member States. The meeting is also invited to provide advice and suggestion to SEAFDEC/MFRDMD on the implementation of the ASEAN Guidelines in ASEAN Member States.





## PROGRESS ON REGIONAL COOPERATION TO SUPPORT THE IMPLEMENTATION OF THE PORT STATE MEASURES IN ASEAN REGION

### Executive Summary

Refers to the adopted the International Plan of Action to prevent, Deter and Eliminate Illegal, Unreported and Unregulated Fishing (IPOA-IUU) in 2001, in which the requirement for port State measure are included. FAO has worked on the Port State Measures (PSM) to combat Illegal, Unreported and Unregulated Fishing including identified the need for human resources development to implement port State measures while developed as minimum standards - a “FAO Voluntary Model Scheme on Port State Measures” to combat Illegal, Unreported and Unregulated Fishing in 2004. Later, the FAO Conference adopted resolution 12/2009 approving the FAO Agreement on Port State Measures to Prevent, Deter and Eliminate Illegal, Unreported and Unregulated Fishing, as a legally binding instrument in 2009. The objective of the PSM Agreement is to “prevent illegally caught fish from entering international markets through ports”. Port State needs to take the actions on restriction of entry into port, use of port, access to port services, in addition the inspection and other enforcement activities are also mentioned in the agreement. Taking into account the important of seafood products from Southeast Asian to around the world market, trade in and out are ones of the important activities. To avoid any impact on trade as well as preventing the entry of IUU fish and fishery products either from international or intra-regional trade, the implementation of port State measures are therefore needed taking into accounts other existing regional management tools developed under the ASEAN-SEAFDEC Collaborative Framework such as ASEAN Catch Documentations, RFVR-24m, ASEAN Guidelines to prevent the entry of IUU products into the supply chain, and etc.

Implementation of Port State Measures required inter-agency as well as regional and international cooperation. There are several action needs as mentioned in the provisions in which port State need to consider their legal instruments to compile with PSM. Based on the technical consultations on implementation of PSM by ASEAN Member States (AMSs), the results show that Many AMSs are still inadequate of the human capacity to implement the PSM, while many foreign vessels not only from outside the ASEAN region such as high-sea or RFMOs’ areas but also vessels among the AMSs. In 2015, SEAFDEC therefore proposes the regional approaches to support the implementation the PSM in and effective management through the harmonization and cooperation among AMS.

At the 48<sup>th</sup> Meeting of SEAFDEC Council in April 2016, the Concept Proposal on Regional Cooperation for Supporting the Implementation of Port State Measures in ASEAN Region as well as its work plan was addressed for consideration, comments and support. The Council suggested to harmonize and integrate with the RFVR Database. The council identified four main aspects that should be considered during the implementation of PSM, these include: 1) denying entry of IUU vessels into AMS’s ports based on an integrated vessel database; 2) identification of designated ports; 3) prior notification of vessels entering into the countries’ ports; and 4) capacity building for inspectors. In addition, the council also requested SEAFDEC to raise the profile of PSM and its implementation, especially to the higher authorities of the ASEAN and to push toward the process of PSMA ratification and implementation.

Response to the 48<sup>th</sup> Meeting of SEAFDEC Council, SEAFDEC in collaboration with Department of Fisheries/ Thailand with the supported by Japanese Trust Fund, Sweden Government, FAO, USAID/RDMA, and Marino-Forum21 organized the Workshop on Regional Cooperation for Implementation of Port State Measures to Improve Fisheries Management and Reduce IUU Fishing in Southeast Asia on 7-10 November 2016 with aims: 1) to strengthen understanding among ASEAN-SEAFDEC Member Countries on requirements for the implementation of Port State Measures (PSM) in the region; and 3) to further develop a detailed activity plan together with partners in support of the implementation of PSM in the region (**Appendix 1**). Several capacities need targeting different stakeholders and several Standard Operating Procedures (SOPs) and Guidelines/Manual are described. In addition, the meeting acknowledges the important management tools namely RFVR and ACDS to support the PSM particular foreign vessels among the AMSs.



### **Required Consideration by the Meeting**

The 19<sup>th</sup> FCG/ASSP is requested to take note the progress on regional cooperation through harmonization and the support for implementation of the PSM in ASEAN Region. The meeting is also invited to provide advice and suggestion on the results of workshop as appeared in **Appendix 1** to ensure that the needs for capacity building and support implementation are aligned with priority required by AMSs.

**CONSOLIDATED ACTIONS AND NEEDS FOR REGIONAL COOPERATION TO SUPPORT THE IMPLEMENTATION OF  
THE PORT STATE MEASURES**

*Updating of Identification of issues in the PSM Agreement that would support the implementation of PSM in the region*

Refers to the PSMA		Recommendations of Regional Cooperation on PSM implementation	Status of AMS	Actions and Needs
PART	Article No.			
Entry Into Port	Article 7: Designated port	Encourage AMS to identify designated ports for foreign fishing vessel and encourage not to allow foreign fishing vessel to unload fish and fishery products in non-designated ports.	BN, CM, VN no have designate port and need to know criteria for designate port ID is planning to add more designate port PH is planning to review and evaluate then add more designate port The designated port ready in FAO website)	AMS to share the Information on ports to be shared with FAO, SEAFDEC For those without designate port, need to know criteria, identification and analysis for designate port Guidance for port designation include procedure, dissemination information and etc.
		The list of designed ports should include information of the name of the port, address of location, contact person and his/her designation as well as official website in English version.	Countries ready to translate in English version such as Malaysia, Indonesia	SEAFDEC shall publicize the information of AMS's designated ports.
	Article 8: Advance request for port entry	AMS shall require, as a minimum standard, the information requested in the 2009 Agreement of the port State measures or relevant document to be adopted by AMS to be provided before granting entry to a vessel to its port.	ID, MY, PH, SG, TH All AMSs agreed to follow the 2009 Agreement of the port State measures	The Member Countries should provide information on RFVR to SEAFDEC as a tool to support the implementation of PSM in 24 meters and over and also below 24 meters as plan in the future Expansion of existing RFVR to support the 2009 Agreement of the port State measures includes history of compliance. The RFVR should include the vessel less than 24 meters, but not artisanal vessels: (considering the near-real time updating of the existing RFVR)

Refers to the PSMA		Recommendations of Regional Cooperation on PSM implementation	Status of AMS	Actions and Needs
PART	Article No.			
	Article 9: Port entry, authorization or denial	Information exchange on the country laws and regulations shall be shared among the AMS taking into accounts that some AMSs ( <i>e.g.</i> Malaysia and Indonesia) do not allow its fishing vessel excluding carriers to unload catch at other country ports.		Regional workshop to share and discuss laws and regulation Develop the regional database/website system to share legal /regulations of all AMS (in English) Encourage to use the existing Port lex (FAO database), SEAFDEC website and RPOA-IUU website for sharing law and regulations Translate National Law and Regulation into English for wide audience, the resources and support can request to FAO
		To encourage AMS to require foreign fishing vessels and carriers to submit pre-arrival information (such as approval to land catch, origin of catch or certificate of catch) so that port State can decide whether to authorize or deny the entry of this vessel into their port. Decision to deny shall be communicated to the flag state	Decision making process to deny is clear for ID, MY, PH, SG, TH Communication of denial, sometime is problematic	Regional Training on PSM implementation for BN, CM, VN to understand the process of PSM Develop Minimum Standard of Pre-Arrival information ( <i>e.g.</i> ACDS) In case of transmitted or deny the vessels, the communicating the results of port entry should be shared among coastal states and flag states and regional organizations such as FAO, SEAFDEC and RPOA-IUU Discussion on black list
		To provide the awareness building to relevant stakeholders ( <i>e.g.</i> fishing boat owner, importer, port authority, etc.) at national level to enhance the better understanding the country laws and regulations, and other procedure on Inspections.	ID is ongoing and need more effective public campaign for relevant stakeholder and officers MY selected only so far plan to stakeholder and officer outreach PH, SG, TH is sufficient awareness building for relevant stakeholder	Develop Training of Trainers Workshops (train to how to, target stakeholders, etc) multi-media (posters, IEC) and apply to local contexts. Create Communication Strategy and roadmap such as development of PSM webpage contains country profile, law and regulation, FAO Materials and lessons) Training on PSM implementation for general stakeholders, fishery manger, fishery policy, and inspector

Refers to the PSMA		Recommendations of Regional Cooperation on PSM implementation	Status of AMS	Actions and Needs
PART	Article No.			
Inspections and Follow-Up Action	Article 12: Levels and priorities for inspection	Adopt the Standard Operating Procedures (SOP) on the risk assessment and inspection of vessels through the harmonization/consultation workshop.		Regional workshop on development SOP for risk assessment and inspection of vessel in collaboration with relevant Partners: (focus the target group from port managers, operational level, inspectors, technical level) Prior the development of SOP, Countries should prepare vessel information for the development of SOP on Risk Assessment
		AMS may consider minimum levels for inspection of vessels through, as appropriate, agreement among all AMSs. To support inspection of the vessels, the historical data/information of vessel are required in the database module of vessels.		Promote the Use RFVR, e-ACDS Create Application of RFVR-database system for field work.
	Article 15: Transmittal of inspection results	AMS shall transmit the results of each inspection to the flag State of the inspected vessel. AMS shall submit SEAFDEC the total number of inspection annually. When AMS flagged vessel has been denied entry, denied the use of port or denied the landing of fish, the port State needs to share the summary report of inspection to SEAFDEC.	Countries to share information to SEAFDEC	In case of transmit ion or deny the vessel, the communicating the results of port entry should be shared among coastal states and flag states, FAO, SEAFDEC and RPOA-IUU  SEAFDEC to facilitate regional center for sharing of the data for ASEAN region
	Article 16: Electronic exchange of information	To facilitate implementation of this Regional Cooperation, each AMS, where possible, establish a communication mechanism that allows for direct electronic exchange of information, with due regard to appropriate confidentiality requirements. In addition, AMS should cooperate to establish an information-sharing mechanism by SEAFDEC to facilitate the exchange of information with existing database for this cooperation.		Development of the PSM website /database system to support the Regional center for sharing of the data for all ASEAN Member States. Development two-ways and effective communication Create the networks on PSMA in different levels through Email group, Social media, WhatsApp, etc. Develop the PSM-Inspection Application*1

Refers to the PSMA		Recommendations of Regional Cooperation on PSM implementation	Status of AMS	Actions and Needs
PART	Article No.			
	Article 17: Training of inspectors	Request FAO, RFMOs, ASEAN, SEAFDEC and relevant agencies on training of trainer for port inspections including legal and operational aspects with an emphasis on practical hands-on component Develop a network/team among AMSs on training of trainer for port inspections Consider an existing training module developed by RPOA-IUU in collaboration with the Australian Maritime on port inspections to support the TOT programs.	Countries request to support TOT for inspector No focal point in place for PSMA implementation Training modules have been developed by PSM Workshop in Feb 2016 (ReferWP06) for different target levels such as 1. Stakeholders, 2. Managers, 3. Policy decision maker, etc.	<u>TOT**</u> for inspector to support PSM implementation and development of network SEAFDEC, FAO and partner should facilitate and support model port as a training site Establishment on network of inspectors Making a main standard for inspectors in the region Regional guideline for port inspection
	Article 18: Port State actions following inspection			Sharing information to relevant organization Develop Guidelines and Inspection Manual (how to do, what to do after inspection retained it) with the support from FAO.

**Remark\* :**

To develop a Port State Measure Inspection application (PSM Inspection app) that can be used by all AMS port inspectors on their hand phones/ tablets. The app will be linked to the ASEAN e-Catch Documentation Scheme and the expanded RFVR (expanded to include (i) vessels less than 24m that use foreign ports; and (ii) that includes a new “History of Compliance” section).

This app will allow Port Inspectors to:

More easily carry out pre-arrival assessment of vessels (*e.g.* if it is at high risk for IUU fishing) through information of the (a) vessel’s history of compliance on the RFVR, and (b) information of the catch on board through the ASEAN e-Catch Documentation Scheme;

- (ii) Fill out the inspection report on-site;
- (iii) Easily include pictures of non-compliance directly into the electronic inspection record;
- (iv) Be able to print the inspection report if required; and
- (v) Easily send the electronic inspection record to the flag or coastal state if they find evidence of IUU fishing at a click-of-a-button.

**Remark \*\*:**

Refers to the 48CM, the council suggested that the proposed training should not be in the form of “Training of Trainers” considering that such training would target only limited number of port inspectors.

## REGIONAL PLAN OF ACTION FOR THE MANAGEMENT OF FISHING CAPACITY

### Executive Summary

In response to request from SEAFDEC Member Countries, SEAFDEC has worked with the Department of Fisheries Malaysia on the approaches to support for the Management of Fishing Capacity for the ASEAN region, while agreed in principle to target on the Regional Plan of Action for the Management of Fishing Capacity (RPOA-Capacity). The 1<sup>st</sup> Regional Technical Consultation (RTC) on the Development of RPOA-Capacity was organized on 24-25 February 2015 with the aims to review the ASEAN Member States' management of fishing capacity and identify the issues/problems as basic information to be included in the RPOA-Capacity. The results of the RTC, as appeared in the Annex 2, were used for developing the zero draft RPOA-Capacity by AMS experts at its Meeting on 19-21 August 2015. This zero draft was then discussed at the 2<sup>nd</sup> RTC held on 15-17 December 2015 in Phuket Thailand and the Meeting came up with the final Draft of RPOA-Capacity. The RPOA-Capacity contain four (4) parts: Part 1 as an introduction part includes rationale, problems on the sustainable fisheries management, and the needs for RPOA-Capacity; Part 2 include the goals and objectives of the RPOA-Capacity; Part 3 refers to the guiding principle in developing the RPOA-Capacity. Part 4 is the main part of the Plan of Action for the Management Fishing Capacity and this part comprises of 5 Sessions as follows: 1) Assessment of Fishing Capacity; 2) Preparation and Implementation of National Plans; 3) International Consideration; 4) Required Urgent Measures for Regional Fisheries Management; and 5) Mechanisms to Promote of the Implementation. Through the process of finalizing by ASEAN SEAFDEC Member Countries, the RPOA-Capacity was endorsed with comments by the 48CM, 24ASWGFi and 38<sup>th</sup> AMAF in 2016, respectively.

### Required Consideration by the Meeting

The 19<sup>th</sup> FCG/ASSP is requested to take note the progress and endorsement of the ASEAN Regional Plan of Action for the Management of Fishing Capacity (RPOA-Capacity) (**Appendix 1**). The 19<sup>th</sup> FCG/ASSP is also invited to provide advice and comments for effective implementation of the RPOA-Capacity particularly on cooperation in managing fishing capacity at sub-regional and regional levels such as Gulf of Thailand, Andaman Sea, South China Sea, and Sulu-Sulawesi Seas.

**ASEAN Regional Plan of Action for the Management of Fishing Capacity (RPOA-Capacity)**  
(Adopted by 38<sup>th</sup> AMAF in Singapore in October 2016)

**PART 1**  
**INTRODUCTION**

During the last three to four decades, many Southeast Asian countries including Indonesia, Thailand, Philippines, Myanmar, Viet Nam, and Malaysia ranked among the top ten countries with the largest fisheries industries in the world. The ASEAN fisheries sector has played very important role in providing fish for food security, generating livelihood and employment, alleviating poverty, and increasing national revenues. In 2013, the total fishery production by two sub-sectors: inland and marine capture fisheries, was about 19.1 million metric tons (MT) valued at about 23.5 billion US\$ (SEAFDEC, 2015<sup>1</sup>). The introduction of new fishing gear technologies as well as post-harvest and processing equipment had since 1960s led to the rapid and intensive development of fisheries industry in the region, particularly in Thailand, Indonesia, Philippines and Viet Nam.

The growing fishing fleets throughout the region coupled with rapid increases in harvesting capacity, has not been matched with the development of national capacities and regional/sub-regional cooperation to manage the fishing effort with due consideration given to the sustainability of fishery resources. Limited management, or regulation and control, of the active fishing capacity has allowed fisheries to operate in an “open-access regime” leading to continued increase in number of vessels and people engaged in fisheries. Therefore, there is a need to improve and implement licensing schemes and other capacity management measures that effectively limit entry into the fisheries, replacing the present inadequately designed systems.

The number of fishing vessels in the ASEAN Member States (AMSs) is tremendous and almost all are small-scale fishing vessels. Since 1980s, most of the near shore fishing areas in Southeast Asia are overfished (Silvestre, G.T., 2003<sup>2</sup>). In many coastal areas however, the catch per unit efforts and other biological parameters and/or reference target points indicate declining status of fish stocks. Even though management instruments had been introduced to protect vulnerable fish stocks (*e.g.* closed areas and seasons, gear restrictions) together with efforts to contain the growth of the numbers of fishing fleets, the impact of such efforts still could not be seen in terms of securing sustainability of available resources.

In order to meet the demand for fish by the growing populations, and to maintain or increase the supply of raw materials for the processing industries considering that the region’s fishery resources are facing heavy exploitation, fishing activities have been expanded from the coastal areas to offshore waters and even outside of the national Exclusive Economic Zones (EEZs). Such expansion takes place both with and without proper authorization and licensing - causing widespread illegal, unreported and unregulated (IUU) fishing, including encroachment into other countries’ EEZs. The depletion of fishery resources in the region by excessive fleet capacity and harvesting effort needs to be considered in the perspective of related trans-boundary management issues together with expected losses in the generation of national economic revenues. Illegal and unsustainable fisheries that end up with trade restrictions would have direct implications on the trade of fish and fishery products not only to world markets but also within the ASEAN region.

It is well recognized that there is an urgent need for countries to cooperate in order to improve fisheries management, especially, with regards to the management of fishing capacity at national, sub-regional and regional levels. In order to match fishing effort with available resources, management of fishing capacity is one of the most basic tools available in support of sustainable fisheries. Moreover, fishing effort should be controlled to protect important habitats while regulations should be enforced to safeguard the interest of, specifically the vulnerable groups of people.

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<sup>1</sup> SEAFDEC, 2015. Fishery Statistical Bulletin of Southeast Asia 2013. Southeast Asian Fisheries Development Center, Bangkok, Thailand.

<sup>2</sup> Silvestre, G.T. et al., 2003. South and Southeast Asian Coastal Fisheries: Their Status and Directions for Improved Management – Conference Synopsis and Recommendation. WorldFish Center Conference Proceedings 67 (2003)



It is in responding to requests of the AMSs that SEAFDEC had organized since 2006 experts consultation and regional technical consultations highlighting on the critical importance of addressing the management of fishing capacity in Southeast Asia. This is meant to reduce pressure on available stocks, mitigate conflicts over resources and promote sustainability for people dependent on fishery resources. Unregulated (and/or un-enforced) fisheries and over-capacity, relative to available resources, also tend to increase incidences of illegal fishing within countries, as well as across boundaries resulting in increased difficulties faced by smaller communities. To improve the levels of sustainability and promote equal sharing of the benefits from fisheries, it is necessary that immediate efforts are called for to reduce over-capacity, improve (implementation of) regulatory measures and combat illegal fishing throughout the ASEAN region. It should be noted that the importance of management of fishing capacity to the sustainability of fisheries and food security was one of the central themes 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 that fully focused on the “Management of Fishing Capacity” and subsequently reflected in the adopted 2011 Resolution and Plan of Action.

Referring to the FAO Code of Conduct for Responsible Fisheries (1995), several recommendations on the need to improve fisheries management have been included. Furthermore, the FAO Member States subsequently adopted the International Plan of Action on the Management of Fishing Capacity 1999 (IPOA-Capacity). The IPOA-Capacity specified a number of steps to be taken including: a) assessment and monitoring of fishing capacity; b) preparation and implementation of national plans of action (NPOA-Capacity); and c) international (regional) considerations and recommendations for immediate steps to address the management of fishing capacity.

In general, the fisheries management schemes that are being developed should aim to regulate the active fishing effort by developing schemes and management plans to give directions on where, how, when and by whom to fish. The management directions can include information on total number of vessels allowed at a given time and area; the type of gear to be used (and not to be used); special restrictions on protected areas, protected species and defined seasonal restrictions; traditional rights to fish, exclusive rights and other specified rights<sup>3</sup>, as well as other additional aspects that should be considered and respected when regulating the actual fishing effort. A number of countries in the region had developed or are in the process of developing their respective NPOA-Capacity. Some countries that had not yet developed the NPOA-Capacity have indicated that the necessary laws and regulations are in place and are supportive to the management of fishing capacity.

Recognizing the importance of management of fishing capacity, the ASEAN sought the collaboration of SEAFDEC to develop the Regional Plan of Action for Management of Fishing Capacity (RPOA-Capacity) during the Fourth Meeting of the ASEAN Fisheries Consultative Forum (AFCF) in 2012 in Indonesia. The development of such activity was considered and supported by the SEAFDEC Member Countries during the 47<sup>th</sup> Meeting of the SEAFDEC Council in 2014.

The overall objective of the RPOA-Capacity would be to serve as guide for the management of fishing capacity in an ASEAN perspective and also to **support the ASEAN Member States in the development and implementation** of their respective NPOA-Capacity (SEAFDEC, 2006<sup>4</sup>). The RPOA-Capacity is also meant to support the need to enhance regional cooperation on fisheries management and/or management of fishing capacity in sub-regional areas such as the Andaman Sea, Gulf of Thailand, South China Sea<sup>5</sup> and Sulu-Sulawesi Seas. Strengthened regional and sub-regional cooperation on the management and control of fishing capacity would provide an effective platform for the AMSs to support efforts to combat IUU fishing.

The **RPOA-Capacity** has been developed through dialogue with ASEAN-SEAFDEC Member Countries such as the regional technical consultations and expert meeting (1<sup>st</sup> RTC in February 2015 in

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<sup>3</sup> As stipulated in respective countries' national laws and regulations

<sup>4</sup> SEAFDEC. 2006. Report of the Experts Meeting on Management of Fishing Capacity in Southeast Asia, 27-29 July 2006, Sihanouk Ville, Cambodia. Southeast Asian Fisheries Development Center. 141 p.

<sup>5</sup> The term “South China Sea” is used in its geographical sense and does not imply recognition of any territorial claims within the area (UNEP/GEF/SCS Project Document on “Reversing Environmental Degradation Trends in the South China Sea and Gulf of Thailand”)



Malaysia, Experts meeting in August 2015 in Thailand and 2<sup>nd</sup> RTC in December 2015 in Thailand) organized by SEAFDEC with the funding support from the Government of Japan through SEAFDEC-Japanese Trust Fund and the Government of Sweden through the SEAFDEC-Sweden Project. The RPOA-Capacity contain four (4) parts: Part 1 as an introduction part includes rationale, problems on the sustainable fisheries management, and the needs for RPOA-Capacity; Part 2 include the goals and objectives of the RPOA-Capacity; Part 3 refers to the guiding principle in developing the RPOA-Capacity. Part 4 is the main part of the Plan of Action for Managing Fishing Capacity and this part comprises of 5 Sessions as follows: 1) Assessment of Fishing Capacity; 2) Preparation and Implementation of National Plans; 3) International Consideration; 4) Required Urgent Measures for Regional Fisheries Management; and 5) Mechanisms to Promote of the Implementation.

Thus, it is expected that the RPOA-Capacity could also serve as basis for the AMSs in formulating relevant policies and provide an enabling environment for clear direction and understanding of the need to effectively manage the fishing capacity at national level. In addition, the RPOA-Capacity is intended to respond to the need for AMSs to strengthen regional cooperation in managing fishing capacity in sub-regional areas such as the Gulf of Thailand, South China Sea<sup>5</sup>, Andaman Sea, Sulu-Sulawesi Seas, and other sub-regional areas where the fisheries need to be managed by concerned AMSs.

## **PART 2 GOALS AND OBJECTIVES**

The RPOA-Capacity is intended to serve as guide for the AMSs in developing their respective National Plans of Action for Managing Fishing Capacity (NPOA-Capacity) as well as in enhancing regional cooperation on sustainable fisheries management and improving regulations on fishing effort at sub-regional/regional level. Thus, the ultimate goal of the RPOA-Capacity is to facilitate development of appropriate fishing capacity management to ensure that levels of fishing effort are commensurate with sustainable use of available fishery resources.

The specific objectives of the RPOA-Capacity are to:

- a) enhance the effective, efficient, equitable and transparent management of fishing capacity for long-term sustainability;
- b) ensure that fishery managers should endeavor to initially limit fishing capacity at the present level and progressively reduce the fishing effort applied to affected fisheries;
- c) avoid growth in fishing capacity that undermines the long-term sustainability objectives; and
- d) enhance sub-regional cooperation in managing fishing capacity, specifically with regards to trans-boundary species or shared species.

## **PART 3 GUIDING PRINCIPLE**

The RPOA-Capacity is developed based on the principles stipulated in international and regional instruments, such as the FAO Code of Conduct for Responsible Fisheries (CCRF), International Plan of Action for Managing Fishing Capacity (IPOA-Capacity), the relevant rules of international laws that are reflected in the United Nations Convention on the Law of the Sea of 10 December 1982 (UNCLOS), and the ASEAN-SEAFDEC Resolution and Plan of Action on Sustainable Fisheries for Food Security for the ASEAN Region (2001, 2011).

The RPOA-Capacity is developed through consultation processes with experts and officials from the ASEAN-SEAFDEC Member Countries in February, August and December of 2015.

## **PART 4 PLAN OF ACTION FOR MANAGING FISHING CAPACITY**

### **Section I: Assessment of Fishing Capacity**

*Diagnosis and identification of fisheries and fishing capacity*

- 1) States should assess and regularly update the availability of active fishing capacity at local, national, trans-boundary, sub-regional and regional levels as basis for cooperation on the management of fishing capacity.

- 2) States should improve collection system for catch and effort data to include all types of fisheries such as large-scale or commercial fisheries and small-scale or artisanal fisheries.
- 3) States should regularly conduct national assessments of fishery resources to estimate appropriate reference points and compare with the actual fishing efforts at given times as well as with the aggregated fishing effort in defined sub-region.
- 4) States should adopt national measurements and definitions of fishing capacity including vessels, gears, people engaged in fisheries.

## **Section II: Preparation and Implementation of National Plan of Action for the Management of Fishing Capacity**

### *2.1 Development of national plans and policies*

- 1) States should establish system(s)/mechanism(s) to develop NPOA-Capacity and to monitor, evaluate, review its effectiveness and revise (if necessary).
- 2) States should not make insufficient information on fisheries resources as the reason to delay the implementation of policies to control fishing capacity and reduce its level where appropriate, and in accordance with the precautionary principle using currently available information.
- 3) States should develop measures to be undertaken to address overcapacity:
  - a. Implement schemes to limit the number of fishing vessels and fishing licenses
  - b. Put into place management systems that would prevent fishing capacity from expanding beyond the optimum level which the available resources can support in the long run or related target levels, even though the current status does not indicate any overcapacity
  - c. Develop measures and encourage the use of supporting tools to prevent or eliminate excess fishing capacity to ensure that the levels of fishing effort are commensurate with the sustainable use of fishery resources to secure the effectiveness of conservation and management measures
  - d. Consider the application of fishing zones as a robust approach to manage and restrict fishing capacity in certain fisheries, especially for coastal and relatively stationary fisheries, in areas reserved for traditional and smaller-scale fisheries supported by co-management arrangements
  - e. Consider the use of appropriate reference points *e.g.* Maximum Sustainable Yield (MSY), Catch Per Unit Effort (CPUE) as indicators of resource status for the management of fishing capacity at national and/or regional/sub-regional levels
  - f. Encourage industry-based capacity adjustments and implement input and output control, and other management measures
  - g. Consider the development of fishing vessel construction and importation control measures as a proactive approach for controlling fishing capacity
  - h. Consider the introduction or development of fishing fees scheme such as economic rent of the fishery resources referred to as 'resource rent', as basis for fishing vessel registration and fishing licenses
- 4) States should establish records of fishing vessels registration/licensing, fishing gear licensing system, and
  - a. improve the national procedures for fishing vessel registration and fishing licensing systems (vessels, gears, fishers)
  - b. share information on registered vessels and issued fishing licenses within sub-regions and/or the region as a whole (if needed)
  - c. establish national database for fishing vessels registration and fishing licenses
- 5) States should conduct a systematic assessment of the consequences of overcapacity from production and economic perspective together with its impact on major stakeholders at local, national and sub-regional levels.
- 6) States should strengthen, consistent with national fishery laws/regulations and other related domestic laws, domestic mechanisms to deter nationals and beneficial owners from engaging in illegal, unreported and unregulated fishing activities, and States should facilitate the implementation of such mechanisms and ensure that enforcement actions are carried out.
- 7) States should consider, in the perspective of continued high pressure on available fisheries resources (due to overfishing, habitat and environmental degradation and/or climate variability/change), to, at national and sub-regional level, develop and implement fishery resources enhancement programs and/or recovery plans. The plans should have the multiple objectives of increasing the fish stocks, providing breeding grounds of some target species, protecting and restore important habitats, increasing fish shelter areas including artificial habitats to replace the deteriorated natural habitats. The

following actions are among the key approaches to ensure that the status of fishery resources are maintained and/or enhanced:

- a. Coordinate with relevant agencies to regularly compile information on the status and availability of important fish stocks, including information on areas of importance for different stages of their life cycle;
  - b. Enhance understanding of the importance of stock enhancement including habitat conservation in order to conserve the early life cycle stage of fishes such as spawning, nursery grounds, and protect the migratory paths (that might be trans-boundary);
  - c. Develop fishery management tools, including fisheries *refugia*, closed areas, protected areas and aquatic reserves for both inland and marine areas for implementation at national level and in trans-boundary areas to effectively conserve and manage fish stocks, trans-boundary fish stock and to protect habitats, on a case-by-case basis in accordance with the best available scientific information and precautionary approach;
- 8) States should strengthen their respective fisheries related institutions and provide adequate support to research on issues related to the management of fishing capacity. Coordinated international research is also recommended, especially with regard to the development of tools and policy instruments which could be more appropriate at country/sub-regional/regional levels.
  - 9) States should harmonize and coordinate the implementation of the NPOA-Capacity with other related NPOAs/Policies and Programs to achieve effective control of fishing capacity.
  - 10) States should consider the socio-economic requirements, including alternative sources of employment and livelihood to fishing communities which bear the burden of reductions in fishing capacity.
  - 11) States should develop and promote awareness-raising campaigns and programs to all relevant stakeholders in order to increase the effective implementation of NPOA-Capacity.
  - 12) States should work closely with stakeholders in developing and adopting policy framework that would improve the suitability of input-output technical control levels that will be used in the formulation and implementation of the NPOA-Capacity.

## 2.2 *Subsidies and economic incentives*

- 1) States should assess the effect that some economic incentives, including subsidies, may have on the development and implementation of efforts to control fishing capacity.
- 2) States should undertake a national/sub-regional review of the various subsidies and other economic incentives being provided to their respective fishing industries, together with qualitative assessments of their likely impact on fishing capacity, expected investment decisions, and sustainability. It should be noted that not all subsidies and economic incentives are necessarily faulty such as incentives related, for example, to safety, fish quality, infrastructures, buy-back program.
- 3) States should reduce and progressively eliminate fisheries subsidies and/or incentives that contribute to overfishing, overcapacity and over-investment.

## 2.3 *Regional Considerations and Cooperation*

- 1) States should provide mutually agreed data on vessels, gears and people engaged in fisheries as well as other fisheries-related information with regards to catches, landing and available stocks to provide a complete, accurate and timely way to support efforts to manage fishing capacity at sub-regional areas.
- 2) States and sub-regions should, inter alia, adopt appropriate measures, based on the best scientific evidence available, which are designed to maintain or restore stocks at sustainable levels, as qualified by relevant environmental and economic factors, including the special requirements of some developing countries in the region.
- 3) States should consider the establishment of sub-regional/regional fisheries management arrangements/bodies for the purpose of managing the resources as well as fishing capacity on a cooperative basis. Such cooperation is essential for the sub-regional/regional managements of trans-boundary fish stocks.
- 4) States should support co-operation and exchange of information with regional and sub-regional fisheries organizations.

## **Section III: International Considerations and Fishing in High Seas or RFMO Competent Areas**

- 1) States should collaborate with RFMOs by sharing information, participating in and developing harmonized systems of data collection, and supporting the actions of the respective RFMOs to limit fishing capacity in the international waters.

- 2) States are encouraged to comply with international agreements which are related to the management of fishing capacity, and in particular, the 1993 FAO Agreement to Promote Compliance with International Conservation and Management Measures by Fishing Vessels on the High Seas known as the Compliance Agreement and the Agreement of the Implementation of the Provisions of the United Nations Convention on the Law of the Sea of 10 December 1982 relating to the Conservation and Management of Straddling Fish Stocks and Highly Migratory Fish Stocks known as the 1995 UN Fish Stocks Agreement.
- 3) States should ensure that no transfer of capacity to the jurisdiction of another State should be carried out without the expressed consent and formal authorization of that State.
- 4) States should, in compliance with their duties as Flag States, avoid approving the transfer of vessels flying their flag to high sea areas where such transfers are inconsistent with responsible fishing under the Code of Conduct.

#### **Section IV: Required Urgent Measures for Regional Fisheries Management**

- 1) States should develop policy frameworks for the sub-regional/regional management of fishing capacity. To be effective it is required that policies are developed simultaneously by relevant authorities (in accordance with national laws and regulations) in each of the countries and with national and sub-regional coordination of implementation and enforcement to ensure that fishing capacity is limited to agreed target levels.
- 2) States, in collaboration with other States, should assess the extent of overcapacity in defined fishing areas (trans-boundary, sub-regional and/or regional). Choose either an input or output basis as a reference point together with a range of indicators for the purpose of measuring active over-capacity.
- 3) States should develop sub-regional/regional conservation and management measures for fish stocks that are currently unmanaged regionally, in accordance with the best available scientific information on the status of such stocks.
- 4) States should conduct fishers/stakeholders fora at sub-regional/regional levels to build awareness on the need for conservation and management of fisheries resources and that in the management context, the effective management of fishing capacity is a requirement for effective conservation and management.
- 5) States should enhance the political will and awareness towards sub-regional/regional fisheries management and conservation.
- 6) States should strengthen sub-regional/regional Monitoring, Control and Surveillance (MCS) networks.

#### **Section V: Mechanisms to Promote Implementation**

- 1) States should develop information programs to increase awareness on the need for the management of fishing capacity, and the cost and benefits resulting from adjustments in fishing capacity.
- 2) States should support the sharing/exchange of scientific and technical information on issues related to the management of fishing capacity and promote its regional availability using existing national and sub-regional fora.
- 3) States should support capacity building as well as institutional strengthening and consider providing financial, technical and other assistance to some developing countries in the region to address issues related to the management of fishing capacity.
- 4) States should report to the ASEAN and SEAFDEC on the progress of assessment, development and implementation of their respective plans for the management of fishing capacity as part of their efforts in implementing the 2011 ASEAN-SEAFDEC Resolution and Plan of Action on Sustainable Fisheries for Food Security for the ASEAN Region towards 2020.
- 5) SEAFDEC will, as directed by the Council Directors, support the development and implementation of National Plans of Action (NPOAs)<sup>6</sup> for the management of fishing capacity through specific, in-country technical assistance projects.

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<sup>6</sup> Based on the Recommended Template agreed upon during the Second Regional Technical Consultation on Regional Plan of Action for Management of Fishing Capacity in December 2015 in Thailand



## **ABBREVIATIONS**

AFCF	ASEAN Fisheries Consultative Forum
AMSs	ASEAN Member States
ASEAN	Association of Southeast Asian Nations
CCRF	Code of Conduct for Responsible Fisheries
CPUE	Catch Per Unit Effort
EEZ	Exclusive Economic Zone
FAO	Food and Agriculture Organization of the United Nations
IPOA	International Plan of Action
IUCN	International Union for Conservation of Nature
IUU fishing	Illegal, Unregulated, and Unreported fishing
NPOA	National Plan of Action
MCS	Monitoring, Control and Surveillance
MSY	Maximum Sustainable Yield
RFMO	Regional Fisheries Management Organization
RFVR	Regional Fishing Vessel Record
RTC	Regional Technical Consultation
SEAFDEC	Southeast Asian Fisheries Development Center
UNCLOS	United Nations Convention on the Law of the Sea
WTO	World Trade Organization

## DEFINITION OF TERMINOLOGIES

1. **Beneficial owner:** This is a legal term where specific property rights (“use and title”) in equity belong to a person even though legal title of the property belongs to another person (Black’s Law Dictionary (2nd Pocket ed. 2001 pg. 508)). This often relates where the legal title owner has implied trustee duties to the beneficial owner.
2. **Buy-back program:** This is a program usually government sponsored, for buying vessels or licenses from fishers and removing the vessels from the fishery (<https://stats.oecd.org/glossary/detail.asp?ID=248>; <http://www.fao.org/3/a-a1338e/a1338e14.pdf>)
3. **Catch Per Unit Effort (CPUE):** also called catch rate - is frequently the single most useful index for long-term monitoring of a fishery. Declines in CPUE may mean that the fish population cannot support the level of harvesting. Increases in CPUE may mean that a fish stock is recovering and more fishing effort can be applied. CPUE can therefore be used as an index of stock abundance, where some relationship is assumed between that index and the stock size. Catch rates by boat and gear categories, often combined with data on fish size at capture, permit a large number of analyses relating to gear selectivity, indices of exploitation and monitoring of economic efficiency. (<http://www.fao.org/docrep/004/Y2790E/y2790e02.htm#TopOfPage>)
4. **Commercial Fisheries:** Fisheries undertaken for profit and with the objective to sell the harvest on the market, through auction halls, direct contracts, or other forms of trade. (FAO definition)
5. **Community-based Management:** The core feature of locally developed, decentralized resource management is that user communities are ceded the rights and have the responsibilities for managing their own resources, typically using a mix of traditional or more formalized mechanisms of contract and enforcement to define access, exploitation methods and intensity. This is increasingly being applied in fisheries, though in many cases, the management structure is widened to include public sector agencies and other partners, in co-management. (<http://www.fao.org/fishery/topic/16626/en>).
6. **Co-management:** This is typically defined as a partnership arrangement between government and the local community of resource users, sometimes also connected with agents such as NGOs and research institutions, and other resource stakeholders, to share the responsibility and authority for management of a resource. There are no standardized approaches, but rather a range of arrangements, levels of sharing of responsibility and power, and ways of integration of local management mechanisms and more formalized government systems. In addition, the term is referred to the approach that is gaining particular importance in small-scale fisheries, for which local management capacity and responsibility, combined with the support of formal legal frameworks and information/decision making systems may offer particular advantages. However, their potential depends on the existing policy and legal environment, local and national support for community-based initiatives, and the capacities of various partners. (<http://www.fao.org/fishery/topic/16625/en>).
7. **Economic rent:** Economic rent can be defined as the surplus value created during the production of a good or service, due to the ownership of a factor of production that is in fixed or limited supply (<http://www.fao.org/docrep/003/x6827e/X6827E02.htm>)
8. **Excess Capacity:** The existence of underutilized capacity is an indication that excess capacity exists in a fishery, and that fewer boats, if fully utilized, could potentially have caught the same total catch. Excess capacity is a short run phenomenon and depends on the state of the resource and the environment (natural, social and economic) in which the fishers operate. A fishery with a fluctuating stock may exhibit excess capacity in some years and full capacity in others. Similarly, if market conditions are unfavorable, a fleet may exhibit excess capacity that disappears once prices return to their normal level (FAO Technical Guidelines For Responsible Fisheries).
9. **Exclusive Rights:** This is the right or privilege that can only be used by the person who it is granted to (<http://thelawdictionary.org/exclusive-right/>)
10. **Fisheries refugia:** Spatially and geographically defined marine or coastal areas in which specific management measures are applied to sustain important species (fisheries resources) during critical stages of their life cycle, for their sustainable use. (<http://www.fao.org/docrep/017/i3147e/i3147e.pdf>).
11. **Fishing Capacity:** Fishing capacity is, for a given resource condition, the amount of fish (or fishing effort) that can be produced over a period of time (e.g. a year) by a vessel or a fleet if fully utilized, that is if effort and catch were not constrained by restrictive management measures (FAO Technical Guidelines For Responsible Fisheries).
12. **Fishing Effort:** The amount of fishing gear of a specific type used on the fishing grounds over a given unit of time for example hours trawled per day, number of hooks set per day or number of hauls of a

beach seine per day. When two or more kinds of gear are used, the respective efforts must be adjusted to some standard type before being added (FAO, 1997).

13. **Incentives:** An incentive is anything that motivates or stimulates people to act (Giger 1996; cited in FAO 1999). Sargent (1994; cited in Tomforde 1995) defines incentives as signals that motivate action. Other definitions refer to the “incitement and inducement of action” (Enters 2001). Within the context of development projects, incentives have also been described as “bribes” and “sweeteners” (Smith 1998). To be of interest and to have an impact, incentives need to affect the cost-benefit structure of economic activities such as plantation management. Hence, in the context of the regional study, incentives can be defined as policy instruments that increase the comparative advantage of forest plantations and thus stimulate investments in plantation establishment and management (<http://www.fao.org/3/a-ad524e/ad524e05.htm>)
14. **Information Program:** A program to disseminate information pertaining to a particular subject or issue related to fisheries management with the objective of improving the understanding of target audience on that subject.
15. **Input/output controls:**
  - ❖ **Input controls** are restrictions put on the intensity of use of gear that fishers use to catch fish. Most commonly these refer to restrictions on the number and size of fishing vessels (fishing capacity controls), the amount of time fishing vessels are allowed to fish (vessel usage controls) or the product of capacity and usage (fishing effort controls). Often fishing effort is a useful measure of the ability of a fleet to catch a given proportion of the fish stock each year. When fishing effort increases, all else being equal, we would expect the proportion of fish caught to increase (<http://www.fao.org/docrep/005/y3427e/y3427e06.htm>)
  - ❖ **Output controls** are direct limits on the amount of fish coming out of a fishery (fish is used here to include shellfish and other harvested living aquatic animals). Obvious forms of output control are limits placed upon the tonnage of fish or the number of fish that may be caught from a fishery in a period of time (*e.g.* total allowable catches; in reality, usually total allowable landings) (<http://www.fao.org/docrep/005/y3427e/y3427e06.htm>)
16. **Protected Areas:** This is a clearly defined geographical space, recognized, dedicated and managed, through legal or other effective means, to achieve the long term conservation of nature with associated ecosystem services and cultural values (IUCN Definition 2008) ([https://www.iucn.org/about/work/programmes/gpap\\_home/pas\\_gpap/](https://www.iucn.org/about/work/programmes/gpap_home/pas_gpap/))
17. **Protected Species:** a species of animal or plant which it is forbidden by law to harm or destroy (<http://www.collinsdictionary.com/dictionary/english/protected-species>)
18. **Monitoring, Control and Surveillance (MCS):**
  - ❖ **Monitoring:** the collection, measurement and analysis of fishing activity including, but not limited to: catch, species composition, fishing effort, bycatch, discards, area of operations, etc. This information is primary data that fisheries managers use to arrive at management decisions. If this information is unavailable, inaccurate or incomplete, managers will be handicapped in developing and implementing management measures.
  - ❖ **Control:** involves the specification of the terms and conditions under which resources can be harvested. These specifications are normally contained in national fisheries legislation and other arrangements that might be nationally, sub-regionally, or regionally agreed. The legislation provides the basis for which fisheries management arrangements, via MCS, are implemented.
  - ❖ **Surveillance:** involves the regulation and supervision of fishing activity to ensure that national legislation and terms, conditions of access, and management measures are observed. This activity is critical to ensure that resources are not over exploited, poaching is minimized and management arrangements are implemented. (<http://www.fao.org/fishery/topic/3021/en>)
19. **Maximum Sustainable Yield (MSY):** The highest theoretical equilibrium yield that can be continuously taken (on average) from a stock under existing (average) environmental conditions without affecting significantly the reproduction process. Also referred to sometimes as Potential yield. (<http://www.fao.org/faoterm/en/?defaultCollId=21>)
20. **Open access:** is the condition where access to the fishery (for the purpose of harvesting fish) is unrestricted; *i.e.*, the right to catch fish is free and open to all (<https://stats.oecd.org/glossary/detail.asp?ID=3084>)
21. **Overfishing:** Overfishing is a generic term used to refer to the state of a stock subject to a level of fishing effort or fishing mortality such that a reduction of effort would, in the medium term, lead to an increase in the total catch. Often referred to as overexploitation and equated to biological overfishing,



it results from a combination of growth overfishing and recruitment overfishing and occurs often together with ecosystem overfishing and economic overfishing.

(<http://www.fao.org/faoterm/en/?defaultCollId=21>)

22. **Overcapacity:** is a longer-term problem and reflects a divergence between the resources used to harvest the resource (and the resultant current level of output) and the resources needed (and corresponding output) to harvest the resource at an “optimal” level. Optimal, in this sense, will largely be driven by the objectives of fisheries management, be they economic, social or conservation based (or some combination of all three). If the fishery is severely overexploited, this optimal yield may be higher than the current catch level, but associated with a large biomass. The existence of underutilized capacity may be indicative of overcapacity, but it does not necessarily convey information about the extent of overcapacity. Conversely, with an overexploited stock, little excess capacity may exist even though considerable overcapacity exists (FAO Technical Guidelines For Responsible Fisheries).
23. **Precautionary Principle:** A set of agreed cost-effective measures and actions, including future courses of action, which ensures prudent foresight, reduces or avoids risk to the resources, the environment, and the people, to the extent possible, taking explicitly into account existing uncertainties and the potential consequences of being wrong. (<http://www.fao.org/docrep/003/w1238e/W1238E01.htm>).
24. **Reference Point:** An estimated value derived from an agreed scientific procedure and/or model, which corresponds to a specific state of the resource and of the fishery, and that can be used as a guide for fisheries management. Reference points may be general (applicable to many stocks) or stock-specific. (<http://www.fao.org/faoterm/en/?defaultCollId=21>).
25. **Regional Fisheries Management Organizations (RFMO):** an intergovernmental organization, established by international agreement, with the competence to adopt conservation and management measures. (<http://www.fao.org/in-action/vulnerable-marine-ecosystems/key-concepts/en/>).
26. **Resource Rent:** This is a key concept in fisheries exploitation and management which is the total revenue that can be generated from the extraction of natural resources less the cost of extracting such resources (WTO definition)
27. **Sub-regions:** This refers to any region or areas whereas more than one country are concerned or the areas that are related to the trans-boundary issues and/or fish stock that needed to be managed together through the collaboration and cooperation. In Southeast Asian region, the sub-regions are referred to the specific sea areas such as Gulf of Thailand, Andaman Sea, Sulu-Sulawesi Seas, etc.
28. **Stock Enhancement:**
  - ❖ The release of cultured juveniles into wild population(s) to augment the natural supply of juveniles and optimize harvests by overcoming recruitment limitation (<http://www.stockenhancement.org/about/history.html>)
  - ❖ Stock enhancement of wild fisheries - The enhancement of stocks of an existing wild, open-access fishery with species that may or may not be self-recruiting. This category includes the stocking of relatively large inland water-bodies where there are no property rights to the stock. Generally the recapture rate of stocked fish is low and repeated enhancement is not always necessary to maintain the fishery.
  - ❖ Culture-based fisheries - The stocking of small water-bodies is a form of enhancement that is typically undertaken on a regular basis and the stocking activity is the only means of sustaining the fishery. Typically, a person or a group of persons and/or an organization will have property rights to the stock. The source of stock for the enhancement may be derived from capture, but more typically is obtained from a hatchery operation. These features collectively amount to a form of aquaculture that according to the FAO definition (FAO 1997), is referred to as culture-based fishery. (<http://www.fao.org/docrep/008/ae932e/ae932e05.htm>)
29. **Fisheries Subsidies:** Fisheries subsidies are government actions or inactions that are specific to the fisheries industry and that modifies - by increasing or decreasing - the potential profits by the industry in the short-, medium- or long-term. (<http://www.fao.org/docrep/005/y4446e/y4446e0k.htm>)
30. **Total Allowable Catch (TAC):** The TAC is the total catch allowed to be taken from a resource in a specified period (usually a year), as defined in the management plan. The TAC may be allocated to the stakeholders in the form of quotas as specific quantities or proportions. (<http://www.fao.org/faoterm/en/?defaultCollId=21>)



- 31. *Traditional fisheries:*** *This involves fishing households (as opposed to commercial companies), using relatively small amount of capital and energy, relatively small fishing vessels (if any), making short fishing trips, close to shore, mainly for local consumption. In practice, definition varies between countries, e.g. from gleaning or a one-man canoe in poor developing countries, to more than 20-m. trawlers, seiners, or long-liners in developed ones. Artisanal fisheries can be subsistence or commercial fisheries, providing for local consumption or export. They are sometimes referred to as small-scale fisheries".*  
(<http://www.fao.org/fishery/topic/14753/en>)
- 32. **Trans-boundary Stock:**** a group of commercially exploitable organisms/fish, distributed over, or migrating across, the maritime boundary between two or more national jurisdictions, or the maritime boundary of a national jurisdiction and the adjacent high seas, whose exploitation can only be managed effectively by cooperation between the States concerned.  
(<http://www.fao.org/docrep/006/y4652e/y4652e03.htm>)

**RECOMMENDED TEMPLATE FOR THE DEVELOPMENT OF  
NATIONAL PLAN OF ACTION FOR MANAGING FISHING CAPACITY  
(NPOA-CAPACITY)**

**I. INTRODUCTION**

- ❖ General problems and challenges on managing fishing capacity
- ❖ Importance of NPOA-Capacity

**II. NATIONAL PROFILE ON FISHERIES**

**2.1. Fishing Capacity Assessment**

- ❖ By types of fishing vessels
- ❖ By types of fishing gear
- ❖ By number of people engaged in capture fisheries
- ❖ By management area
- ❖ Fishing efforts

**2.2. Resources Assessment**

- ❖ Status and Trends of Fisheries
- ❖ Total production: including by Species, gears
- ❖ Fisheries management indicators *e.g.* MSYs or other indicators
- ❖ Biomass estimation from past surveys
- ❖ Others

**2.3. Identification Main Issues and Challenges**

- ❖ Overfishing
- ❖ Habitat degradation
- ❖ Encroachment into coastal waters
- ❖ Illegal fishing vessel including use of destructive fishing practices
- ❖ Inadequate enforcement capacity and capability
- ❖ Lack of public awareness and participation
- ❖ Conflicts in policies objectives

**2.4. Basic legal aspects, including institutional frameworks and responsibilities**

**III. GOAL, OVERALL OBJECTIVES AND SPECIFIC OBJECTIVES**

**IV. PLAN OF ACTION FOR MANAGING FISHING CAPACITY**

**4.1. Improve Management Policy**

- ❖ Update and endorse policy level decision

**4.2. Conduct Research and Assessment**

- ❖ Promote research and effective utilization of regular data collection
- ❖ Research on impact assessment on the change of fish population
- ❖ Periodic, stratified biomass estimation (by scientific surveys)
  - ✓ By resources type: demersal, pelagic, prawn, etc.
  - ✓ By area/zone/depth of water (depending on the management regime)
- ❖ Conduct assessment to identify overcapacity by fleet segment and gear used in order to better adjust the strategies

**4.3. Improve Fishing Capacity Management/Measures**

- ❖ Define total allowable fishing capacity based on resource assessment, and further develop quota system for provinces
- ❖ Limit fishing capacity in coastal and inshore areas
- ❖ Prohibit fully or partially specific fishing gears in particular fishing grounds
- ❖ Encourage the utilization of traditional and local knowledge to support the management of fisheries and fishing capacity

**4.4. Improve Legal and Institutional Frameworks, with responsibilities and coordination defined**

**4.5. Improve Enforcement and MCS**

- ❖ Establish database and analysis tools
- ❖ Continue development of VMS for fishing vessels
- ❖ Strengthen and build capacity for relevant fisheries officers: inspection and surveillance
- ❖ Establish coordination mechanism among monitoring and surveillance forces at the seas involving relevant institutions as defined in national laws
- ❖ Establish functioning national MCS-network(s)

**4.6. Promote Participation of Relevant Stakeholders**

- ❖ Define specific roles of stakeholders in NPOA-Capacity implementation
- ❖ Formulate and strengthen central and local institutional framework for co-management
- ❖ Support effective participation of fisheries associations and private sector
- ❖ Cooperate with community organizations and individuals in the development and implementation of NPOA-capacity at provincial and district levels

**4.7. Responsibilities/Implementation**

- ❖ Fisheries Administration
- ❖ Other Departments as applicable to each country (responsible for vessel registration, inspection and enforcement)
- ❖ Legal and Organization Departments (need to be better defined)
- ❖ Accounting and Planning Departments (need to be better defined)
- ❖ Research Institute for Marine Fisheries
- ❖ Local Governance, (province and district administration as applicable)
- ❖ Social and professional associations and/or fishing community, including private sector and community fisheries organizations)

**V. STRATEGIES**

**Strategy 1: Improve Management Policy**

No.	Issues and Challenges	Key Actions	Time Frame

**Strategy 2: Conduct Research and Assessment**

No.	Issues and Challenges	Key Actions	Time Frame

**Strategy 3: Improve Fishing Capacity Management/Measures**

No.	Issues and Challenges	Key Actions	Time Frame

**Strategy 4: Improve Legal and Institutional Frameworks, with Responsibilities and Coordination Defined**

No.	Issues and Challenges	Key Actions	Time Frame

**Strategy 5: Improve Enforcement and MCS**

No.	Issues and Challenges	Key Actions	Time Frame

**Strategy 6: Promote Participation of Relevant Stakeholders**

No.	Issues and Challenges	Key Actions	Time Frame

**VI. MONITORING AND EVALUTAION**

**VII. GLOSSARY**

**VIII. REFERENCE**

### Identified key issues and feasible measures as a basis reference for development of the RPOA- capacity

Issues	Feasible Measures	Technical Assistances
<b>Policy and Legal Framework in Managing Fishing Capacity</b>		
1) Ineffective policies, legal framework in managing fishing capacity <ul style="list-style-type: none"> <li>❖ Decisions inconsistent with current policies</li> <li>❖ Lack of political will and awareness towards conservation and fisheries management</li> <li>❖ Subsidies vs incentives</li> </ul>	<ul style="list-style-type: none"> <li>❖ Strengthen good governance</li> <li>❖ Voice out in ASEAN platform</li> <li>❖ Identify gaps and issues in legal framework</li> <li>❖ Consistency in policy and implementation (both national and regional levels)</li> </ul>	<ul style="list-style-type: none"> <li>❖ Consultations to improve understanding by politicians/policy makers using recommendations based on scientific evidence</li> <li>❖ Capacity building</li> </ul>
<b>Information for Fishing Capacity Management (vessels, gears, and fishers)</b>		
2) Insufficient information for fishing capacity management <ul style="list-style-type: none"> <li>❖ Data on concerned fishing capacity (e.g. no. of fishing boat, gears, fishers)</li> <li>❖ Incomplete information of gear specification and documentation (e.g. length of fishing gear)</li> </ul>	<ul style="list-style-type: none"> <li>❖ Identify gaps</li> <li>❖ Develop common database</li> <li>❖ Economic and financial studies on the impacts of capacity management</li> </ul>	<ul style="list-style-type: none"> <li>❖ Review works</li> <li>❖ Organize trainings/workshops/ consultations</li> <li>❖ Develop appropriate gear specification and design for sustainability of resources</li> <li>❖ Provide guidance technology systems including VMS, Automated Identification System (AIS) databases, GRMS (mobile telephone system), etc.</li> <li>❖ Information sharing on active fishing capacity</li> </ul>
<b>Information for Fishing Capacity Management (fishery resources)</b>		
3) Inadequate data and information on fisheries resources <ul style="list-style-type: none"> <li>❖ Lack of policies/systems to deal with fisheries management in data poor situation</li> <li>❖ Lack of expertise to assess fishing capacity</li> </ul>	<ul style="list-style-type: none"> <li>❖ Identify gaps</li> <li>❖ Develop common SOP (feasible and effective method) for data collection</li> <li>❖ Capacity building program</li> </ul>	<ul style="list-style-type: none"> <li>❖ Reviews</li> <li>❖ Organize trainings/workshops/consultations</li> <li>❖ Stock assessment, improve data collection and methodologies for both marine and inland fisheries</li> </ul>
4) Lack of research and assessment of migratory shared stocks	<ul style="list-style-type: none"> <li>❖ Capacity building</li> <li>❖ Conduct research and assessment of migratory shared stocks</li> <li>❖ Information dissemination</li> </ul>	<ul style="list-style-type: none"> <li>❖ Organize the regional fora</li> <li>❖ Conduct trainings/workshops/consultations</li> </ul>
<b>Capacity and Capability to Manage Fishing Capacity</b>		
5) Inadequate capacity and capability for monitoring, control and surveillance <ul style="list-style-type: none"> <li>❖ Encroachment of local fishing vessel into prohibited area</li> <li>❖ Encroachment of foreign fishing vessels</li> </ul>	<ul style="list-style-type: none"> <li>❖ Strengthening MCS</li> <li>❖ Inter-agencies and inter-countries coordination</li> <li>❖ Utilization of “Fishermen eyes” (co-management)</li> <li>❖ Improve law enforcement</li> <li>❖ Information sharing on MCS</li> <li>❖ Capacity building program</li> <li>❖ Promote co-management, decentralization, EAFM</li> <li>❖ Input control (vessels,</li> </ul>	<ul style="list-style-type: none"> <li>❖ Organize trainings/workshops/consultations</li> <li>❖ Flag and Port State Measures trainings and inspections</li> <li>❖ Safety inspections</li> <li>❖ Legal and regulatory technical assistance</li> <li>❖ Development of NPOA-capacity and determination of target fishing capacity</li> </ul>

Issues	Feasible Measures	Technical Assistances
	licenses, gears, days at sea) ❖ Output control (TAC, quota, MPA, zoning, spatial and temporal measures, minimize discards) ❖ Increase license fees (for commercial scale fisheries) Cooperation with relevant authorities to ensure safety of fishing vessels (inspection and certification as part of fishing license requirements) ❖ Promote alternative livelihood (other than fishing) ❖ Reduce low cost labors on fishing fleets	
<b>Public Awareness</b>		
6) Insufficient public awareness and participation ❖ Fishers ❖ General public (exclude fishers <i>e.g.</i> consumers)	❖ Fishers/stakeholders forum (at local, national and regional levels) ❖ Media and awareness campaign ❖ Information, education and communication program (IEC)	❖ Organize the regional fora ❖ Conduct trainings/ ❖ workshops/consultations
7) <b>Market-driven pressure</b> ❖ Demand for fish promoting unsustainable fishing practices ( <i>e.g.</i> high price fish, endanger fish, trash fish)	❖ Promote EAFM ❖ Public awareness to consume fish from sustainable fisheries ❖ Requirements for aqua feeds and raw materials for export causes pressure to the fishing capacity	❖ Support training courses





## ASEAN GUIDELINES ON IMPLEMENTATION OF LABOR STANDARDS FOR THE FISHERIES SECTOR

### Executive Summary

The demand of workers in the fisheries sector has been increased within and outside the ASEAN Member States. Considering the importance in enhancing the competitiveness of the ASEAN fish and fishery products, SEAFDEC Council during its 47<sup>th</sup> Meeting in 2015 requested that the issue on labor should be discussed among the Member Countries at the regional level. In response to the emerging international requirements, and the recommendations of its Council, SEAFDEC with support from the SEAFDEC-Sweden Project convened the “*First Regional Technical Consultation on Labor Aspects within the Fishing Industry in the ASEAN Region*” on 25-27 February 2016 in Bangkok, Thailand, to provide a regional forum for the Southeast Asian countries to discuss the issues on labor in the fisheries sector and develop strategies in addressing such issues. Key international agreements including the requirements of those agreements in relation to labor engaged in fisheries were highlighted and discussed with participants at the Consultation. The RTC also identified key issues on the labor aspects that surfacing with regards to the plight of fishworkers throughout the region (*i.e.* Low wages, absence of or inadequate social security, workers are unskilled in relation to fishing operations, lack of training before working onboard in fishing vessels, unaware of the requirements for safety at sea, Possessing fake or no legal documents, subjected to forced labor, child labor, human trafficking, poor working conditions, unfair treatment by employers, etc.).

The RTC highlighted the relevance to the fishing sector and the commitments made by ASEAN Member States to support the well-being of people throughout Southeast Asia as expressed in the “ASEAN Socio-Cultural Community Blueprint”, the “ASEAN Human Rights Declaration” and the ASEAN Declaration on the Protection and Promotion of the Rights of Migrant Workers (2007)

The RTC finally recommended that the ASEAN Guidelines on Implementation of Labor Standards for Fisheries Sector should be developed in line with international standards with the involvement of relevant stakeholders and international and regional organizations (such as ASEAN, ILO, FAO and SEAFDEC) through broader social dialogues in order to strengthen the roles and obligations of “receiving” countries, “sending” countries and the commitments by “ASEAN” as indicated in the ASEAN 2007 Declaration (the recommendations are provided in **Appendix 1**).

During the 48<sup>th</sup> SEAFDEC Council Meeting in 2016, countries provided the update on the current situation in dealing with the labor, migrant workers aspects by national level. While supporting the proposal to develop the ASEAN Guidelines, countries suggested that common template should be developed for the countries to refer to their respective regulations and in the development of ASEAN Guidelines should also consider the specifications of small-scale fisheries.

### Required Consideration by the Meeting

- 1) The Meeting is requested to take note on the progress on the endorsement Recommendation on the Development of ASEAN Guidelines on Implementation of Labor Standards for the Fisheries Sector
- 2) The Meeting is also invited to provide policy recommendation and guidance for the Development of ASEAN Guidelines on Implementation of Labor Standards for the Fisheries Sector

### **Fundamental requirements and policy directives on labor rights and rights of migrant workers (on-board fishing vessels and in processing industry)**

General requirements/recommendations applicable at both **Regional and Sub-regional** Level. Specifications for the National Level is provided further below:

- **Increase regional and national awareness** among countries in the ASEAN region on the relevance (and implications) of international instruments (ILO, IMO, ASEAN, etc.) as reference to standards applicable to the improvement of working conditions (including contracts, wages, etc.) for workers engaged in the fisheries sector throughout Southeast Asia.
- **Map the functions** of the various stakeholders, and facilitate agreements to collaborate and to share information on fisheries labour-related issues and to strengthen inter-ministerial cooperation **within countries and across boundaries**.
- **Engage** the cooperation of civil society organizations, private sector, relevant authorities and administrations in addressing concerns on fisheries workers with an aim to improve working condition of domestic and migrant workers in fisheries in the ASEAN region and defined sub-regions
- **Note** that regional and/or bilateral arrangements to support implementation of standards and measures to secure decent working conditions should, as applicable, follow and build upon the requirements of national laws and regulations of concerned countries. Incorporate references to the “ASEAN Declaration on the Protection and Promotion of the Rights of Migrant Workers” (2007) other relevant ASEAN declarations as relevant.
- **Extend the strengthening of** inter-ministerial cooperation to the bilateral and sub-regional level. Maintain close collaboration between fisheries-related agencies, labor departments and other responsible agencies across boundaries to ensure that the rights of fisheries labor are protected under respective countries’ national labor laws and that relevant concerns are included in MoU’s and sub-regional arrangements.
- **Consider and strengthen the roles and obligations** of the “Receiving” state, the “Sending” state together with strengthened commitments by “ASEAN” as indicated in the “ASEAN Declaration on the Protection and Promotion of the Rights of Migrant Workers” (2007). Ensure establishment, enforcement and monitoring of **MOU’s between sending and receiving** countries
- **Agree on** standard clauses in the MOUs to be addressed by receiving and sending countries:
  - **Receiving countries**, the development of standard employment contracts (in multiple languages) and other protection measures and support the workers (Support specific pre-departure training program (occupation, language, etc) for workers who intend to work in fisheries sector.
  - **Sending countries** to provide Specific pre-departure training program (occupation, language, etc.) for workers who intend to seek employment in fisheries sector in receiving countries (based on specifications in the MOU).
  - **Both countries:** Share data relevant to employment (and repatriation) of migrant fishers and workers employed in the fishing industry, including information on results of joint inspections (based on MOU specifications). Share information and **support the formulation** of labor unions/associations at national and regional level (in accordance with national laws)
- **Coordinate dialogue/consultations** to develop **ASEAN Guideline on Implementation Labor Standard for the Fisheries Sector** in line with the international standards. Build upon the intentions of the ASEAN Socio-Cultural Community Blueprint, the provisions of the “ASEAN Declaration on the Protection and Promotion of the Rights of Migrant Workers” (2007) other relevant ASEAN declarations.
- **Encourage** AMS to develop the supporting regulations and policies to promote regional cooperation on labor in the fishing sector in support of the implementation of the **ASEAN Guidelines on Implementation Labor Standard for the Fisheries Sector** (when adopted) including references to relevant ASEAN Declarations (on Human Rights, Rights of Migrant Workers, etc.) to meet regional and international requirements on labor rights in fishing sector.
- **Raise the implementation level** with regards to standards of labor/working conditions in the fisheries sector throughout Southeast Asia and promote the application of ILO Convention 188 and other relevant and applicable instruments. Support regional and national gap analysis in promotion of strengthened regional cooperation and national legislative development to meet the requirements of C188, and share comparative international/regional experiences on Good Labour Practices.

- **Awareness building among** agencies and the civil society in the ASEAN region on the importance and context of labor related laws and measures – **aim for** a “broader social dialogue” while building upon a “human rights based approach” and among AMS adopt an inclusive approach to decent work (employment, working conditions, social protection, social dialogue of men and women fishers and fish workers, and of migrant fishers and fish workers),
- **In the process build upon/relate** to the ILO and FAO initiative on “**Decent Work**”, recognizing the four pillars; 1) Employment, 2) Social security, 3) Status and Rights of workers, and 4) Governance and Social dialogue. Ensure that social sustainability, of which decent work is a fundamental element, is a priority in developing sustainable fisheries as stipulated in the FAO Blue Growth Initiative (BGI)
- **Support voluntary compliance** initiatives (nationally and across boundaries), including the implementation of good labour practices and responsible government agencies should aim to work with the private sector to secure compliance. Continue to bring national and regional stakeholders together, including the traditional ILO constituents, but also the fisheries-related organizations (including national departments), buyers, and others to strengthen the implementation of ASEAN declarations in support of improved working conditions and the rights of migratory workers
- **Adapt and implement** available international inspection guidelines and tools developed at global level in support of monitoring of compliance with international instruments (*e.g.* ILO, IMO, FAO and other relevant) as applicable to local regulations and institutional framework (including bilateral arrangements). Provide capacity building to the officers of relevant agencies to perform inspections.
- **Through improved** inspection routines and other means strengthen Flag State and Port State responsibility towards improving working and living conditions on board fishing vessels.

#### National level:

- **Increase national awareness** on the relevance (and implications) of international instruments (ILO, IMO, ASEAN, etc.) as reference to standards applicable to the improvement of working conditions (including contracts, wages, etc.) for domestic and migrant workers engaged in the fisheries sector.
- **Map the functions** of the various stakeholders with the country, and facilitate agreements to collaborate and to share information on fisheries labour-related issues and to strengthen inter-ministerial cooperation.
- **Strengthen** inter-ministerial cooperation. Maintain close collaboration between fisheries-related agencies, labor departments and other responsible agencies to ensure that the rights of fisheries labor are protected under respective countries’ national labor laws. Apply an integrated and comprehensive approach to ensure the development, enhancement and implementation of national laws and regulations align with international conventions.
- **Engage** the cooperation of civil society organizations, private sector, relevant authorities and administrations in addressing concerns on fisheries workers with an aim to improve working condition of domestic and migrant workers in fisheries.
- **Raise the national implementation level** with regards to standards on labor/working conditions in the fisheries sector and promote the application of ILO Convention 188 and other relevant and applicable instruments. Support national gap analysis in promotion of national legislative development to meet the requirements of C188, and share comparative international/regional experiences on Good Labour Practices.
- **Awareness building among** agencies and the civil society on the importance and context of labor related laws and measures – **aim for** a “broader social dialogue” while building upon a “human rights based approach” and adopt an inclusive approach to decent work (employment, working conditions, social protection, social dialogue of men and women fishers and fish workers, and of migrant fishers and fish workers).
- **Support voluntary compliance** initiatives, including the implementation of good labour practices and responsible government agencies should aim to work with the private sector to secure compliance. Continue to bring national stakeholders together, including fisheries-related organizations, national departments, buyers, process industries and others to strengthen the implementation of ASEAN declarations in support of improved working conditions and the rights of migratory workers
- **In the process build upon/relate** to the ILO and FAO initiative on “**Decent Work**”, recognizing the four pillars; 1) Employment, 2) Social security, 3) Status and Rights of workers, and 4) Governance and Social dialogue
- **Support the formulation** of labor unions/associations at national and regional level (in accordance with national laws). Empower workers and ensure greater access to support services, including



complaints mechanisms, access to justice and group formation. Strengthen action on decent rural employment and social protection in all agricultural sectors including fisheries and aquaculture – applicable to both domestic and migrant workers

- **Enhance policy support** and increase/promote the availability of data on labor engaged in the fisheries sector. Further strengthen the knowledge-base through the conduct of studies on working conditions; As/if needed conduct in-depth research on migrant workers, forced labor, child labor, human trafficking and identify the link between IUU fishing and labor exploitation and how measures to combat illegal practices can be mutually reinforcing.
- **Seek “high level” support** (higher than that of individual departments and ministries) on measures to ensure good working conditions.
- **Ensure that advices** and capacity development are provided to workers prior to the engagement within the fisheries sector (including pre-departure training). Facilitate migrant-worker transfer of capital, skills and technology by providing them with relevant incentives. In addition establish a system (certification) for the skills gained through the engagement within the fishing sector by migratory workers. Ensure fair national/regional standard of wages for work in fishing industry and prompt payment of wages (links to development of ASEAN Labor Standards)
- **Encourage the mainstreaming** of labor migration issues within the national development agenda, especially in the national employment policies, national development plans, and country’s decent work programs. Promote compliance of the fishing industry with national labor protection regulations
- **Set up migrants’ resource centers** in all countries to liberalize or facilitate the support provided to the activities of migrant workers as well as to prepare for reintegration upon returning back to home country. Migrant workers recruitment procedures should be regulated and recruitment malpractices should be eliminated. Review carefully regulations of receiving countries about legal rights and benefits including options and support to the opening of bank accounts by migrant workers in home countries and in their destination countries to facilitate remittances of wages
- **Compile and validate data on women** engaged in the fishing industry and address gender equity in fishing industry, in particular fisherwomen, child labor, and ensure that their rights are protected and safe and secure working environments are promoted.
- Promote **fishermen’s registration** especially (including) for migrant labor. Ensure that fisher workers going onboard have contracts and properly documented. Incorporate in contracts the relevant regulations of receiving countries to ensure that working and living conditions and other benefits are enjoyed by the fish workers
- **On-board vessels:**
  - **Develop joint inter-agency** order prescribing rules and regulations governing the working and living conditions of fishers on board fishing vessels engaged in commercial fishing operation.
  - **Ensure** availability of sufficient safety equipment onboard vessels and provide for inspection of the vessel condition (sea worthiness) as one of the requirements for renewal of fishing vessels licenses
  - **Monitor regularly** that crew members (domestic and foreign) are treated in accordance with national labor laws

## REGIONAL PLAN OF ACTION ON SUSTAINABLE UTILIZATION OF NERITIC TUNAS IN THE SOUTHEAST ASIAN REGION: RESULTS ON THE STOCK ASSESSMENT OF LONGTAIL TUNA AND KAWAKAWA

### 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 tunas is therefore needed. In this connection, the 45th 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 Tunas Fisheries (RPOA-Neritic Tunas). In response to the advice from the Council, SEAFDEC with funding support from the SEAFDEC-Sweden Project together with ASEAN-SEAFDEC Member Countries developed the RPOA-Neritic Tunas through a series of Expert meetings and Regional Technical Consultation since 2013. The draft RPOA-Neritic Tunas resulted from the consultative meetings was circulated to all SEAFDEC Member Countries for comments before it was addressed and endorsed as amended by the 17th Meeting of the FCG/ASSP in December 2014. The Final RPOA-Neritic Tunas was adopted at the 47th Meeting of the Council (47CM) in April 2015, and later endorsed by the 23rd Meeting of the ASEAN Sectoral Working Group on Fisheries in June 2015 with the notification by SOM-37<sup>th</sup> AMAF on the same year.

To promote the implementation of the RPOA-Neritic tuna, the Scientific Working Group and its TORs has been established to facilitate the work stock Assessment and come up with management measures for consideration by high levels. The objective of ToR is to ensure that the Regional Cooperation from AMS on the stock assessment of the neritic tunas can be effectively implemented by the SWG. Up to date, three meeting of the scientific working group on stock assessment were conducted in Malaysia (2014), Viet Nam (2015), and Thailand (2016) with aims to review the existing status of neritic tunas, the Standard Operating Procedure (SOP) for data collection and genetic study. In addition, the stock assessment for longtail tuna (LOT) and eastern little tunas (KAW) in 2016 was conducted based on the assumption that two stocks for Neritic tunas in the Southeast Asian waters, *i.e.*, Pacific (FAO fishing areas 57) and Indian ocean stock (FAO fishing areas 71). Using the CPUE standardization, ASPIC and Kobe plots, the results of the stock assessment of LOT and KAW are shown in the **Appendix 1**.

Based on the results of Stock Assessment of LOT and KAW, the risk assessment will be conducted by end of 2016 which aims to analyze the future activity and drafting management measures to ensure that LOT and KAW stock are maintained for sustainable utilization. Three training course on stock assessments have been conducted in Thailand. The SWG-neritic tuna also plans to discuss and conduct stock assessment for seer fishes in 2017, while conducting the genetic study covering the southeast Asian region in 2017-2018 by MFRDMD in collaboration with all relevant Member Countries.

### Required Consideration by the Meeting

The 19<sup>th</sup> FCG/ASSP meeting is requested to take note the progress implementation of RPOA-Neritic Tunas and results of the SWG stock assessment of the LOT and KAW. The meeting is also invited to provide directive guidance to SEAFDEC and SWG on risk assessment and drafting of the effective management measures for long term sustainable utilization of LOT and KAW in the region.

## **ISSUES/CHALLENGES IN SUSTAINABLE FISHERIES DEVELOPMENT NERITIC TUNAS**

### **I. INTRODUCTION**

Throughout the Southeast Asian region, tunas are commonly found and abundant, including several species of oceanic and neritic tunas. While the oceanic tunas migrate over larger areas, the neritic tunas are more common within the economic zones and sub-regional seas of Southeast Asia. In common, all tuna resources have a high economic importance generating export revenues for the countries of the region as well as to provide important protein sources for domestic consumption. While availability of oceanic tuna has been declining, neritic tuna species are gaining more economic importance. Neritic tuna species have increasingly become the target for commercial and local fisheries as attractive prices are offered by processing companies. However, there are still uncertainties on the distribution, migration utilization of tuna stocks in the waters and sub-regions of Southeast Asia. Without further clarification and dialogue, it would be difficult to develop appropriate tuna management plans at national and sub-regional levels.

While management efforts with regards to the exploitation of oceanic tunas is covered by recommendations provided by the Tuna Regional Fisheries Management Organizations, such as the Indian Ocean Tuna Commission (IOTC) and the West Central Pacific Fisheries Commission (WCPFC), there are important work to be done within the Southeast Asian Region to promote common approaches to management of the utilization of neritic tunas. To ensure the sustainable use of available regional resources and to maximize economic benefits for the Region, it is crucial to seek for collaborative management plans for neritic tuna fisheries in the region and sub-regions. Regional collaboration will be continued to be, crucial for the sustainability of these rich and important trans-boundary resources. The issues were addressed by SEAFDEC Member Countries at its 45<sup>th</sup> SEAFDEC Council Meeting in April, 2013 that called for the development of a plan of action for regional cooperation on neritic tunas in the Southeast Asian Region.

During the 45<sup>th</sup> SEAFDEC Council Meeting, the SEAFDEC Council Directors supported a proposal to strengthen regional cooperation to promote conservation and management for sustainable neritic tuna fisheries in the Southeast Asian Waters as proposed by SEAFDEC Secretariat. Through regional and sub-regional cooperation the countries – and producers – need to be able to show and verify the sustainability of targeted neritic tuna fisheries.

To support the needs as mentioned above, SEAFDEC Secretariat in collaboration with MFRDMD reviews the tuna captures within the Southeast Asian Region with the technical support from relevant SEAFDEC Member Countries with the aim to come up with preliminary results of the status and trends of neritic tuna as well as its stock in the region. While SEAFDEC will also work with Countries Scientists to come up on the way forward to promote regional or sub-regional cooperation on sustainable utilization of neritic tuna resources based on scientific evidences in the Southeast Asian Region.

### **II. NERITIC TUNAS FISHERIES**

In Southeast Asian region, neritic tunas are caught commercially from three main fishing gears (Siriraksophon, 2013): purse seines, ring-nets in the Philippines and drift gillnets. Three types of purse seine operations found in many ASEAN countries such as purse seines by searching methods, by associated FADs and by luring light method. In Thailand likewise many neighboring countries - Cambodia, Malaysia, Myanmar, Brunei Darussalam, and Indonesia - purse seine evolved from the Chinese purse seine and became widely used after 1957. The purse seine has developed as a unique style of seining appropriate to conditions in Thai waters. This gear was developed initially to catch small pelagic fish other than tunas. The targeting of small tunas by the Thai purse seine fishery started in 1982 with the expansion of the tuna canning industry. Thai purse seining is labor intensive with 30-40 crews working on vessels ranging in size from 25-30 m. The length of nets range from 800-1,250 m, while net depths range from 70-120 m, and mesh sizes range from 2.5-9.7 cm. Recently, modern purse seiners are equipped with radar, depth sounder, sonar transceiver and satellite navigational instruments.

For drift-gillnets have played an important role in neritic tunas fisheries, especially in the early period of development of small pelagic fisheries in many ASEAN countries when compared to the operation of purse seines nowadays. However, the drift gillnets are still important gear for some ASEAN Country such as in Viet Nam in which 37% of the total neritic tunas of 72,650 MT is represented from drift gillnets (Nguyen Ba Thong, 2013).

### III. STOCK ASSESSMENT OF NERITIC TUNAS

In stock assessments, SEAFDEC assumes two stocks for Neritic tunas in the Southeast Asian waters, *i.e.*, Pacific and Indian Ocean stock or aligning with the FAO fishing areas 57 and 71, respectively (Figure. 1). Thus with the support from Dr. Tsutomu Nishida and scientists from SEAFDEC Member Countries, the stock assessment of LOT and KAW for 2 stocks in Pacific and Indian Ocean stocks were conducted in 2016 using the CPUE standardization, ASPIC and Kobe plots.

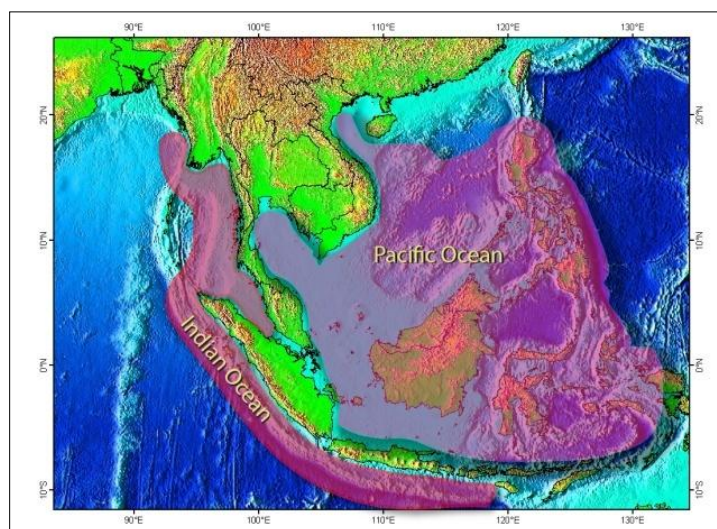


Figure 1

#### A. Longtail Tuna (LOT)

Based on the stock assessment (Nishida, *et al.*, 2016) using the Kobe plots, the current stock status (2014) on Longtail tuna in the Indian Ocean side is in the red zone the Kobe plot (overfished and still overfishing), *i.e.*,  $TB/TB_{msy}=0.89$  and  $F/F_{msy}=1.11$  implying that TB is the 11% lower than the MSY level and F is 11% lower than the MSY level (Figure 2). Catch in 2011 was the peak, but afterwards it decreased to 2014. Hence the stock status has been slightly recovered in 2014. However, probability of uncertainties in the un-safe zone (red, orange and yellow) of the 2014 point is very high 78%. Thus, both catch and F (Fishing pressure) should be decreased to their MSY levels, *i.e.*, 37,000 tons and 0.51 respectively.

For the Longtail tuna in the Pacific Side, the current stock status (2013) is in the green (safe) zone the Kobe plot, *i.e.*,  $TB/TB_{msy}=2.22$  and  $F/F_{msy}=0.18$  implying that TB is the 122% higher than the MSY level and F is 92% lower than the MSY level (Figure 3). Catch in 2008 was the peak, but afterwards it sharply decreased to 2013 (193,000 tons, the lowest level since 1980's). That is the reason why the stock status is very safe and the probability of uncertainties in the un-safe zone (red, orange and yellow) around the 2013 point is none (0%). Thus, both catch and F (Fishing pressure) can be increased more, but should be less than their MSY and  $F_{msy}$  levels, *i.e.*, 200,000 tons and 1.07 respectively.

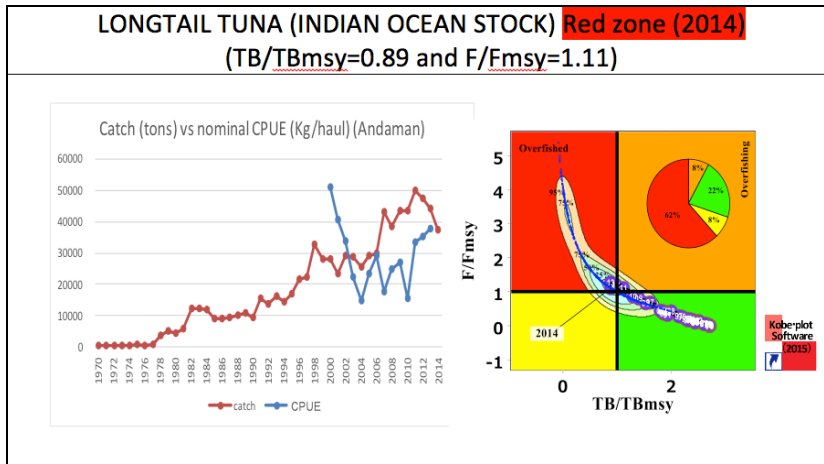


Figure 2

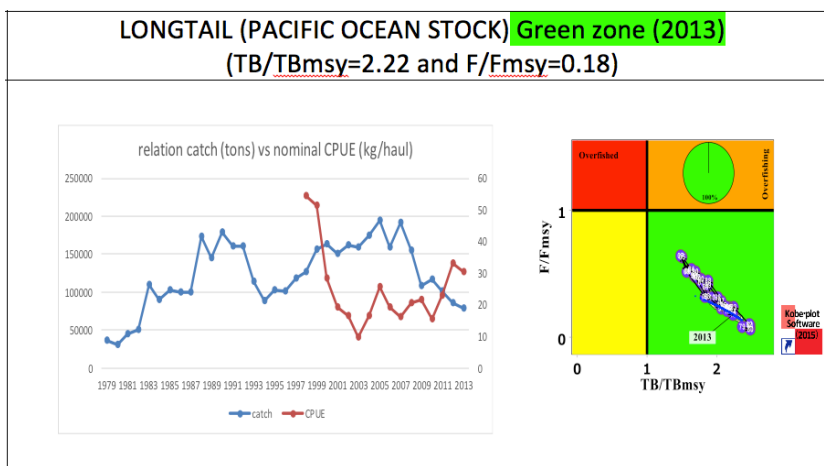


Figure 3

**B. Kawakawa (KAW)**

The 2014 stock status of kawakawa in the Pacific Ocean side is in the green zone ( $F/F_{msy}=0.75$  and  $TB/TB_{msy}=1.28$ ), *i.e.*,  $F$  is 26% lower than MSY level and  $TB$  is 29% higher than its MSY level (Figure 4). Although Kawakawa stock in the Pacific side is in the safe condition, it is recommended that both fishing pressure and catch should not exceed the 2014 level because 53% of uncertainties around the 2014 point is 53% (Red, Orange and Yellow zone in the Kobe plot), while the 47% is in the safe (green) zone.

For KAW in the Pacific side, the current stock status is in the safe zone (Green in the Kobe plot), *i.e.*,  $TB/TB_{msy}=1.29$  and  $F/F_{msy}=0.74$  implying that  $TB$  is the 29% higher than the MSY level and  $F$  is 26% lower than the MSY level (Figure 5). This is because there was significant catch decrease after 2002 (peak level) and the current catch level is low. In addition, the Kobe plot shows that there is no probability that uncertainties in the 2013 estimates fall in the unsafe zone (red, orange and yellow zone in the Kobe plot). Thus there are no problems to maintain the current catch and  $F$  (fishing pressure) levels, but both catch and  $F$  (fishing pressure) should be kept under their MSY levels (185,000 tons and 0.43 respectively)



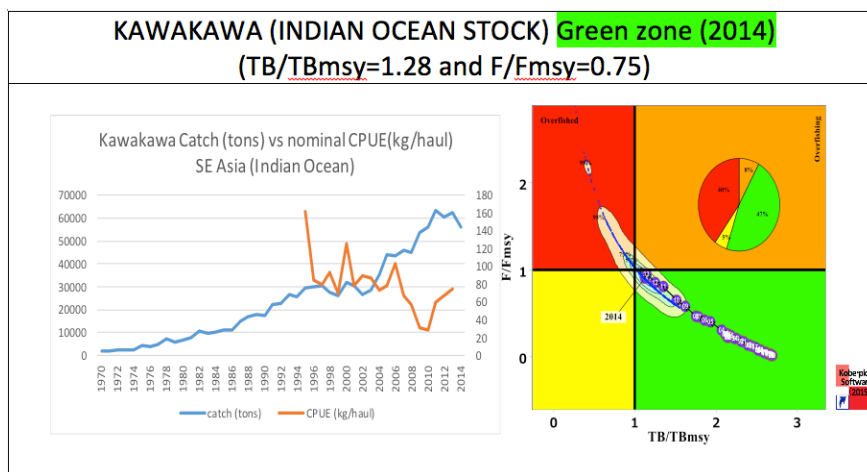


Figure 4

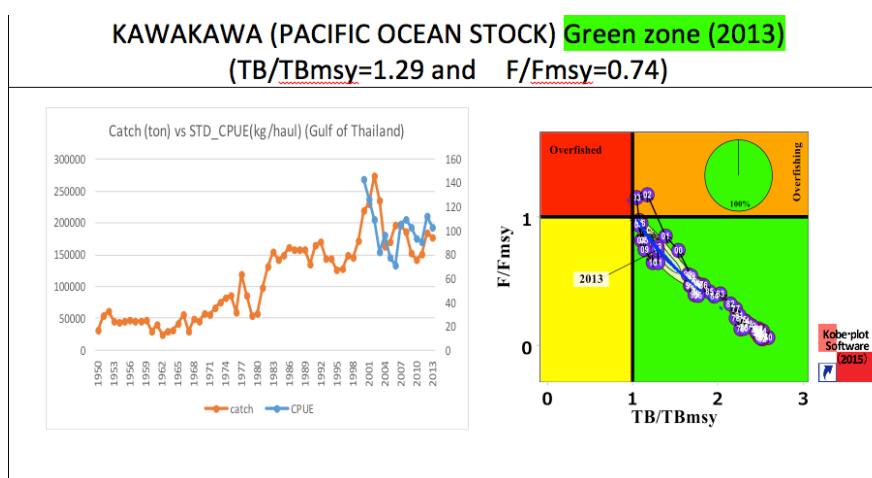


Figure 5

The results of 4 stocks assessment are based on the Catch data from FAO, IOTC and data coordinators of the SEAFDEC neritic tuna project. This means that almost all data are basically national statistics in which have wide ranges of uncertainties, while stock structures are unknown which produce uncertainties in results. In addition, CPUE are based on Thailand DOF information. As other plausible CPUE are not available, we cannot compare with others. This implies that the stock assessment results mainly are driven by Thailand CPUE, and the CPUE series may not be long enough for the reliable stock assessments.

Although there are a number of Caveats, there are some positive evidences that results are likely plausible (realistic) as follows:

- Relation between catch and CPUE (for all four cases) are negatively correlated, which indicate both trends are likely realistic. Hence results of stock assessments are likely plausible.
- Results of stock assessments (Indian Ocean stock) are similar to those in the whole Indian Ocean based on the stock assessments conducted by IOTC (IOTC, 2015) and (IOTC-WPNT06-2015-21)

#### IV. ISSUES/CHALLENGES AND REGIONAL PLAN OF ACTION

Throughout the regional technical consultations with SEAFDEC Member Countries, the key issues for promotion of the sustainable utilization of neritic tunas in the Southeast Asian region are 1) Insufficient data and information, 2) Un-determined neritic tuna stocks status, 3) open access scheme, 4) Inadequate management of neritic tunas resources in some areas, 5) Inadequate understanding of management and conservation measures, 6) Negative impacts of climate change to changes of neritic tuna stocks, 7) Negative impacts of fisheries to marine ecosystem, 8) Illegal, Unreported and Unregulated (IUU) fishing, 9) Inadequate infrastructures in fishing ports/landing sites, 10) Post-harvest losses/product quality deterioration, 11) Intra-regional and international trade, 12) Inadequate benefits for people involved in

neritic tuna fisheries and industries, 13) Working conditions and labor issues, 14) Lack of Sub-regional action plans for neritic tuna fisheries, 15) Insufficient information on status and trends of neritic tunas at sub-regional level, and 16) Limited support to intra-regional and international trade.

In this connection, the Member Countries adopted the Regional Plan of Action on Sustainable Utilization of Neritic Tunas in the ASEAN Region (SEAFDEC, 2015) with 6 objectives and 16 Action Plan as appeared in Table 1.

<b>Objective</b>	<b>Issues</b>	<b>Action Plan</b>
I) Determining available data and information, improving data collection and developing key indicators	1) Insufficient data/information	1) Improve Data Collection and Analysis for Neritic Tunas
	2) Undetermined neritic tuna stocks status	2) Assess Neritic Tuna Stocks and Develop Resource Key Indicators
II) Improving sustainable fisheries management	3) Open access	3) Promote Management of Fishing Capacity
	4) Inadequate management of neritic tunas resources in some areas	4) Promote Sustainable Utilization of Neritic Tunas Resources
	5) Inadequate understanding of management and conservation measures	5) Enhance Understanding of Management and Conservation Measures of Neritic Tunas
	6) Negative impacts of climate change to changes of neritic tuna stocks	6) Mitigate the Impacts of Climate Change on Neritic Tuna Stocks
III) Improving sustainable interaction between fisheries and marine ecosystem	7) Negative impacts of fisheries to marine ecosystem	7) Reduce Negative Impacts of Neritic Tuna Fisheries to Marine Ecosystem
IV) Improving compliance to rules and regulations and access to markets	8) Illegal, Unreported and Unregulated (IUU) fishing	8) Combat IUU Fishing Occurring in Southeast Asian Region
	9) Inadequate infrastructures in fishing ports/landing sites	9) Improve Infrastructures in Fishing Ports/Landing Sites
	10) Post-harvest losses/product quality deterioration	10) Improve Post-harvest Techniques and Product Quality
	11) Intra-regional and international trade	11) Enhance Intra-regional and International Trade
V) Addressing social issues	12) Inadequate benefits for people involved in neritic tuna fisheries and industries	12) Improve the Benefits for People Involved in Neritic Tuna Fisheries and Industries
	13) Working conditions and labor issues	13) Improve working conditions of labor
VI) Enhancing regional cooperation	14) Lack of Sub-regional action plans for neritic tuna fisheries	14) Enhance/Develop Sub-regional Action Plans for Neritic Tuna Fisheries
	15) Insufficient information on status and trends of neritic tunas at sub-regional level	15) Assessment of the Status and Trends of Neritic Tunas at Sub-Regional Level
	16) Limited support to intra-regional and international trade	16) Enhancing Intra-regional and International Trade

## V. CURRENT ACTIONS AND WAY FORWARD

Since the adoption of the Regional Plan of Action on Sustainable Utilization of Neritic Tunas in the ASEAN Region, for regional aspects, SEAFDEC with the support from ASEAN Member States have implemented several action plans as follows:

- Compilation and review of existing data and information on neritic tunas from all related national agencies to understand the status, trend and biological parameters;
- Review and strengthening of data collection systems on neritic tunas;
- Capacity building for data enumerators, observers, port inspectors, scientists, or other key data informants on species identification and biological information ;

- Determination of the type of data required for stock assessment or key indicator analysis;
- Utilization of the existing Standard Operating Procedures (SOPs) for data collection to determine fisheries key indicators on status and trend of neritic tunas;
- Encouraging the conduct of research on neritic tunas at national level (e.g. stock assessment, biological, genetics, tagging program etc.) ;
- Capacity building on stock assessment, 3 Training courses have been conducted;
- Develop the Regional Plan of Action for Managing of Fishing Capacity, and promote Management of Fishing Capacity (On-going);
- 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 (On-going);
- Conduct of risk assessment on the effective management of neritic tunas based on the stock assessment of individual species (on-going);
- Conduct of R&D on suitable fishing methods and practices for sustainable utilization of neritic tunas resources and promote to ASEAN Member States;
- Promotion of cooperation among ASEAN Member States and with other RPOA-IUU participating countries in combating IUU fishing under the RPOA-IUU Framework (on-going);
- Develop and promote the ASEAN Guidelines for preventing the entry of fish and fishery products from IUU fishing/activity into the supply chains in the ASEAN region;
- Provision of technical support to promote proper handling and preservation of neritic tunas onboard and at ports (on-going);
- Development and implementation of traceability system to monitor movement of neritic tuna fish/products in the supply chain for export (i.e. origin of catch, transport, processing, storage and distribution);
- 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 Labour Organization (ILO) Work in Fishing Convention of 2007 (C188/Work in Fishing Convention, 2007) No. 188 and other related ILO Conventions (on-going);
- Reviewing the existing action plans in sub-regions such as Sulu-Sulawesi Seas, Gulf of Thailand, South China Sea, and Andaman Sea (ongoing);
- Establishment of cooperation on R&D to support sub-regional management of neritic tuna fisheries (ongoing);
- Establishment of the SEAFDEC scientific working group on neritic tunas for regional stock assessment and providing scientific advice for policy considerations on neritic tunas management;
- Conduct of regular meetings of SEAFDEC scientific working group at a sub-regional and regional levels (ongoing);
- Promotion of the development of ASEAN Catch Documentation Systems/Schemes; and
- Enhancement of the promotion of neritic tuna fish and fishery products from small-scale operators

Way forward on the promotion and support the implementation of the RPOA-Neritic Tunas are as follows:

- Implementation of ASEAN Catch Documentation System/Scheme\* by ASEAN Member States for neritic tuna fish and fishery products at national level;
- Development of joint trade promotions within and outside the region through the ASEAN Tuna Working Group;
- Exchanging of information among ASEAN Member States on legal framework, policies & management, trade rules & regulations at sub-regional and regional levels on neritic tuna fisheries;
- Recognizing security and safety issues for all types of fishing activities by implementing skills training program
- Conduct of assessment of post-harvest losses of neritic tunas and describing the various ways of reducing post-harvest losses;
- Strengthening of surveillance activities and enforcement;
- Prohibition of importation, landing or transshipment at port of neritic tunas from vessels presumed to have carried out IUU fishing activities in the ASEAN region without prior clarification from vessel owners or concerned flag States;
- Development of measures to refrain the conduct of business transaction with owners and vessels presumed to have carried out IUU fishing activities;



- Creation of platforms/fora to facilitate cooperation among scientists and managers;
- Support the development of information, education and communication (IEC) programs on sustainable use of resources;
- Develop the management measures to Control of fishing effort and capacity at national level and sub-regional levels.

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## MANAGEMENT STRATEGIES AND MEASURES FOR PURSE SEINE FISHERY IN THE SOUTH CHINA SEA

### Executive Summary

Purse seine is one of the major commercial fishing gear used to exploit pelagic resources in this region. Different types of purse seine were observed in the South China Sea and Andaman Sea. SEAFDEC/MFRDMD collected updated information on purse seine fisheries from Member Countries and continuously examined the data for regional synthesis of purse seine fisheries. Based on these analyses, MFRDMD will suggest possible stock indicator and management options that were appropriate to SEAFDEC Member Countries.

MFRDMD has conducted internal workshop in Tok Bali, Malaysia on 6-7 January 2016 to discuss regional synthesis of purse seine fisheries information. MFRDMD also plan to invite Member Countries to participate in regional workshop in January 2017. This workshop will conduct a case studies with available information and some application of catch and fishing effort to develop management strategies for purse seine fisheries in the region. Therefore MFRDMD strongly request all participating Member Countries to fully cooperate and provide information that required by MFRDMD before end of December 2016.

The “Core Expert Meeting on Comparative Studies for Management of Purse Seine Fisheries in the Southeast Asian Region” was held from 9 to 11 August 2016 in Kuala Lumpur, Malaysia. The meeting was attended by the representatives from Cambodia, Indonesia, Malaysia, the Philippines, Thailand, Viet Nam and an observer from Lao PDR; as well as resource persons from Japan and Malaysia. The meeting shared the latest information about landings and CPUEs of purse seine fisheries in the region, make comparison in application of TAC, TAE and other management options and its data requirement, and understanding the population structure for *Amblygaster sirm*.

Genetic samples from spotted sardinella (*Amblygaster sirm*) collected by participating Member Countries were analysed and the preliminary result based on four sampling locations (namely Muara; Brunei Kuantan, Kudat; Malaysia, and Songkla, Thailand) found that *Amblygaster sirm* in South China Sea is a single evolutionary unit and therefore can be regarded as a single stock.

### Required Consideration by the Meeting

The 19<sup>th</sup> Meeting of the FCG/ASSP is requested to take note results of the “Management Strategies and Measures for Purse Seine Fishery in the South China Sea. The meeting is also invited to provide advice and suggestion to SEAFDEC/MFRDMD on development the “Common Management Measures” to manage pelagic resources sustainably for food security.



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

### Executive Summary

Taking into accounts the high demand of anguillid eels from East Asia Country for baked eel called “Unagi kabayaki” products, the 36<sup>th</sup> Meeting of the Program Committee in November 2013 requested SEAFDEC to spearhead the conduct of a study on eel resources - through the collaboration with Member Countries - covering the following issues: a) Compilation of basic information on eel species in Southeast Asia; b) Research on eel biology; c) Development of eel fishery management measures; and d) Promotion of sustainable aquaculture of eels. In response to this, SEAFDEC organized the 1<sup>st</sup> Regional Technical Meeting on Information Gathering of Eel Resources and Aquaculture Production in Southeast Asia on 27 January 2014 in Bangkok, Thailand, with aims to compile information related to eel resources from the wild and status of aquaculture in the Southeast Asian Countries and developed the way forward and future meeting of eel experts 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 to 1 September 2014. The results from the consultation are the Regional Policy Recommendations and Strategic Actions for the Conservation and Management of Catadromous Eel Resources (*Anguilla spp.*) and Sustainable Development of Catadromous Eel Aquaculture in Southeast Asia. However, ASEAN-SEAFDEC Member Countries consider that the proposed Policy Recommendations and Strategic Actions required for Regional Cooperation that would be aligned with the promotion of AEC-2015. Therefore, SEAFDEC is suggested to raise this policy recommendation for consideration and endorsement under the ASSP mechanism at the 17<sup>th</sup> Meeting of FCG/ASSP in December 2014, and later was adopted by the 47<sup>th</sup> Meeting of the SEAFDEC Council in April 2015 and also endorsed by the 23<sup>rd</sup> ASEAN Sectoral Working Group on Fisheries in June 2015.

Through both conducting the field surveys and holding the international workshop on tropical anguillid eels, those are held in 2016, IFRDMD gathered various kind of important and latest information on anguillid eel fisheries in this region. There are 3 countries that have juvenile anguillid eel fishery for seeds for aquaculture, Indonesia, Philippines and Viet Nam. In some eel seed fishing grounds, local government established the catch statistics on anguillid eels including eel seeds. However, since the catch statistics contained many errors and misunderstanding in its classifications on size category and the period of the catch statistics are quite fragmented, it was unable to analyze the annual trend and fluctuation of catch of eel seeds. In many other fishing grounds of eel seeds, there is no catch statistics on juvenile anguillid eel and no one knows how much eel seeds are captured every fishing season. Although the catch statistics with indices of effort are one of the fundamental information to monitor the trend of fishery and also fisheries resources, the present situation of establishment of catch statistics and/or activities to monitor the trend and fluctuation of eel seed catch in this region is quite poor. It might be one of the serious weak point for us to consider the prevention measure not to list the tropical anguillid eel species on CITES appendices. There are many other issues that should be tackled by SEAFDEC and Member Countries for sustainable use of tropical anguillid eel resources in this region. All these concrete issues and possible measures are summarized into “Way forward for enhancing the sustainability of catadromous eels in Southeast Asia” as a result of the international workshop (This documents is able to be downloaded from IFRDMD official web site).

### Required Consideration by the Meeting

- 1) The meeting is requested to take note on the progress on endorsement of the Regional Policy Recommendations on Conservation and Management of Eel Resources and Promotion of Sustainable Aquaculture as well as the research work on eel resources by IFRDMD.
- 2) The meeting is requested to support SEAFDEC activities on anguillid eel surveys and also assist the establishment of the catch statistics on anguillid eels including eel seeds for aquaculture at each SEAFDEC Member Countries.
- 3) The meeting is also invited to provide future direction and support SEAFDEC in conducting the status of eel resources within the Southeast Asian Region.





## POLICY RECOMMENDATIONS AND STRATEGIC PLANS FOR FISHERIES RESOURCES ENHANCEMENT IN THE SOUTHEAST ASIAN REGION

Considering that most of the fishery resources in the Southeast Asian waters are already in various levels of decline mainly due to illegal and unregulated fishing activities, and in an effort to address the concerns on resources degradation, SEAFDEC with funding support from the Japanese Trust Fund (JTF), carried out a five-year program on the “Promotion of Sustainable Aquaculture and Resource Enhancement in Southeast Asia” starting in 2010. Implemented in the Southeast Asian countries, the program was conceptualized based on two approaches, namely: improvement of critical habitats/nursing grounds of fishery resources; and direct enhancement of fisheries resources through artificial propagation techniques. Thus, under such program, the project on “Rehabilitation of Fisheries Resources and Habitats/Fishing Grounds through Resources Enhancement” was implemented by the SEAFDEC Training Department (SEAFDEC/TD) based in Thailand to serve as immediate response to the concerns on the deteriorating coastal and inland ecosystems, and preventing further loss of habitats and eventual damage to the aquatic organisms. Simultaneously, the Philippine-based SEAFDEC Aquaculture Department (SEAFDEC/AQD) carried out the project on “Resource Enhancement of Internationally Threatened and Over-exploited Species in Southeast Asia through Stock Release” including the establishment of strategies of stock enhancement through sustainable, responsible and environment-friendly approaches.

As the above mentioned projects involved identification of appropriate resource enhancement strategies that could serve as guide for the countries in the region in their efforts towards rehabilitating their respective fishery resources, SEAFDEC with support from the JTF organized the “Symposium on Strategy for Fisheries Resources Enhancement in the Southeast Asian Region” in Thailand in July 2015. Organized with two-pronged themes, *i.e.* Fishery Resources Enhancement through Habitat Improvement and Management; and Fishery Resources Enhancement through Artificial Propagation and Stock Release, the Symposium compiled, consolidated and exchanged necessary information and technologies based on the countries’ initiatives to enhance the fishery resources that might have already been degraded and destroyed due to illegal and unregulated fishing practices (Kawamura, *et al.*, 2016).



In order to promote fishery resources enhancement measures in critical habitats and fishing grounds, the AMSs have been carrying out R&D activities on various enhancement measures, *e.g.* installation and management of artificial reefs (ARs), management of fisheries *refugia* and marine protected area (MPAs), habitat diagnosis and rehabilitation, restocking and stock restoration. Based on the inputs from the SEAFDEC Member Countries and outputs of relevant SEAFDEC projects, the Symposium also came up with Policy Recommendations and Strategic Plans for Fisheries Resources Enhancement in the Southeast Asian Region.

Policy Recommendations for Fishery Resources Enhancement through Habitat Improvement and Management for Artificial Reefs Management are presented as follows:

- Best practices on installation of artificial reefs (ARs) should be promoted to ensure the protection of aquatic species during their life cycle and allowing them to reach optimum size.
- Planning and deployment of ARs should be undertaken, taking into consideration the following:
  - Clear purpose of ARs, *e.g.* resources enhancement;
  - Results from relevant feasibility studies, including cost-benefit analysis, socio-economic analysis, financial analysis, among others;
  - Involvement of researchers, policy makers, fishing communities, local government units and other stakeholders in the planning process;
  - Results of site suitability evaluation, *e.g.* existing corals/fishes, seabed conditions, oceanographic conditions, water circulation patterns;



- Choice of AR design(s) that should suit seabed conditions and purpose; and
- Certainty that installed ARs does not create pollution to the marine environment.
- ARs should be regularly monitored (over time, and seasonally) using appropriate parameters, *e.g.* conditions of ARs, primary productivity, abundance and diversity of aquatic species (fish, macro benthos, etc.). The impacts of ARs on environmental conditions, *e.g.* water current, turbidity, and sedimentation among others should also be monitored.
- Regular monitoring and evaluation of the effectiveness of AR programs should be conducted (for short-medium and long-term) by comparing various indicators before/after or within/outside ARs. Correlation of the abundance of species inhabiting the ARs and other environmental factors, *e.g.* bottom condition, water current/condition, should also be established.
- Cost-benefit analysis of AR deployment program(s) should be conducted, taking into consideration the resources, environmental and socio-economic benefits that could be gained from the program(s). Data to be collected could include investment costs (ARs construction and deployment), fisheries production by fishing gear and fishers' incomes before and after ARs deployment, and other ecosystem services.  
Implementation of AR program(s) should be integrated with other fisheries management measures, *e.g.* fishing regulations that include among others, prohibition of encroachment of commercial fishing activities, establishment of conservation/fishing zones, to ensure that resources are utilized in sustainable manner. Stakeholders' consultations on the management of ARs should be conducted to elaborate responsibility of stakeholders and fishers in the management plan.
- AR programs could be implemented in the coastal and offshore (if necessary) areas to ensure that the life cycle of both of demersal and pelagic species is sustained.
- A list of expertise on ARs and available resources should be compiled for reference and usage by the countries

Policy Recommendations for Integrating Fisheries and Habitat Management are presented as follows:

- Fisheries *refugia* could be implemented to complement the existing conservation/management measures, by integrating it with the fisheries objectives of protecting critical life cycle, *e.g.* spawning, nursing, broodstock aggregation, and migratory routes of species targeted for management.
- Selection of site(s) for fisheries *refugia* should be based on scientific information and local knowledge especially in identifying the areas that are natural habitats for critical stages of the life cycle of species targeted for management, *e.g.* spawning, nursery grounds, broodstock aggregation, migratory routes. The area of the Fisheries *Refugia* should be manageable by concerned stakeholders.
- Regulations on fishing activities in the *refugia* (*e.g.* restriction of harvestable size, fishing seasons, fishing gears/methods) should be enforced taking into account up-to-date scientific data (*e.g.* spawning season, size at maturity, larval study), which should be relevant and correspond to the activities of host communities.
- Community participation should be optimized for the establishment and management of fisheries *refugia* (*e.g.* identification of suitable sites, establishment/implementation of management measures including MCS) and collaboration with relevant government agencies at local/national levels should be strengthened so that the fisheries *refugia* could be as self-sustaining as possible.
- Sub-regional cooperation should be strengthened for the establishment of fisheries *refugia* for management of trans-boundary species (*e.g.* Indo-pacific mackerels) that move across the EEZs of more than one country.

Policy Recommendations for Degradation of (fish) habitats in the Southeast Asian Region are presented as follows:

- Fish habitat restoration priorities in different water resources in the region should be reviewed.
- Effectiveness of habitat restorations and resources enhancement in inland water resources such as lakes should be determined through the following methodologies:
  - Conduct of baseline studies
  - Harmonization of legal and juridical mandates of authorized agencies, including local governments responsible for water resources
  - Pooling of government funds and resources
  - Mobilization of local communities and/or other stakeholders
  - Application of technical tools to reconstruct the fisheries
  - Improvement of buffer zones

- Habitat restoration should be implemented through suitable co-management arrangements taking into consideration the importance of the ecosystem
- The “Satoumi Concept” could be considered as one of the Integrated Coastal Management approaches for habitat restoration.  
*Remarks:* Developed by Japan, the “Satoumi Concept” is a form of unified management system for land and sea, where management mechanisms for coastal waters move inland, one step away from integrated coastal management so that land and sea are brought under a unified management policy. In short, the “Satoumi Concept” is meant for environmental conservation of coastal areas in harmony with human interaction on land.
- Enhancement of fish populations in restored habitats could be carried out by applying appropriate techniques such as installation of ARs, establishment of fisheries *refugia*, restocking, and/or mangrove reforestation, etc.
- Since indigenous knowledge is crucial for habitat restorations, applicable only in most cases for specific areas and the culture of local communities, science and indigenous knowledge should be combined to ensure the effectiveness of habitat restorations.
- Impact assessment of lost natural habitats (*i.e.* coral reefs, seagrass and sea beds) due to human activities (irresponsible fishing or pollution) should be conducted as well as raising the awareness of stakeholders on the importance of habitats to humans and fishes.

Policy Recommendations for Fishery Resources Enhancement through Artificial Propagation and Stock Release on Potentials and Limitations of Stock enhancement and Restocking are presented as following:

- Stock enhancement and restocking activities should take into consideration the following:
  - Development of species- and site-specific strategies to ensure success of activity;
    - Give high importance to availability of scientific information/biology of the target species.
    - Ensure appropriate choice of species – benthic over pelagic and migratory species
    - Provide adequate preparation/rehabilitation of receiving habitats to ensure likelihood of success.
    - Give preference to marine reserves as release sites for managed monitoring and harvesting.
  - Active involvement of the local people (especially the fisherfolks) in the planning, implementation and monitoring activities, with understanding that the objectives of the activity and its long-term sustainability will largely depend on their continuous active involvement and participation;
  - Well-defined governance arrangements, and access and harvest rights through consultations with various stakeholders in enhancement/ restocking activities;
  - Conduct of cost-benefit analysis of release and stock enhancement activities;
  - Implementation of long-term planning with all stakeholders to ensure availability of sufficient funds and manpower resources;
  - Participation of the local government units and their assured commitment to adopt and sustain stock enhancement initiatives (with donor funds) beyond project completion date;
  - Creation of supplemental and alternative livelihood strategies to encourage fisherfolks’ participation and compliance to regulations;
  - Promotion of multi-stakeholder involvement and embedding conflict management in all phases of stock enhancement activity (including planning for and prioritizing a bottom-up approach in policy & regulation formulation);
  - Implementation of regulations and networking with enforcement agencies for protection of released stocks and management of recaptures; and
  - Implementation of activities, in conjunction with other management and conservation measures, to ensure that resources are utilized in sustainable manner.

Policy Recommendations for Fishery Resources Enhancement through Artificial Propagation and Stock Release on Release strategies and ecological interaction with natural stocks are presented as following:

- Assess the initial status of the community structure of the release site and monitor over time to determine the effects of interaction with the released stocks
- Determine the appropriate size of release of stocks to ensure high survival, avoidance of predators and economic efficiency
- Conduct proper behavioral conditioning of stocks prior to release
- Promote regular and long-term continuous monitoring to determine effectiveness
- Develop effective marking techniques for stock enhancement
  - Determine appropriate tags for proper identification of released stocks and for effective long-term monitoring



- Based on needs of Member Countries, enhance their capacity on the application of decision-making tools for stock release (*e.g.* ecological risk assessment tool)
- Importance of the genetic and health information of species should be well recognized to minimize genetic effects, transfer of diseases and protect biodiversity.

Policy Recommendations for Fishery Resources Enhancement through Artificial Propagation and Stock Release on Aquaculture-based Enhancement and Restoration are presented as follows:

- Increase government investments and solicit donor contributions for aquaculture R&D and related facilities to support wide-scale and high-impact stock enhancement and restocking initiatives.

### **Way Forward**

The Policy Recommendations and Strategic Plans for Fisheries Resources Enhancement in the Southeast Asian Region adopted during the July 2015 Symposium on Strategy for Fisheries Resources Enhancement in the Southeast Asian Region, were used as basis for the development of activities under the Project on Rehabilitation of Fisheries Resources and Habitat/Fishing Grounds for Resources Enhancement in Southeast Asia from 2015 to 2019, also supported by the JTF. The Project aims to identify the appropriate resource enhancement tools appropriate for the region as well as habitat conservation measures based on analysis and diagnosis of the effectiveness of the measures, and formulate strategies and guidelines for implementation in the Southeast Asian region. Capacity building on fisheries resource enhancement and habitat conservation measures would also be promoted in the ASEAN countries. The specific activities were formulated during the Regional Inception Workshop for JTF-6 Program on Promotion of Sustainable Fisheries Resources Enhancement Measures in Critical Habitats/Fishing Grounds in Southeast Asia organized in Thailand on 31 July 2015 by SEAFDEC with funding support from JTF. Moreover, the Project also aims to strengthen collaboration and cooperation among the SEAFDEC Member Countries for the promotion of sustainable fisheries resources enhancement in the Southeast Asian region to ensure the sustainability of such measures.

## **REGIONAL POLICY RECOMMENDATIONS ON EARLY MORTALITY SYNDROME (ACUTE HEPATOPANCREATIC NECROSIS DISEASE) AND OTHER TRANSBOUNDARY AQUATIC ANIMAL HEALTH DISEASES**

### **I. Executive Summary**

The most serious problems faced by the aquaculture sector are diseases spread and introduced through movements of hatchery produced stocks, new species for aquaculture, and development and enhancement of the ornamental fish trade. The Early Mortality Syndrome (EMS) or currently known as Acute Hepatopancreatic Necrosis Disease (AHPND) is one of the diseases that resulted in heavy mortalities of cultured shrimp in several Southeast Asian countries, where one million people depend on shrimp aquaculture for their livelihoods. EMS outbreaks resulted in the significant drop in shrimp production in Malaysia, Thailand and Viet Nam. Last 22-24 February 2016, over 60 delegates representing the technical experts, the ASEAN Member States and Japan, regional and international organizations and private sector gathered in Makati City, Philippines to discuss the EMS/AHPND and other transboundary diseases affecting the Southeast Asian region and how these should be managed to improve aquatic animal health and ensure sustainability of aquaculture operations. This regional meeting assessed the status of AHPND in ASEAN Member States, identified gaps, priority areas for R&D collaboration, regional policy recommendations and enhanced the cooperation among Member Countries, regional/international organizations and other relevant stakeholders on initiatives that support aquatic animal health. This document presents the outcomes of the meeting.

### **II. Introduction**

The SEAFDEC Council, during its meeting in April 2014 recommended that aquatic animal health management, including control and prevention of transboundary aquatic animal diseases, be included in formulation of future programs of SEAFDEC and its partners in the region. At the Regional Technical Consultation on Aquaculture held in 2010 in Bangkok, Thailand, disease diagnosis, control, monitoring and surveillance of aquatic animals was identified as a priority area in ASEAN and SEAFDEC Member Countries from 2011-2020. One of the recommended plan of actions under this priority area is to strengthen collaborations among agencies (public and private, industry stakeholders, regional and international organizations) to support national efforts in controlling serious disease outbreaks. Recognizing the pressing need for sustained regional efforts to address this priority area and to support the initiatives related to enhancing food security and safety within the ASEAN Member States, the Aquaculture Department of the Southeast Asian Fisheries Development Center and Government of the Philippines (Department of Agriculture-Bureau of Fisheries and Aquatic Resources) jointly organized the ‘Regional Technical Consultation on EMS/AHPND and other Transboundary Diseases for Aquatic Animal Health Management’.

### **III. Highlights of the Meeting**

Through the financial support from the Government of Japan administered by the ASEAN Secretariat (Japan-ASEAN Integration Fund), the meeting was convened in Makati City, Philippines on 22-24 February 2016 to take stock of the status of EMS/AHPND and other transboundary diseases, identify issues and research gaps, and discuss the region’s R&D policy directions including areas for regional cooperation. The regional consultation brought together over 60 participants from various stakeholder groups who are into aquaculture planning and/or R&D on aquatic animal health. The participants included delegates from Japan, ASEAN Member States (Cambodia, Indonesia, Lao PDR, Malaysia, Myanmar, Philippines, Singapore, Thailand and Viet Nam), technical experts/scientists, and representatives from international and regional organizations (NACA, FAO, OIE and SEAFDEC) and private sector (shrimp aquaculture farmers/entrepreneurs).

The following are the outputs of the meeting:

1) Country reports on the current status of EMS/AHPND and other emerging diseases in farmed shrimps in ASEAN Member States (AMS) and Japan. Information were obtained on the prevalence of disease,

diagnostic methods employed, approaches used (both successful and failed approaches in managing the disease), scientific research done and research gaps.

2) Policy recommendations and priority areas for R&D collaboration to address the gaps.

### Regional Policy Recommendations

<b>Issues/Gaps</b>	<b>Regional Policy Recommendations</b>
Legislative and policy frameworks	Develop a national Strategy and Policy Framework Member Countries should work to harmonize legislation and regulation related to aquatic animal health management including the legislation for trans-boundary movement of live aquatic animals
Strategy for prevention, control, and biosecurity	Compliance with good aquaculture practices to maintain optimal environmental conditions during the culture period. Establish effective prevention system on EMS/AHPND and other diseases Marker-assisted selective breeding Development of vaccine against AHPND IgY as feed additive (based on experiments, high concentration of IgY in egg yolk can reduce the mortality of shrimp due to presence of antibody to toxin) Nano-bubble technology: ozone nano-bubble can prevent AHPND Pond bottom management: use of central drain system Phage therapy
	Develop and implement the Guidelines on Health Management and Good Practices to Prevent EMS/AHPND and other trans-boundary diseases
	Strictly implement the reporting system to relevant authorities and/or Competent Authority at country, regional and international levels Early warning system Monitoring system Information for the regular report, annual report
	Emergency preparedness and contingency plan: should be the responsibility of Competent Authority; Funds should be made available as joint endeavor by private and public sectors
Detecting the EMS/AHPND disease	Diagnostic methods: should follow the OIE guidelines Develop tool kits Ensure availability and capacity of laboratory services, either public or private
Research and Development program at regional and national levels	See details in Attachment - output of Session 3 (Technical Workshop)
Cooperation among relevant stakeholders	Strengthen cooperation arrangements of the following: ASEAN Member States (AMS) and international/regional organizations such as OIE, FAO, NACA and SEAFDEC ASEAN Network of Aquatic Animal Health Centres (ANAAHC); in addition to cooperation arrangements, ANAAHC should also: assess the status and find ways on how the network could be assisted in implementing its activities identify what centers should be involved in ANAAHC per country mobilize all aquatic animal health centers Public-private cooperation at national levels Cooperation among shrimp industries in the ASEAN Region
Capacity building program	This should also include technology transfer from AMS to another AMS
Awareness building	Enhance awareness of farmers and relevant stakeholders on R&D developments in transboundary diseases (especially on management and control)

### **IV. Required Consideration by the Meeting**

1. The Meeting is requested to take note of the progress made in aquatic animal health management and endorse the recommendations on addressing issues on EMS and other transboundary diseases.
2. The Meeting is requested to advise and provide guidance on recommendations that pertain to cooperation of ANAAHC with AQD and NACA and the establishment of early warning system as part of the strategy to control and prevent the spread of transboundary aquatic animal diseases in the region



## ASEAN Regional Technical Consultation on EMS/AHPND and Other Transboundary Diseases for Improved Aquatic Animal Health Management in Southeast Asia Makati City, Philippines | 22-24 February 2016

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### Session 3. Technical Workshop: Issues, Gaps and Recommendations

Facilitated by :Drs. Eduardo Leaña, NACA and Somboon Siriraksophon, SEAFDEC

The Technical Workshop was undertaken based on the country and expert presentations on the status, recent issues and gaps on the management, prevention and control of AHPND (and other shrimp diseases), as well as from the discussions and comments made by the participants. The aim of the Technical Workshop was to formulate interventions and recommendations to address the important issues that were raised, and to develop policy recommendations that will be presented to the ASEAN for endorsement. The workshop mainly focused on Early Mortality Syndrome/Acute Hepatopancreatic Necrosis Disease (EMS/AHPND) with few comments and suggestions for Hepatopancreatic Microsporidiosis caused by *Enterocytozoon hepatopenaei* (HPM-EHP).

Based on the inputs from AMS representatives, private sectors and invited experts, the following issues were considered for future actions/studies on AHPND and HPM-EHP:

- AHPND
  - Use of live feeds for broodstock (specifically polychaetes), as these were proven to be carriers of the pathogen;
  - Copy SPF (*Penaeus vannamei*) hatchery-effect on inbreeding/genetic erosion on susceptibility to AHPND; breeding programs are long-term, usually highly expensive and need sufficient resources, therefore, they should be carefully planned and efficiently implemented and sustained;
  - Misconception about SPF shrimps and its use; ban on SPF broodstock and live shrimp products from AHPND-affected countries;
  - Vertical transmission of AHPND bacteria (broodstock to postlarvae);
  - Toxin plasmid transfer to other *Vibrio* species and possibly other bacterial pathogens that are common in the aquatic/rearing environment; *V. harveyi* and *V. owensii* were already reported to carry the AHPND toxin plasmid;
  - Environmental risk factors for spread and outbreak of AHPND;
  - Mixed infection with other shrimp pathogens (Covert Mortality Disease or CMD, EHP, White Spot Syndrome Virus or WSSV);
  - Efficacy of green water technology in prevention of AHPND infection; currently being practiced in Viet Nam and the Philippines with some degree of success;
  - Issue on extensive/non-registered farms: risk that they may pose to the spread and occurrence of the disease;
  - Probiotics: locally produced vs. imported; issue on banning probiotics for use in prevention of AHPND;
  - Biosecurity capacities of countries to prevent the entry of the pathogen;
  - Emergency preparedness and contingency planning;
  - Sharing of information and experiences among countries affected and not affected by the disease;
  - Lack of disease surveillance in processing plants and the wild population
  - Antimicrobial resistance;
  - Certification of Aquatic Animal Health (AAH) Professionals (other than veterinarians); and,



- Cooperation of government and producers in prevention and management of AHPND. Strengthen government and private sector partnership. Learn from the farmer experience and understand science behind and disseminate;
- HPM-EHP: The following are the possible research areas for better understanding of the pathogen and disease mechanisms, as well as preventive and control measures:
  - Identification of the reservoir of the pathogen to include live feeds other crustaceans that are common in the aquatic environment;
  - Detailed study on the effect of the pathogen on growth and survival of infected shrimps;
  - Preventive and control measures;
  - Co-infection with other important pathogens of shrimps (viral and bacterial), and its association to other shrimps diseases (*e.g.* White Feces Syndrome, AHPND).

The suggested interventions and recommendations for the above issues are summarized in the attached Matrix Table

The group then developed and adopted the Policy Recommendations which will be presented to the SEAFDEC Council during its 48<sup>th</sup> meeting in Viet Nam this April. The summary of Policy Recommendations is presented in the main document (see pages 2-3 of this working paper).



**MATRIX FOR AHPND WORKSHOP (Technical)**

<b>AHPND</b>					
<b>Stage/Phase</b>	<b>Problems (Issues)</b>	<b>Possible intervention (priority areas from 2016 onwards)</b>	<b>Recommendations</b>	<b>Responsible Agency</b>	<b>Timeline S (Short term):1-2 years M (Medium): 2-5 years L (Long): &gt; 5 years</b>
<b>Live Feeds (specifically polychaetes)</b>	Use of live feeds for broodstock (specifically polychaetes)-as these were proven to be carriers of the pathogen	<p>Survey of polychaetes(<i>Morphysa</i> sp.) in the pond environment – Assess susceptibility to AHPND and other pathogens</p> <p>Preference for polychaete species living in mud sediment (than those in sandy sediment)</p> <p>Use of non-live polychaete (frozen, pasteurized, etc.)</p> <p>Trace source of polychaetes</p> <p>Processing techniques for live polychaetes to reduce bacteria load prior to feeding -depuration, disinfection and other treatments</p> <p>Develop regulations on importation of polychaetes</p>	<p>Study on transmission of AHPND bacteria from polychaetes to shrimp (to be completed before any intervention should be done)</p> <p>Refine sampling procedures for PCR detection of AHPND bacteria</p> <p>Develop genetic markers on susceptibility of polychaetes to AHPND bacteria</p> <p>Research on mass production of polychaetes in a more biosecure environment.</p> <p>Develop and implement regulations on importation of live polychaetes to include health certificate (absence of major shrimp pathogens)</p>	SEAFDEC, NACA and concerned AMS	S to M
<b>SPF Broodstock</b>	<p>Copy SPF (<i>P. vannamei</i>) hatchery-effect on inbreeding/genetic deterioration on susceptibility to AHPND</p> <p>Breeding programs are usually long-term, highly expensive and need sufficient resources,</p>	Assess possible inbreeding/genetic deterioration in <i>P. vannamei</i> and correlate with disease susceptibility and outbreaks	<p>Assess existing stocks (especially broodstock) of <i>P. vannamei</i> for signs of inbreeding/genetic deterioration</p> <p>Need to develop molecular genetic markers for disease</p>	AMS, SEAFDEC, Donor agencies, NACA	M to L

AHPND					
Stage/Phase	Problems (Issues)	Possible intervention (priority areas from 2016 onwards)	Recommendations	Responsible Agency	Timeline S (Short term): 1-2 years M (Medium): 2-5 years L (Long): > 5 years
	therefore, they should be carefully planned and efficiently implemented and sustained		resistance: Marker-assisted breeding  More understanding on SPF/SPR/SPT to prevent bringing in exotic diseases – provide guidance to government		
	Misconception about SPF shrimps and its use  Ban on SPF broodstock and live shrimp products from AHPND-affected countries	Information awareness on what SPF really is in terms of its health status (under biosecure facilities and under farm-level environments); to include information on “High-Health” shrimps	Disseminate relevant information on SPF, SPR and SPT	AMS, SEAFDEC, NACA	S
<b>Pathogens and Disease Outbreak</b>	Vertical transmission of AHPND bacteria (broodstock to PLs)	Clear understanding on AHPND Vp vs other strains of Vp.	Study on vertical and horizontal transmission of AHPND bacteria	Concerned AMS, SEAFDEC AQD	M
	Toxin plasmid transfer to other <i>Vibrio</i> species and possibly other bacterial pathogens that are common in the aquatic/rearing environment  <i>V. harveyi</i> and <i>V. owensii</i> were already reported to contain the AHPND toxin plasmid	Detect AHPND-associated toxin plasmid in other <i>Vibrio</i> species and other bacterial pathogens	Study on the ecology of vibrios under the <i>Vibrio harveyi</i> clade where <i>V. parahaemolyticus</i> , <i>V. harveyi</i> and <i>V. owensii</i> (all found to harbor the toxin plasmid) belong  Study on conditions that will trigger the virulence of AHPND bacteria  Study on environmental conditions that facilitate plasmid transfer,	SEAFDEC AQD, AMS Research Institutes	M

AHPND					
Stage/Phase	Problems (Issues)	Possible intervention (priority areas from 2016 onwards)	Recommendations	Responsible Agency	Timeline S (Short term):1-2 years M (Medium): 2-5 years L (Long): > 5 years
			and on virulence of plasmid-containing bacteria to susceptible shrimps species		
	Environmental risk factors for spread and outbreak of AHPND	Interventions on water quality management to maintain low levels of AHPND bacteria	Implement BMPs focusing on water and feeding management	AMS, Private Sectors	S
	Mixed infection with other shrimp pathogens (CMD, EHP, WSSV)	Screen AHPND-affected shrimp samples for presence of other pathogens to check mixed infection	Multi-infection study: effect on mortality and histopathological features of the hepatopancreas	SEAFDEC AQD, AMS Research Institutes	S to M
<b>Grow-out; Preventive Measures</b>	Efficacy of green water technology in prevention of AHPND infection  (being practiced in Viet Nam, Philippines)	Review previous results of the technology on prevention of luminous vibriosis in <i>P. monodon</i> ; many detailed studies were already undertaken, especially on its effect on microbiota in the pond environment.	More science-based analysis on the mechanisms involved in green water technology which might be directly correlated to prevention of AHPND.	Concerned AMS	S
	Issue on extensive/non-registered farms: risk that they may pose to the spread and occurrence of the disease	More attention and guidance should be provided to small scale/extensive culture farmers/sectors as they represent the weak link in the system posing high risk for diseases. These include (but not limited to) non-registered farms, farmers from rural communities, and small-scale farms (in terms or farm area) practicing monoculture of shrimps.	Promotion of public awareness programs to encourage small scale farmers to share/report disease outbreaks (if any) to nearest authority in their area.	Concerned AMS	S
	Probiotics? Locally produced vs. imported probiotics	Understanding how probiotics work in the aquatic environment and its relation in preventing	Proper research needed on the efficacy and utilization of locally-produced probiotics	Concerned AMS, SEAFDEC	S to M

<b>AHPND</b>					
<b>Stage/Phase</b>	<b>Problems (Issues)</b>	<b>Possible intervention (priority areas from 2016 onwards)</b>	<b>Recommendations</b>	<b>Responsible Agency</b>	<b>Timeline S (Short term):1-2 years M (Medium): 2-5 years L (Long): &gt; 5 years</b>
	Probiotic ban	AHPND occurrence  Use of probiotics with proven efficacy in reducing the risk for AHPND occurrence.	Researchable areas on its application on different targets such as pond bottom, water, shrimp and feed incorporation	AQD	
<b>Border Control and Biosecurity</b>	Biosecurity capacities of countries to prevent the entry of the pathogen	Establishment or improvement of quarantine systems, especially at the border control facilities  Revisit or review existing national policies and regulations for inclusion of aquatic animal health	ASEAN: Develop a legal framework for the implementation of the ASEAN Guidelines on SOP for Responsible Movement of Live Aquatic Animals  Implementation of ASEAN Shrimp GAP and GAqP by AMS, in line with their respective national GAPs (if any)	SEAFDEC, NACA and AMS	M to L
	Emergency preparedness and contingency planning	Develop and/or implement national aquatic animal health management strategies for appropriate emergency response during any disease outbreaks (including known and emerging diseases)	Capacity building on emergency preparedness and contingency planning, especially among less developed countries in the ASEAN	AMS, FAO, SEAFDEC	M to L
<b>Other Issues</b>	Sharing of information and experiences among countries affected and not affected by the disease	Encourage farmers (especially private sectors, with successful experiences in preventing AHPND) to share their experiences to relevant authorities and other shrimp farmers including effective preventive measures, important interventions to control spread of	Information sharing and education programs for shrimp farmers	SEAFDEC AQD, NACA, Private Sectors, AMS	M to L

<b>AHPND</b>					
<b>Stage/Phase</b>	<b>Problems (Issues)</b>	<b>Possible intervention (priority areas from 2016 onwards)</b>	<b>Recommendations</b>	<b>Responsible Agency</b>	<b>Timeline S (Short term):1-2 years M (Medium): 2-5 years L (Long): &gt; 5 years</b>
		the disease, etc.			
	Lack of disease surveillance in processing plants and the wild population	Countries should consider to include processing plants (especially processing wastes) in AHPND surveillance	Develop national regulation on surveillance of processing plants (for shrimps and other aquatic products)  Follow and implement OIE guidelines on disease surveillance among wild populations	Concerned AMS, FAO, SEAFDEC, NACA	S to M
	Antimicrobial Resistance	Implementation of appropriate regulations on the use of veterinary drugs and other chemicals	Assist in the implementation of and strict compliance to ASEAN Guidelines on the Use of Chemicals in Aquaculture  Assessment of antimicrobial resistance of major bacterial pathogens of shrimps (and fish)	AMS,	M to L
	Certification of Aquatic Animal Health (AAH) Professionals (other than veterinarians)	Need to develop and implement Guidelines/Certification Scheme for registration and accreditation of AAH professionals	Assist national governments in developing Guidelines/ Certification Scheme for registration and accreditation of AAH professionals	AMS, NACA, OIE, FAO	M to L
	Cooperation of government and producers in prevention and management of AHPND. Strengthen government and private sector partnership. Learn from the farmer experience and understand science behind and disseminate	Strengthen public and private partnership.  Efficient communication between researchers and government (Competent Authority) on research updates/findings for proper	Prepare checklist/guidelines for the farmers such as risk factors and risk management practices coming from AHPND affected countries	AMS, Private Sectors, Key Research Institutes, SEAFDEC	S to L

AHPND					
Stage/Phase	Problems (Issues)	Possible intervention (priority areas from 2016 onwards)	Recommendations	Responsible Agency	Timeline S (Short term):1-2 years M (Medium): 2-5 years L (Long): > 5 years
		dissemination to private sectors (if necessary)			

#### Hepatopancreatic Microsporidiosis caused by *Enterocytozoon hepatopenaei* (HPM-EHP)

For HPM-EHP, there was not much discussion on how to manage the disease, except on one comment from Indonesia about the detailed procedure for the Wet Mount Method developed by Prof. Tim Flegel's team (Mahidol University, Thailand). Some of the recommendations in the above table, however, can be applied for this emerging disease, especially on border control, emergency preparedness and contingency planning. Specific researchable areas at present, as recommended by Prof. Flegel, to better understand the pathogen involved and the disease mechanism include the following:

- Identification of the reservoir of the pathogen to include live feeds and other crustaceans that are common in the aquatic environment;
- Detailed study on the effect of the pathogen on growth and survival of infected shrimps;
- Preventive and control measures; and
- Co-infection with other important pathogens of shrimps (viral and bacterial), and its association to other shrimps diseases (*e.g.* White Feces Syndrome, AHPND).

## REGIONAL APPROACHES FOR SECURING SUSTAINABLE SMALL-SCALE FISHERIES AND WAY FORWARD FOR SOUTHEAST ASIAN REGION

### Executive Summary

The “*FAO Voluntary Guidelines for Securing Sustainable Small-Scale Fisheries in the Context of Food Security and Poverty Eradication (SSF Guidelines)*,” which was endorsed at the 31<sup>st</sup> Session of COFI in June 2014, had been developed with emphasis on securing sustainable resource use and access rights; securing post-harvest benefits; and securing social, economic and human rights, among others. Taking into account the characteristic of small-scale fisheries in the Southeast Asian region and the importance of the SSF Guidelines, discussions had been carried out on the applicability of the said Guidelines to the Southeast Asian region. Recognizing the outputs of the South East Asia Regional Consultation Workshop on the Implementation of the Voluntary Guidelines for Securing Sustainable Small-Scale Fisheries in the context of Food Security and Poverty Eradication was held in Bali, Indonesia in August 2015, subsequently, the recommendations were also made at the 38<sup>th</sup> SEAFDEC Program Committee Meeting and 18<sup>th</sup> FCG/ASSP requesting SEAFDEC to work on the regionalization of the SSF. However, SEAFDEC raised the outputs from the series of Meetings to the 48<sup>th</sup> Meeting of the SEAFDEC Council, eventually, the Council requested SEAFDEC to develop the regional approach for the implementation of the SSF Guidelines taking into account the results of the Bali Workshop.

In June 2016, SEAFDEC convened the Regional Technical Consultation (RTC) on a Regional Approach to the Implementation of the FAO Voluntary Guidelines for Securing Sustainable Small-Scale Fisheries in the Food Security and Poverty Eradication in Bangkok, Thailand. The RTC was attended by representatives from ASEAN-SEAFDEC Member Countries namely: Cambodia, Indonesia, Malaysia, Myanmar, Thailand, and Viet Nam, representatives from international/regional organizations, non-governmental organizations, small-scale fisheries associations from across the region. The RTC reviewed SSF Guidelines and discussed on the approaches in implementing SSF Guidelines in the region taking into consideration regional opportunities, as well as the threats and challenges that underpin the development of a regional perspective on the implementation of the SSF Guidelines building upon the principles of the ASEAN Socio-Cultural Community Blueprint and other relevant ASEAN declarations such as those related to gender, human rights and climate change. The Consultation also suggested to strengthen awareness-raising and capacity-building programs and to initiate the establishment of a Regional Network of CSOs. The RTC drafted a set of recommendation in support of the development of a Southeast Asian Regional Approach to the Implementation of SSF Guidelines (**Appendix 1**) which will be brought up for endorsement by high level authorities of SEAFDEC and the ASEAN, and subsequently for submission at 32<sup>nd</sup> Session of COFI in July 2016. Following the outcome of the COFI SEAFDEC is, together with selected FAO invited experts from Southeast Asia and other regions, participating in a sequence of events organized by FAO to further “explore the human rights-based approach in the context of implementation and monitoring of the SSF Guidelines” (October 2016) and “Gender equitable small-scale fisheries in the context of the implementation of the SSF Guidelines” (November 2016). The result of these events will be used as inputs to the continued process to develop the Regional Approach to the support to the implementation of the SSF Guidelines in the region and sub-regions.

### Required Consideration by the Meeting

- 1) The Meeting is requested to take note on the progress on the endorsement Recommendation on the Regional Approaches for Securing Sustainable Small-scale Fisheries and Way Forward for Southeast Asian Region
- 2) The Meeting is also invited to provide policy recommendation and guidance for the Regional Approaches for Securing Sustainable Small-scale Fisheries and Way Forward for Southeast Asian Region



## COMBINED SET OF RECOMMENDATIONS FROM THE MARINE AND INLAND FISHERIES WORKING GROUPS

### General Points (inland and marine) and Guiding Principles in support of policy coherence, institutional coordination and collaboration

The **regional approach** to the implementation of the *FAO Voluntary Guidelines for Securing Sustainable Small-Scale Fisheries (VGSSF)* should include both inland and marine fisheries. The approach need to cover a wide range and types of smaller-scale fisheries as well as the harvesting of other aquatic resources. Therefore, the regional approach needs to be general to be of relevance to all different types and appropriate to all sub-sectors. In line with this the definition or described **characteristics** of “small-scale fisheries” should be looking at the geographical setting and community profile rather than on descriptions on the types of fishing gear as such.

**Policies** and promotion of small-scale fisheries should be incorporated into national development plans, poverty alleviation plans and plans to respond to climate change and climate variability. Even in a perspective of regional cooperation implementation of priority actions has to be done within the framework of national laws and regulations. Countries should accordingly seek to improve national and sub-regional fisheries policies to reflect the real situation of coastal/inland fisheries and habitat management needs and support the development of enabling environment(s) in support of small-scale fisheries by building upon inter-ministerial and multi stakeholder cooperation including coordination to strengthen enforcement of tenure rights of small-scale resource users.

Awareness building, through various media, should be encouraged at all levels in support of the recognition of the implementation needs and importance of the recommendations provided in the VGSSF. Governments and partners should be encouraged to provide funding for the implementation of the regional approach to VGSSF, including funding of priority research. Research should be conducted with an aim to reform agriculture, environmental and infrastructure policy development processes to ensure that small-scale fisheries are addressed in the process.

Building upon the ASEAN Declaration on Human Rights and the ASEAN Community Blueprints (especially the ASEAN Socio Cultural Community Blueprint (ASCCB) **the Regional Approach should aim for human and social equity** and strengthen the rights of people dependent on aquatic resources to have continued access to available resources – and land - through strengthened tenure rights and improved registration (and recognition) of community fisheries organizations and other formal documents stating the rights of people and communities to land and beach areas as well as to ensure participation in resource management. The registration of community fisheries organizations, including the confirmation of other forms of tenure rights and access rights, should be made not only with the fisheries agencies but also with provincial authorities and other relevant authorities as defined in national regulations.

ASEAN Member Countries should cooperate in efforts to include recommendation in support of the sustainability of small-scale fisheries (inland and coastal) and the improved well-being of people dependent on aquatic resources on the agenda of relevant ASEAN Policy and decision making bodies.

Dialogue or platforms should be established to bring up issues on small-scale fisher-folk and fisheries into the existing/regular dialogue and management mechanisms at sub-regional and bilateral level. In the process, countries should support the establishment of sub-regional cooperation and support development of joint declarations/MoUs including harmonizing cross-border relations in community development. As appropriate the development of bi-lateral and sub-regional joint management plans should be established together with coordinating bodies/committees for trans-boundary inland and coastal fishery and habitat management where available cooperation should build upon existing mechanisms.

To further strengthen cooperation with an aim to strengthen fisheries/rural communities and to reduce poverty the countries should support/promote cooperation on social well-being and employment generation at bi-lateral and sub-regional levels and strengthen cross-border relations in community development. Support should be provided to the development of decent work and in the ambitions promote labor and



work employment opportunities references should be done to existing national labor laws and the range of ASEAN Declarations addressing labor, migrant workers and human rights.

In addition, measures/actions should be strengthened to combat illegal fishing including use of destructive fishing gear/practices and the encroachment of larger vessels into areas reserved for small-scale fisher-folk and resource users, together with increased understanding of national laws and regulations to increase understanding of national requirements with regards to illegal practices.

*Specifically for inland fisheries* efforts should be made to promote development of agreement bi-lateral and sub-regional cooperation relevant to the sustainability of inland fisheries and habitats including the sustainable use of water resources. Joint monitoring schemes should be developed and implemented to record trans-boundary impacts (and where possible identify and implement mitigating measures) of infrastructure and agriculture developments affecting inland fisheries, wetlands and habits.

### **Characteristic of small-scale fisheries**

With regards to *coastal fisheries* the “characteristics of “small-scale fisheries” needs to be further elaborated to be more related to description of communities engaged in fisheries together with traditional practices and socio-cultural context. The generic parameters defined during the June 2016 could be used as a further source of reference as indicated in the following items: a) Type of fishing activities b) Size of boat c) Fishing gears (type, size, mesh, quantity – stationary or mobile), d) Technology e) workers/crews, f) Engine (Power capacity, location on boat, g) Fishing net (size, type), h) Ownership and operational management of the boat, i) Sustainable cultural/traditional practices to be placed under consideration, j) Level of capitalization, k) Fishing ground (location, zoning)

With regards to **inland fisheries** the “characteristics of “small-scale fisheries” are complex and rather based on the **definition of the community dependent on the aquatic resources** (living and non-living) be it a “fishing community”, “farming community”, “forest community” or a more “undefined resource dependent community” with due respect to the cultural, ethnic and religious diversity and the relative dependence on the seasonal variation of the seasonal floods, including challenges faced by climate variability (long or short/early or late start of the wet season) and related fluctuation in availability of aquatic resources”.

The following section provide a recollection of points defining the “**regional approach**” as raised during the RTC in June 2016 with regards to the central section (Part 2) of the VGSSF addressing “**Responsible fisheries and sustainable development**”.

### **Governance of tenure in small-scale fisheries and resource management (VGSSF Section 5)**

The rights of people engaged in smaller-scale fisheries, post-harvest activities, processing and trade should be strengthened through national, bilateral and sub-regional arrangements. In support of sustainability, cooperation (between countries and institutions) should be promoted to assess the availability of stocks, the health and status of biodiversity with an aim to balance fishing effort with the availability of resources and environmental requirements. Regulations on small-scale (marine and inland) fishing capacity and records of landings and harvesting of aquatic resources should be improved and implemented as a basis to combat illegal and destructive fishing (aiming for R (regulated), R (recorded) and L (legal) fishing).

#### **Responsible governance of tenure (5a)**

There is a need to increase awareness, to develop technical guidance and to improve/enforce regulations on the “governance of tenure...” in each of the countries and in the region as a whole. The importance to secure tenure rights for people engaged in rural/coastal small-scale fisheries and harvesting of aquatic resources should be emphasized. **Note** that it is not only under responsibility of fisheries agencies to secure tenure rights and inter-ministerial and inter-disciplinary cooperation should be promoted accordingly – In the process include references to the FAO Voluntary Guidelines on the Responsible Governance of Tenure of Land, Fisheries and Forests in the Context of National Food Security.

To ensure longer-term livelihood sustainability among coastal/rural communities the rights and access to land and aquatic resources is central and, it is in general, important to strengthen tenure rights and rights to



access to land and fisheries/aquatic resources for rural/coastal of rural communities. However, the picture on the threats and opportunities that are available for rural/coastal communities is scattered and very site specific and to create a broader information base it would be valuable to further develop documentation and sets of inventories of the livelihoods coastal and inland communities to better understand the situation facing people engaged in small-scale fisheries and dependent on the utilization of aquatic resources.

Authorities should ensure the participation of rural/inland fisher-folk/farmers in processes for the demarcation of land to be allocated for various uses in areas of importance to fishing and livelihood and in the process strengthen options to secure the rights of fisher-folk and rural communities to land for decent housing and for fishery-related and aquatic resources utilization activities, particularly in areas where their access is most threatened. It is important to have rights to land and resources better documented. Authorities and other partners should support and encourage better registration of community lands, community activities, community members, assets (gear, vessels, houses, shops, etc. including community fisheries arrangements) with the province and district on order to provide:

- Better access to social services including messages on approaching disasters
- To have a baseline from which to assess financial aid, benefits, and compensation
- To become recognized as an entity to be entitled to tenure and resource access rights

Conflicts over land and resources are a continuing problem in the ASEAN region and there is a need to address the causes and impacts of conflict over land and resource utilization in inland and coastal ecosystems. Conflicts over land and resources should be resolved including the need to combat encroachment and threats from larger-scale and modern investments. To achieve this there is a need to improve inter-ministerial cooperation (within and between countries) and coordination to strengthen enforcement and protection of tenure rights of small-scale resource users. Governments and other partners should make sure that gender equality is addressed and promoted at all levels and in all sections in support of the implementation of Guidelines on Tenure Rights and the VGSSF.

#### **Sustainable resource management (Section 5b of the VGSSF)**

This section is based on suggestions from the working groups (at the meeting in June 2016) subdivided to indicate the regional approach to be recommended with regards to different aspects of “sustainable resource management” (section 5b of the VGSSF) in relation to aquatic resources, fishery management, habitats, flood plain/wetland and community fisheries (social developments and livelihoods are specifically referred to in a subsequent section (section 6 of the VGSSF):

- ***Fish and aquatic resources***

There is a continued call for improved information on fish species and aquatic resources in coastal (near shore) and inland areas. An inventory, or set of area specific inventories, on species and aquatic resources of economic, nutritional, traditional and subsistence importance together with indications of endangered species should be considered to understand the status and protection needs of identified resources.

There is in Southeast Asia a strong seasonal variation in the availability, migration and spawning patterns and to increase the knowledge base research should be promoted on seasonal fish migration, spawning patterns and status of habitats including stock assessments and (seasonal availability of) aquatic resources as basis to define and implement schemes for the protection and conservation of fish stocks and important habitats, including protection of inland dry season refuge and deep pools. Information should be collected and baselines to be developed to understand the usefulness of different types of resource enhancement schemes. It is recommended (on a case to case basis and specifically in inland water bodies) that responsible resources enhancement should be applied based on indigenous species. Of special importance in ***inland river systems and flood-plains*** is that the connectivity is maintained/restructures to secure the sustained migratory pattern of fish. Options should continuously be explored to secure migration routes including, as feasible, the designs of fish passages.

- ***Management of fisheries, wetlands and aquatic resources in areas reserved for smaller-scale operations***

In addition to the general call for regional and sub-regional cooperation on fisheries and habitat management there is a special call for increased attention to be given to the management of fisheries and aquatic resources in areas reserved for smaller-scale operations. In this connection it is specifically

important that efforts (nationally and bilaterally) are made to strengthen enforcement of regulations that reserves areas (near-shore, inland, etc.) for traditional, artisanal, small-scale fisheries as defined in national laws. Information should be shared within and between countries on catches, landings and trade from small-scale users as a basis to improve understanding and for policy developments. National and sub-regional fisheries policies should be improved to reflect the real situation with regards to the management needs of coastal/inland fisheries and habitats. Measures should be developed for managing zonation schemes (MPA's, *refugias*, wildlife sanctuaries, coastal reserved areas) and have them recognized in plans being developed also for non-fisheries purposes. Actions should be taken to combat illegal fishing including use of destructive fishing gear/practices together with strengthened enforcement to avoid encroachment by (domestic and foreign) larger vessels and other interests. Countries should share information on available laws and regulations for fisheries and habitat management to increase understanding on national requirements among neighboring countries.

- ***Community based coastal/inland fisheries management schemes***

In Southeast Asia there are a range of practices and legal frameworks in place that supports the establishments of community fisheries both in coastal and inland areas. The countries are encouraged to share experiences on to strengthen the rights being given to these to manage fisheries within “their” defined areas. One recommendation to strengthen the rights is to support the establishment and have the community-based (fisheries) resource management schemes recognized not only by the fisheries agency but to ensure registration by a range of relevant authorities (fisheries, province, etc.). In countries where schemes for “community fisheries” are not available information could be shared and support for the development of mechanisms for formalized/recognized community (fisheries) resource management schemes. A specific problem to recognized is that the involvement of “outsider” to fish within community fisheries area is difficult to avoid but efforts should be made to ensure that outsiders follow the rules of community fisheries regulation

- ***Flood plain, rice field fisheries, and wetland management is of special concern for inland fisheries***

The productivity of inland flood-plains and wetlands in Southeast Asia is among the highest in the world but the real levels of productivity and production is not known and further efforts should be made to assess productivity, production and value of aquatic resources in different habitat types/ecosystems (flood plain, wetland, etc.). To sustain productivity and production levels countries should cooperate to maintain/enhance fishery production from flood plains and rice fields and flood plain, rice field fisheries, and wetland management plans should be agreed upon among riparian countries in trans-boundary river basins. Based on agreed management plans the development of agreements on bi-lateral and sub-regional cooperation relevant to sustainability of flood plain, rice field and wetland fisheries including sustainable use of water resources should be worked out. The position and vulnerability of poor villagers in flood-plain areas are especially vulnerable and there is a need to strengthen tenure rights of rural community and resource users in flood plain, rice field and wetland areas. The maintain productivity and production community-based resource management schemes should be recognized, including protection of dry season refuge in flood plains, rice field and wetland areas.

- ***Biodiversity and endemic species***

Countries (bilateral/sub-regional) should work together to maintain/rehabilitate biodiversity in support of biodiversity conservation and consider the establishment of conservation areas (*refugia*, MPA, wild-life sanctuary, etc.). In the process it is recommended that national biodiversity action plans and national action plans and inventories on endemic species are strengthened and implemented, where available. Specific attention should be given to the protection of indigenous **inland species** through the promotion of inland fishery dry season refuge and regulation of fishing during dry seasons and secure migration paths during wet season. In addition it should be ensure that fishery resource enhancement programs in inland waters, especially in reservoirs/lakes - and in aquaculture facilities - do not endanger the endemic aquatic species by the introduction of alien species

- ***Valuation, levels of production, etc.***

To strengthen the (government) sentiments to support and secure the rights and sustainability of people engaged in coastal/inland fisheries and aquatic resource utilization there is an urgent need to improve the understanding of the importance and value of coastal and inland aquatic resource utilization and small-scale fisheries through the conduct of detailed assessments of the total amount of production. The estimates of

production should be combined with careful valuation of inland/coastal fisheries and aquatic resources utilization and processed products including estimates of the values of products that are not including in regular statistics. A step in the direction of basing valuation on better aggregation of information is to improve inland/coastal data collection to assess actual value and production from the (part-time/full-time) harvesting of aquatic resources and inland/coastal capture fisheries. This is the more critical (and difficult) in inland areas as inland fishery and aquatic resources utilization is relatively much more undervalued compared to coastal fisheries and that of other businesses (hydropower, tourism, irrigation). The undervaluation is, however, also evident to coastal small-scale fisheries requiring improvements in aggregated data collection.

### **Challenges and threats from “modern” developments – infrastructure and competing businesses – an added section 5c to the VGSSF to highlight (inland) challenges by other sectors**

During the RTC in June 2016, and especially so when it comes to inland fisheries, it was emphasized that the sustainability of small-scale was challenged not only from within the sector but also through threats and competition with sectors over resources and space in inland and coastal areas. This further stressed by the indication that (small-scale) fisheries is at disadvantage in national development planning with a lack of political backup among agencies who are responsible for fisheries compared to other agencies (*e.g.* energy >> agriculture/irrigation>> industrial estates, etc.). Furthermore, there is a limited “attractiveness” for investments in (inland and coastal) small-scale capture fisheries compared to other sectors.

There is poor (government) structures in place to “defend” the rights to utilize available aquatic resources, (*e.g.* inland and coastal fishery “patrol”, rights to land and beaches, lack of awareness among provincial leaders, etc.) when being challenged by other more (economically) more powerful interests. This in combination with weak implementation of environmental impact assessment (EIA) gives a disadvantage to people dependent on coastal and inland fisheries and wetland resources. Compensation schemes are often inadequate and should be developed before construction of infrastructures that will affect to downstream resources. In general there are only weak mechanisms in place to balance downstream-upstream interests especially with regards to the sustainability of fisheries and aquatic resources.

To improve the awareness on impacts caused by various activities on aquatic resources and habitats joint monitoring schemes should be initiated to review trans-boundary impacts (where possible identify and implement mitigating measures) of infrastructure development affecting inland and coastal fisheries, wetlands and habitats. In addition there is a need to review and address the impact of discharged waste water from agriculture (including pesticides and herbicides from rice paddies) and other polluting activities (including chemical agents, urban areas, etc.) on inland and coastal ecosystems.

### **Social development, employment and decent work (Section 6 of the VGSSF)**

Advocacy efforts should be initiated to influence policy and decision makers through mass media, etc. in support of social development, employment and “decent work”. In the spirit of the ASEAN Socio-Cultural Community Blueprint emphasis should be given to the support and promotion of cooperation on social well-being and employment generation at bi-lateral and sub-regional levels together with strengthened cross-border relations in community development. Programs should be developed to support regional, sub-regional and bilateral development of schemes to promote “decent work”, also in small-scale fisheries and related activities. In the process involved countries and other partners should build upon ASEAN Declarations on protection of migrant labor, Human Rights, etc.

Support should be provided to the creation of “alternative livelihoods” for coastal/inland fisher-folk and farmers to supplement their incomes and improve living conditions – it should be kept in mind that options are site specific and same “formula” cannot be used in all location. Efforts made will have the added important benefit by increasing resilience among coastal/inland communities to respond to climate variability and climate change by abilities to broaden livelihood options. To further strengthen income generating options knowledge sharing and technology exchange/transfer should be facilitated on post-harvest fish handling among ASEAN Member States (support adding values to available resources).

There is a need to increase awareness on the profile and numbers of people engaged in small-scale fisheries and aquatic resources utilization and countries should initiate processes to make inventories on fishers/fisher-folk (rural/coastal), fish-workers, Small-Scale Fisher-folk Associations, and networks of

cooperatives. This should be combined with the strengthening institutional and human capacity building (government and community) in support of social development, employment and “decent work”. Governments should place special emphasis in support on marginalized communities and vulnerable groups in all aspects of the regional approach given to the implementation of VGSSF.

Programs should be initiated to implement M&E on working conditions and decent work opportunities and provide necessary improvement of the working conditions, including Occupational Health and Safety (OHS) measures. Specific efforts should be made to monitor the risks facing rural/coastal communities through the introduction of new activities and inflow of people. Reports should be documented of trends in erosion of traditional practices and social values (social disintegration, lack of respect for elders, crime, drugs, gambling, etc.) following the arrival of new activities and interest groups.

#### **Value chains, post-harvest and trade (Section 7 of the VGSSF)**

It is well recognized that there are good opportunities to support and capitalize on increased trade with products generated from small-scale coastal and inland fisheries. To realize these opportunities support should be provided to improve market awareness among fisher-folk/farmers together with schemes to facilitate market access for products generated from small-scale coastal and inland fisheries – presently there is unclear information on trade and supply/value chain available to fisher-folk. Capacity should be built to allow local producers to actively be involved in the strengthening of business partnerships that specifically targets products generated from small-scale coastal and inland fisheries including joint ventures, training etc. In addition governments (and partners) could consider to encourage the development of certification/branding systems in support of the marketing of products from small-scale enterprises without adding burden (additional cost) to the fisher-folk/farmers.

To strengthen the competitiveness of products generated from small-scale coastal and inland fisheries support should include capacity building, knowledge sharing and technology exchange/transfer on post-harvest fish handling among ASEAN Member States (in support adding values to available resources) together with simplified guidelines for the small-scale food processing and value added products. Furthermore, the high seasonal variation in availability of fish and fisheries products also implies that at certain times there can be an over-supply. To avoid waste and to increase market value efforts should be made to improve processing of fisheries products harvested during peak fishing season in order to preserve, store, market and sell the products throughout the year to local, ASEAN and international markets. Ideally, support provided to capacity-building on alternative livelihood opportunities should also aim to facilitate that awareness on trade and supply/value chains are made available to fisher-folk. In efforts to build local capacity on “value chains, post-harvest and trade” due consideration should be given to the fact that fish-workers and fish-processors, who participate in the pre-harvest and post-harvest processes, are often also coastal/rural community members dependent on aquatic resources on a part-time or full-time basis involving both women and men.

#### **Gender equality (Section 8 of the VGSSF)**

Countries of the ASEAN region and partner organizations should ensure that gender equality is addressed and promoted in all sections and at all levels in support of equitable developments of small-scale in line with the spirit of the VGSSF. To move in this direction support should be provided to the development, where not available, of gender policy in coastal and inland small-scale fisheries and rural community development and in the process take into consideration gender balance, quota of participation, gender equality in policy planning to ensure the involvement in decision process. To monitor progress indicators/measure should be developed to assess the involvement of gender in decision making processes

#### **Disaster risks and climate change and climate variability (Section 9 of the VGSSF)**

During the RTC in June 2016 was suggested that support should be provided to the identification and assessments of scenarios on trends to be expected following environmental degradation, climate variability and climate change. In addition capacity should be built among rural/coastal communities to develop the adaptive capacity in response to the natural disasters, climate variability, climate change and man-made developments/factors that have affected (and will affect) the inland/coastal resources. It is important to enhance community understanding and build capacity of all stakeholders to be aware of factors contributing to climate variability and climate change includes basic knowledge to mitigate impact. Awareness should also be raised on the physical changes made to the coastal and inland environments due to climate change and climate variability – and how man-made changes can add to the scenarios. In addition, authorities



should provide cheap up-to-date/live weather information on conditions including early warning systems to alert coastal/inland communities on approaching disasters.

It should also be recognized that the support to better registration of community activities, community members, assets (gear, vessels, houses, shops, etc. including community fisheries arrangements) with the province and district would also be important in order to provide:

- Better access to social services including messages on approaching disasters
- To have a baseline from which to assess financial aid, benefits, and compensation
- To become recognized as an entity to be entitled to tenure and resource access rights

The RTC in June 2016 also recognized that many of the climate change and disaster monitoring functions were the mandate of departments other than fisheries. Furthermore, there are several climate related initiatives ongoing in the ASEAN region and sub-regions and instead of developing parallel (and overlapping) climate initiatives it was recommended that concerned agencies should initially seek coordination and information from initiatives such as:

- Follow-up with recommendation and implementations of action based on ASEAN Climate Declarations
- Follow-up on recommendations and actions based on the ASEAN Agreement on Disaster Management and Emergency Response
- Follow-up on the progress of the MRC Climate Change and Adaptation Initiatives
- Seek coordination with the ADAPT Asia initiative.

**Recommendations with regards to Part 3 – Ensuring an enabling environment and supporting implementation.**

Points suggested under headings of this Part has already been reflected in the previous section as well as to be further defined in the matrix below that would indicate items to include in the “**Regional Program**” that would help to identify steps to be taken to “ensure an enabling environment and supporting implementation”.

## Responsible Fisheries and Sustainable Development

FAO Voluntary Guidelines for Securing Small-scale Fisheries	Regional Program	Time lines and Responsibilities To be completed in consultations with partners
<b>5. Governance of tenure in small-scale fisheries and resource management</b>	<b>General trans-boundary, sub-regional and regional options:</b> <ul style="list-style-type: none"> <li>• Provide ASEAN Policy and decision making bodies with information and justifications to adopt the regional approach to the implementation of the VGSSF as an ASEAN Regional Approach</li> <li>• Establish dialogues or platforms to bring up issues on small-scale fishers into the existing/regular dialogue and management mechanisms at sub-regional and bilateral level</li> <li>• Set up technical advisory bodies (TAB's) in support of fisheries in Southeast Asian international river basins an sub-regional/bilateral coastal areas and</li> <li>• Establish MoUs and promote “trans-boundary management” considering “trans-disciplinary approach”</li> <li>• Set up social well-being network in the region and sub-regions (hold annual consultation on progress in improving livelihoods)</li> </ul>	
<b>5a. Responsible governance of tenure</b>	<ul style="list-style-type: none"> <li>• Implement awareness-raising events on the FAO Voluntary Guidelines on the Responsible Governance of Tenure of Land, Fisheries and Forests in the Context of National Food Security and the ways it supports rural/coastal fisher-folk and the implementation of the spirit of the VGSSF</li> <li>• Develop technical guidance and regulations on “governance of tenure...” and the importance to secure tenure rights for people engaged in small-scale fisheries. – include reference to the FAO tenure guidelines</li> <li>• Encourage, prioritize, and facilitate the conduct of research on the accessibility of land and resources, through a multi-stakeholders participatory approach in support of the strengthening of tenure rights and rights to access to land and fisheries resources for rural/coastal of rural communities:</li> <li>• Support and encourage the continued development of national legal frameworks to promote and secure the rights of rural/inland people engaged in small-scale fisheries and aquatic resources utilization– and share experiences among partners and countries</li> <li>• Conduct and develop documentation/inventory of coastal and inland small-scale fisheries to better understand the situation facing people engaged in small-scale fisheries (threats, opportunity)</li> <li>• Implement pilot projects, with timelines, in order to address regional priority items included in the guidelines for Tenure and the VGSSF</li> <li>• Share lessons learnt/progress on the implementation of activities in support of</li> </ul>	<p><b>Note</b> that it is not only the under responsibility of fisheries agencies to secure tenure rights but broad multi-departmental and multi-stakeholder involvement is required</p>

FAO Voluntary Guidelines for Securing Small-scale Fisheries	Regional Program	Time lines and Responsibilities To be completed in consultations with partners
	<p>coastal/rural people dependent on fisheries and aquatic resources.</p> <ul style="list-style-type: none"> <li>• Develop and implement support programs for better registration of community activities, community members, assets (gear, vessels, houses, shops, etc. including community fisheries arrangements) with the province and district – not only with the fisheries agencies</li> <li>• Organize and conduct events to improve inter-ministerial cooperation and coordination to strengthen enforcement of tenure rights of small-scale resource users</li> <li>• M&amp;E: Develop criteria/mechanism to measure how good governance (of tenure) is being implemented at various levels (include consultations and meetings in the evaluation process)</li> <li>• Ensure that gender aspects are addressed at all levels throughout processes to strengthening the “governance of tenure...” See also points raised below in section 8 on gender equality.</li> </ul>	
<b>5b. Sustainable resource management</b>	<ul style="list-style-type: none"> <li>• <b>Fish and aquatic resources</b> <ul style="list-style-type: none"> <li>○ Develop and implement habitat and fishery resources protection/conservation through gap identification based on developed baseline information, including protection of inland dry season refuge and deep pools</li> <li>○ Conduct research on seasonal fish migration including stock assessment/study of fish and aquatic resources</li> <li>○ Maintain/restructure connectivity and migratory pattern of fish (explore options to secure migration routes including designs of fish passages)</li> <li>○ Make inventory of economically important and endangered species (to understand the status and protection needs)</li> <li>○ Collect information and develop baseline to understand the usefulness of different types of resource enhancement schemes (ensure that use of indigenous species is promoted).</li> </ul> </li> <li>• <b>Valuation, levels of production, etc.</b> <ul style="list-style-type: none"> <li>○ Establish both inland and coastal small-scale fisheries data collection groups to facilitate data/information collection</li> <li>○ Implement capacity-building for local (coastal/inland) enumerators employed for small-scale fisheries data collection.</li> <li>○ Further develop and improve methods and systems to collect data and to make assessments of production from the (part-time/full-time) harvesting of aquatic resources and coastal/inland capture fisheries.</li> <li>○ Develop and conduct assessments and estimates of aggregated production and</li> </ul> </li> </ul>	<p><b>Note:</b> Inland fishery and aquatic resources is relatively much more undervalued compared to that of other businesses (hydropower, tourism, irrigation). The undervaluation is also evident to coastal small-scale fisheries</p> <ul style="list-style-type: none"> <li>• Engage research agencies to develop innovative methods for data collection and for economic/social valuation.</li> </ul>



FAO Voluntary Guidelines for Securing Small-scale Fisheries	Regional Program	Time lines and Responsibilities To be completed in consultations with partners
	<p>economic/social value from the (part-time/full-time) harvesting of aquatic resources and capture fisheries in both inland and coastal areas.</p> <ul style="list-style-type: none"> <li>○ Disseminate information on estimated economic/social values to improve understanding of the importance and value of coastal and inland aquatic resource utilization and small-scale fisheries</li> <li>○ Share information on production and values among countries in the ASEAN region and sub-regions</li> </ul> <ul style="list-style-type: none"> <li>● <b>Management of fisheries, wetlands and aquatic resources (in areas reserved for smaller-scale operations).</b> <ul style="list-style-type: none"> <li>○ Develop mechanisms for sharing of information within and between countries on catches, landing and trade from small-scale users as a basis to improve management measures and for policy developments</li> <li>○ Strengthen coordination within and between countries to improve national and sub-regional fisheries policies to reflect the real situation with regards to the management needs of coastal/inland fisheries and habitats</li> <li>○ Facilitate inter-department cooperation and incorporate inland/coastal fisheries management plans into national development plans and increase recognition of inland/coastal small-scale fisheries by policy makers.</li> <li>○ Conduct research on fisheries and habitats as a basis for science-based planning in management through varieties of research/study</li> <li>○ Develop measures for managing zonation schemes, including demarcation of areas reserved for small-scale fisheries and strengthen enforcement of regulations that reserves areas (near-shore, inland, etc.) for traditional, artisanal, small-scale fisheries as defined in national laws, and avoid encroachment by (domestic and foreign) larger vessels.</li> <li>○ Strengthen measures/actions to combat illegal fishing including use of destructive fishing gear/practices together with increased understanding of national laws and regulations to increase understanding of national requirements.</li> </ul> </li> <li>● <b>Community based coastal/inland fisheries management schemes</b> <ul style="list-style-type: none"> <li>○ Where not available support the development of mechanisms for formalized/recognized community (fisheries) resource management schemes</li> <li>○ Support and have community-based (fisheries) resource management scheme recognized and registered by relevant authorities (fisheries, province, etc.).</li> <li>○ As involvement of outsider to fish within community fisheries is difficult to avoid</li> </ul> </li> </ul>	

FAO Voluntary Guidelines for Securing Small-scale Fisheries	Regional Program	Time lines and Responsibilities To be completed in consultations with partners
	<p>but efforts should be made to ensure that outsiders follow the rules of community fisheries regulation</p> <ul style="list-style-type: none"> <li>○ Address, and resolve, the causes and impacts of conflict of land/resource users to inland and coastal ecosystems and resources availability</li> </ul> <ul style="list-style-type: none"> <li>● <b><i>Flood plain, rice field fisheries, and wetland management (specifically for inland fisheries/aquatic resources)</i></b> <ul style="list-style-type: none"> <li>○ Define the (national) legal basis and strengthen tenure rights of rural community and resource users in flood plain, rice field and wetland areas</li> <li>○ Develop innovative methods and assess productivity, production and value of aquatic resources in different habitat types/ecosystems (flood plain, wetland, etc.)</li> <li>○ Facilitate coordination between departments and countries to establish flood plain, rice field fisheries, and wetland management planes to maintain/enhance productivity and production</li> <li>○ Recognize the importance and support community-based resource management schemes, including protection of dry season refuge, in flood plain, rice field and wetland areas</li> <li>○ Ensure the participation of rural/inland fisher-folk/farmers in processes for the demarcation of land to be allocated for various uses in areas of importance to fishing and livelihood</li> <li>○ Promote development of agreements, bi-lateral and sub-regional cooperation relevant to sustainability of flood plain, rice field and wetland fisheries including sustainable use of water resources</li> <li>○ Establish TAB's to monitor developments with regarding to fisheries and social well-being in inland water-bodies</li> </ul> </li> <li>● <b><i>Biodiversity and endemic species</i></b> <ul style="list-style-type: none"> <li>○ Maintain/rehabilitate habitats in support of biodiversity conservation and consider the establishment of conservation areas (<i>refugia</i>, MPA, wild-life sanctuary, etc.)</li> <li>○ Strengthen and implement national biodiversity action plans and national action plans on endemic species where available</li> <li>○ Develop inventory of endemic species (references to be made to FISHBASE and other relevant databases)</li> <li>○ Ensure that fishery resource enhancement programs in inland waters, especially in the reservoir/lake - and in aquaculture facilities/technologies - do not endanger the endemic aquatic species by the introduction of alien species</li> </ul> </li> </ul>	

<b>FAO Voluntary Guidelines for Securing Small-scale Fisheries</b>	<b>Regional Program</b>	<b>Time lines and Responsibilities To be completed in consultations with partners</b>
<b>5c. Challenges and threats from “modern” developments – infrastructure and competing businesses – added to highlight inland challenges by other sectors</b>	<ul style="list-style-type: none"> <li>• Address the indication that (small-scale) fisheries is at disadvantage in national development planning with a lack of political backup in support of small-scale fisheries compared to other sectors and limited “attractiveness” for investments in small-scale capture fisheries compared to other sectors.</li> <li>• Conduct participatory (and other) research on the pros- and cons of macro-policies on coastal and inland small-scale fisheries and important habitats/wetlands.</li> <li>• Monitor the implementation of environmental impact assessments (EIA’s) as weak or “miss-guided” EIA’s gives a disadvantage to people dependent on coastal and inland fisheries and wetland resources.</li> <li>• Address the impact of discharged waste water from agriculture (including rice paddies) and other polluting activities (including chemical agents, urban areas, etc.) on inland and coastal ecosystems</li> <li>• Support development of joint monitoring of trans-boundary impacts (where possible identify and implement mitigating measures) of infrastructure development affecting inland and coastal fisheries, wetlands and habitats (joint declarations/MoUs).</li> </ul>	
<b>6. Social development, employment and decent work</b>	<ul style="list-style-type: none"> <li>• Support/promote cooperation on social well-being and employment generation at bi-lateral and sub-regional levels and strengthen cross-border relations in community development</li> <li>• Support regional, sub-regional development of schemes to promote “decent work”, also in small-scale fisheries and related activities. In the process build upon ASEAN Declarations on protection of migrant labor, Human Rights, etc.</li> <li>• Support establishment and strengthen Small-Scale Fisher-folk Associations and establish regional network(s) of CSO’s</li> <li>• ASEAN countries should make inventories on fishers/fisher-folk (rural/coastal), fish-workers, Small-Scale Fisher-folk Associations, and networks of cooperatives and monitor the welfare of migrant workers – information to be shared</li> <li>• Support creation and capacity-building for “alternative livelihoods” for coastal/inland fisher-folk and farmers to supplement their incomes and improve living conditions – options are site specific</li> <li>• Strengthening institutional and human capacity building (government and community) in support of improved social development/well-being</li> <li>• Monitor the risks facing rural/coastal communities through the introduction of new activities and inflow of people. Reports to be made of trends in erosion of traditional practices and social values (social disintegration, lack of respect for elders, crime, drugs, gambling, etc.)</li> </ul>	

FAO Voluntary Guidelines for Securing Small-scale Fisheries	Regional Program	Time lines and Responsibilities To be completed in consultations with partners
	<ul style="list-style-type: none"> <li>➤ Governments should place special emphasis on marginalized communities and vulnerable groups in all aspects of the support to strengthened tenure rights and VGSSF implementation.</li> <li>➤ Develop and implement M&amp;E schemes on working conditions and decent work opportunities and provide necessary improvement of the working conditions, including Occupational Health and Safety (OHS) measures.</li> </ul>	
<b>7. Value chains, post-harvest and trade</b>	<ul style="list-style-type: none"> <li>○ Support should be provided to improve market awareness among fisher-folk/farmers together with schemes to facilitate market access for products generated from small-scale coastal and inland fisheries – presently there is unclear information on trade and supply/value chain available to fisher-folk</li> <li>○ Governments and partners should facilitate avenues for products generated from small-scale coastal and inland fisheries to access regional and international markets</li> <li>○ Identify and strengthen business partnerships that specifically targets products generated from small-scale coastal and inland fisheries including joint ventures, training etc.</li> <li>○ Support capacity building, knowledge sharing and technology exchange/transfer on post-harvest fish handling among ASEAN Member States (in support adding values to available resources)</li> <li>○ Document concrete examples and demonstrate steps in the value-chain and options to add value to products generated from small-scale coastal and inland fisheries</li> <li>○ Improve processing of fisheries products harvested during peak fishing season in order to preserve, store, market and sell the products throughout the year to local, ASEAN and international markets</li> <li>○ Conduct post-harvest capacity-building, technology transfer through regional training programs and provide simplified guidelines for small-scale food processing and value added products</li> <li>○ Support the development of certification/branding system in support of the marketing of products from small-scale enterprises without adding cost to fisher-folk/farmers.</li> <li>○ Support capacity building on alternative livelihood opportunity including increases awareness on trade and supply/value chain available to fisher-folk.</li> </ul>	<ul style="list-style-type: none"> <li>• Lessons to be learnt from clam (Ben Tre) and fish sauce (Phu Quoc) in Viet Nam</li> </ul>
<b>8. Gender equality</b>	<ul style="list-style-type: none"> <li>• Monitor steps taken to ensure that gender equality is addressed and promoted in all sections of programs implementation in support of people dependent on fisheries and aquatic resources (as indicated in the VGSSF)</li> <li>• Support development of gender policy in coastal/inland small-scale fisheries and rural community development</li> </ul>	<ul style="list-style-type: none"> <li>• Monitor</li> </ul>

FAO Voluntary Guidelines for Securing Small-scale Fisheries	Regional Program	Time lines and Responsibilities To be completed in consultations with partners
	<ul style="list-style-type: none"> <li>• Develop indicators and measure to assess gender balance and involvement of all key stakeholders in decision making processes</li> </ul>	
<b>9. Disaster risks and climate change</b>	<ul style="list-style-type: none"> <li>• Support the identification, assessments and dissemination of information on scenarios on trends to be expected following environmental degradation and climate change impacts to fisheries, habitats and coastal/rural people.</li> <li>• Integrate climate change and climate variability factors in small-scale fisheries policy formulation, program and action plans</li> <li>• Raise awareness on physical changes made to coastal and inland environments due to climate change and climate variability – and how man-made changes can add to the scenarios of change</li> <li>• Strengthen and build capacity among rural/coastal communities to develop adaptive capacity in response to natural disasters, climate variability, climate change and man-made developments/factors that have affected the inland/coastal resources and increase resilience by: <ul style="list-style-type: none"> <li>○ Supporting capacity building on alternative livelihood opportunity (options are quite site specific)</li> <li>○ Improving registration of community activities, community members and assets (with the province and district</li> <li>○ Increasing resilience to respond to climate variability</li> <li>○ Increased disaster preparedness</li> </ul> </li> <li>• Provide easy and up-to-date/live weather information and early warning systems to alert coastal/inland communities on approaching disasters.</li> </ul> <p><b>Monitor progress</b> on climate change responses under partner initiatives:</p> <ul style="list-style-type: none"> <li>• Follow-up on the MRC Climate Change and Adaptation Initiatives</li> <li>• Follow-up on the implementations of action based on ASEAN Climate Change Declarations</li> </ul>	

**Ensuring an Enabling Environment and Supporting Implementation (Part 3 of the VGSSF)**

<b>FAO Voluntary Guidelines for Securing Sustainable Small-scale Fisheries</b>	<b>Regional Program</b>	<b>Time lines and Responsibilities To be completed in consultations with partners</b>
<b>10. Policy coherence, institutional coordination and collaboration</b>	<ul style="list-style-type: none"> <li>• <b>ASEAN:</b> Countries to advocate that aspects on the sustainability of small-scale fisheries (inland and coastal) in included on the agenda of relevant ASEAN Policy and decision making bodies</li> <li>• Support the development of enabling environment(s) in support of small-scale fisheries by building upon inter-ministerial and multi stakeholder cooperation</li> <li>• Advocacy efforts should be initiated to influence policy and decision makers through mass media, etc.</li> <li>• Improve national and sub-regional fisheries policies to reflect the real situation of coastal/inland small-scale fisheries and habitat management needs</li> <li>• Establish dialogues or platforms to bring up issues on small-scale fisher-folk and fisheries into the <b>existing/regular dialogue</b> and management mechanisms at sub-regional and bilateral level</li> <li>• Support/promote sub-regional cooperation and development of joint declarations/MoUs together with joint management plans and establishment of coordinating bodies/committees for trans-boundary inland and coastal fishery and habitats</li> <li>• Strengthen measures/actions to combat illegal fishing together with increased understanding of national laws and regulations</li> <li>• Research should be conducted with an aim to reform agriculture, environmental and infrastructure policy development processes to ensure that small-scale fisheries are addressed in the process</li> <li>• Support/promote cooperation and MoU formulation on social well-being and employment generation at bi-lateral and sub-regional levels and strengthen cross-border relations in community development</li> </ul> <p><i>Specifics for inland fisheries:</i></p> <ul style="list-style-type: none"> <li>• Promote development of agreement bi-lateral and sub-regional cooperation relevant to the sustainability of inland fisheries and habitats including the sustainable use of water resources</li> <li>• Joint monitoring of trans-boundary impacts (and where possible identify and implement mitigating measures) of infrastructure development affecting inland fisheries, wetlands and habits.</li> </ul>	

<b>FAO Voluntary Guidelines for Securing Sustainable Small-scale Fisheries</b>	<b>Regional Program</b>	<b>Time lines and Responsibilities To be completed in consultations with partners</b>
<b>11. Information, research and Communication</b>	<ul style="list-style-type: none"> <li>• Document the initiatives taken in each country to provide a platform for information dissemination of relevance to small-scale fisheries               <ul style="list-style-type: none"> <li>◦ Example: an educational forum that disseminates the results on the employment and decent work</li> </ul> </li> <li>• Encourage, prioritize, and facilitate the conduct of research on the accessibility of land and resources, through a multi-stakeholders participatory approach.</li> <li>• Improve data collection on fisheries and fisheries related activities together with assessments of production from coastal and inland capture fisheries,</li> <li>• Assess productivity, production and value of different habitat types/ecosystems (mangroves, corals, flood plain, wetland, etc.) of importance to the livelihood of coastal/rural communities</li> <li>• Enhance understanding and provide information on the status of biodiversity and endemic species</li> <li>• Collect and disseminate information on trade and supply/value chain of relevance to small-scale producers of aquatic products</li> <li>• Provide available information to strengthen technology exchange/transfer on post-harvest fish handling among ASEAN Member States in support of added values of fisheries products originating from small-scale producers</li> <li>• Intensify sharing information on catch, landing and trade of products from coastal/inland small-scale fisheries</li> </ul>	
<b>12. Capacity development</b>	<ul style="list-style-type: none"> <li>• Capacity needs assessment to be carried out to ensure relevant capacity building programs are initiated.</li> <li>• Strengthen institutional and human capacity (government and community) in support of the regional approach to the implementation of the VGSSF and the FAO Guidelines on tenure rights while building upon national laws and regulations</li> <li>• Promote and build capacity to develop corporate social responsibility</li> <li>• Support capacity building to add value to products generated from small-scale coastal and inland fisheries (post-harvest handling, packaging, etc.)</li> <li>• Support capacity-building on alternative livelihood opportunity (options are site specific and programs to be adjusted accordingly)</li> <li>• Advocate for the implementation of training programs that increases literacy and accessibility to education</li> <li>• Support capacity building to strengthen cooperation on social well-being and employment generation at bi-lateral and sub-regional levels and strengthen cross-border relations in community development</li> </ul>	

<b>FAO Voluntary Guidelines for Securing Sustainable Small-scale Fisheries</b>	<b>Regional Program</b>	<b>Time lines and Responsibilities To be completed in consultations with partners</b>
<b>13. Implementation support and monitoring</b>	<ul style="list-style-type: none"> <li>• Strengthen cooperation with international/regional organizations to develop framework that would facilitate the regional approach to the implementation of the FAO VGSSF</li> <li>• Increase awareness that approaches to implement VGSFF cover a wide range of small-scale fisheries, both coastal and inland, therefore, the regional approach has to make a difference between various type of small-scale fisheries</li> <li>• Support coordination and cooperation and enhance understanding that opportunities to secure sustainable small-scale fisheries is dependent on options to coordinate with developments in other sectors.</li> <li>• Support development of cooperative arrangements including joint declarations/MoUs at bilateral and sub-regional level</li> <li>• Facilitate joint monitoring of impact (where possible implement mitigating measures) of infrastructure development affecting coastal and inland small-scale fisheries followed by restrictions on developments to protect aquatic resources and habitats</li> </ul>	



## **REGIONAL GUIDELINES ON TRACEABILITY SYSTEM FOR AQUACULTURE PRODUCTS IN THE ASEAN REGION**

### **Executive Summary**

The Regional Guidelines on Traceability System for Aquaculture Products in the ASEAN Region is the major output of the Japanese Trust Fund V project on Traceability System for Aquaculture Products in the ASEAN Region. The Guidelines had been developed through a series of workshops, participatory and consultative process involving fishery officials from the ASEAN-SEAFDEC Member Countries organized under the Marine Fisheries Research Department (MFRD) Programmes. The Guidelines was finalized and adopted by senior fishery officials from Member Countries at the End-of-Project (EOP) Meeting held on 26 – 27 August 2015 in Singapore. In addition, the draft Guidelines was endorsed in principle without amendments by the 48<sup>th</sup> Meeting of the Council of SEAFDEC in April 2016.

The Guidelines which was drafted based on consensus of and in accordance to the collective inputs and efforts from all the ASEAN-SEAFDEC Member Countries will serve as a common platform and reference for Member Countries in their implementation of traceability for aquaculture products. The Guidelines comprise of eleven Chapters and one Annex. The first six Chapters serve as an introduction and includes the background, scope, acronyms, terms and definitions used in the Guidelines, traceability principles, advantages of traceability implementation and the types of traceability systems, to provide a better understanding of the basic elements and focus of the Guidelines; the next two Chapters describe the issues and challenges faced by industry in the region with respect to traceability implementation and recommendations. Chapter IX describes a generic supply chain for aquaculture products which identifies the various stakeholders involved in the aquaculture production, distribution, trade and retail of the aquaculture products (fish and shrimp). Finally, Chapter X provides the actual guidelines for Member Countries in their implementation of traceability for aquaculture products and highlight where traceability information is critical as well as the responsibilities of individual stakeholders to ensure that traceability along the supply chain is established. The last Chapter XI lists the references used in the Guidelines while the Annex is a listing of competent authorities responsible for implementing and regulating traceability of aquaculture products in the ASEAN-SEAFDEC Member Countries.

These Guidelines was further supported by the 24<sup>th</sup> ASWGF in June 2016, and later endorsed by the SOM-38<sup>th</sup> AMAF in October of the same year. SEAFDEC/MFRD is now preparing for the publication of the Guidelines and its distribution to all ASEAN-SEAFDEC Member Countries.

### **Required Consideration by the Meeting**

The 19<sup>th</sup> Meeting of FCG/ASSP is requested to take note of the adoption of the Regional Guidelines on Traceability System for Aquaculture Products in the ASEAN Region. The 19<sup>th</sup> FCG/ASSP meeting is also requested to support and promote the implementation of the Guidelines by all relevant agencies at national level. In addition, the meeting may address any country problems and issues that require supporting programs from SEAFDEC for its effective implementation in the future.



## CLOSING REMARKS

*By Dr. Kom Silapajarn*

*Co-chair for the Southeast Asian Fisheries Development Center*

Distinguished delegates from the ASEAN-SEAFDEC Member Countries,  
Our collaborating agencies,  
My colleagues from SEAFDEC,  
Ladies and Gentlemen, Good Afternoon!

First of all, on behalf of the Co-chair for SEAFDEC of the 19<sup>th</sup> Meeting of the Fisheries Consultative Group of the ASEAN-SEAFDEC Strategic Partnership, please allow me to thank the representative from the Philippines *Mr. Nestor Domenden*, for chairing with me the Nineteenth 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 participation during our deliberations. Your active involvement surely led us to the successful conclusion of the Meeting. Your significant 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 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 Inland Fishery Resources Development and Management Department (IFRDMD) and the Ministry of Marine Affairs and Fisheries of Indonesia, together with their staff for the excellent arrangements of our Meeting. Without further ado, I now declare the Nineteenth 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 Yogyakarta 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!