

**SEAFDEC – Sida Collaborative Project
2005 Annual Progress Report
and Activities Planned for 2006**



Sida



**Southeast Asian Fisheries Development Center
The Secretariat**

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SEAFDEC – Sida Collaborative Project
2005 Annual Progress Report and Activities Planned for 2006

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I. Executive Summary of the 2005 Progress Report

This report presents the current status and future activities in implementing the SEAFDEC-Sida Collaborative Project on “Human Resource Development on the Support of Implementation of the Code of Conduct for Responsible Fisheries Management for Responsible Fisheries Management for the ASEAN Region”. This document discusses steps (objectives- and outputs-oriented) that already been implemented by the project since around the end of 2003 until 31 December 2005. It also presents planned future actions/activities for the year 2006.

II. Introduction and Background

It was recognized that formulation of the Code of Conduct for Responsible Fisheries (CCRF) adopted since 1995 by FAO was a coherent and important step toward the world sustainable fisheries and provided comprehensive framework and principles to guide the countries for their consideration and appropriate actions harmonizing fisheries with aquatic environment. However, the conditions and context of the CCRF were mainly based on the concerns and situation of fisheries of developed countries and it was found that less consideration for the issues of developing countries were provided. In response to this SEAFDEC with ASEAN/SEAFDEC member countries and experts from international organizations based in the region have developed a set of “Regional Guidelines for Responsible Fisheries in Southeast Asia”. The volume on “Fisheries Management” is the one mostly referred to in the context of this project.

In addressing and implementing the CCRF in the region, the project document emphasized that the following three factors will have to be accommodated:

- 1) Fisheries Structure (mainly in coastal or small-scale fisheries)
- 2) Ecological situation (multi-species type of fisheries)
- 3) Socio-economic and cultural factors (socio-economic integration with local community of small-scale fisheries)

2.1 Objectives and Project Components

Overall objectives of the project is to facilitate the national implementation of the issues related to fisheries management contained in the CCRF through appropriate human resource development (HRD) activities including awareness building and training activities. In order to meet the above objectives, the following two project components are programmed in the proposed project.

Component 1: HRD activities with respect to the priority issues contained in the Regional Guidelines for the Fisheries Management (RCCRF)

Component 2: HRD activities on the issues related to the reduction of “Fishing Capacity” that can be a key to achieve sustainable fisheries in the region.

The following detailed objectives:

- 1) To enhance awareness of the necessity of appropriate fisheries management to achieve sustainable fisheries
- 2) To advise the stakeholders on the mechanisms of the innovative fisheries management system
- 3) To promote various HRD activities on fisheries management with identified target groups
- 4) To identify the various options to alleviate the problems caused by the excessive levels of fishing capacity.

2.2 Basic Principles and Targeted Outputs

The project document set out three basic principles that should be guiding the implementation of the project, namely:

- 1) Consensus building among recipient countries, among other organization and participations in regional consultations;
- 2) ASEAN-SEAFDEC Collaborative Program – after approval project program from the ASEAN-SEAFDEC Consultative Group (FCG) Mechanism the program is now considered as one of the program under the ASEAN-SEAFDEC FCG Mechanism;
- 3) Close collaboration with ASEAN Member Countries, including ways of ensuring that “on-site” training activities are in line with national priorities and of relevance for national human resource development programs.

Under the policies/principle mentioned above, formulation of the project detailed objectives as outputs for the achievement of the overall objectives would imply:

- Output 1: Awareness enhanced of the necessity of appropriate fisheries management to achieve sustainable development (central and local)*
- Output 2: Stakeholders advised on the mechanism of innovative fisheries management system*
- Output 3: HRD activities promoted on fisheries management with identified target groups*
- Output 4: Various options identified to alleviate the problems caused by excessive levels of fishing capacity*

2.3 Activities

Under the policies/principles mentioned above, the project will conduct the following activities in step-by-step basis. Their linkage with the project components are also shown in the table below:

Activities	Project Component	
	1	2
1) Preparation and publication of training materials using the regional guidelines of the fisheries management of the Code of Conduct for Responsible Fisheries (RCCRF)	*	* ¹

¹ Referred to the “Regional Guidelines for Responsible Fisheries Management in Southeast Asia”, page 19, item 7.1.8

2) Translation and publication of the training materials on the fisheries management of RCCRF to national languages	*	
3) Organization of the Regional Consultation Meetings	*	*
4) Organization of the Regional Technical Consultation for Fishing Capacity	*	*
5) Organization of on-site trainings on fisheries management at selected venues in the ASEAN Member Countries	*	*
6) Collection of the information on the fishing capacity (number of boats/vessels and fishers with main fishing gear at the districts level of the countries) in collaboration with ASEAN Member Countries		*
7) Identification of the problem areas and target groups of the human resource development activities on fishing capacity based on the compilation and analysis of the collected data on fishing capacity		*
8) Preparation and publication of the required training materials (specific and detailed training materials) on the mitigation of fishing capacity		*
9) Organization of on-site training on the fishing capacity at the selected venues in the ASEAN Member Countries		*

III. Achievements and Assessment of the Progress

Session 3.1 below explains what has been achieved so far; session 3.2 assesses the future work that is required; session 3.3 discuss of lessons learned in implementing the project activities.

3.1 Achievements until 2005

Under the project framework, achievements from the project activities implemented until November 2005 are shown in the table below.

Activities ²	Component		Outputs			
	1	2	1	2	3	4
1	*	*	✓	✓		
2	*	*	✓	✓	✓	
3		*		✓		✓
4	*	*	✓	✓	✓	✓
5 (on-going)	*	*			✓	✓
6 (on-going)	*	*	✓	✓	✓	✓
7 (on-going)	*	*				✓
8 (on-going)	*	*	✓	✓	✓	✓
9 (on-going)	*	*	✓	✓	✓	✓

1. Co-organized of the ASEAN-SEAFDEC Regional Workshop on Human Resource Development in Fisheries
2. Organized of the ASEAN-SEAFDEC Regional Technical Consultation on Human Resource Development in Fisheries Management

² The title of each activity is shown after the table.

3. Organized of the ASEAN-SEAFDEC Preparatory Experts Meeting Fishing Capacity and Related Human Resource Development Needs in the ASEAN Region
4. Implementing Pilot Process in the set of representative countries (Cambodia, Indonesia, Thailand and Vietnam; CITV countries)
 - i. Organized of the planning meeting and consulting for pilot process in CITV countries
 - ii. Organized of the first national workshop for human resource development in CITV countries
 - iii. Organizing of the on-site training for human resource development in fisheries management in CITV countries (on-going)
5. Collecting information on regional inventory, database and network for human resource development in fisheries (on-going)
6. Studying and developing HRD training materials (on-going)
7. Participation of the project staff to other collaborative work (on-going)
8. Preparation and publication of the required training materials (specific and detailed training materials) on the mitigation of fishing capacity (on-going)
9. Organization of on-site training on the fishing capacity at the selected venues in the ASEAN Member Countries (on-going)

3.2 Lessons Learned

Followings are some of the main lessons that have been learned by the project from its activities to date:

- **Technical issues are not enough.** HRD in fisheries management should be developed at all levels considering:
 - **Legislation, Law and regulations** – implication of international initiatives and conventions, structure/rules of local management, co-management approaches, functions of rights-based fisheries and rights of resource users, institutional role and responsibility.
 - **Social and economics** – implications of limiting access, reducing and managing fishing capacity, facilitating exist from fisheries, supplementary/alternative livelihoods, co-management concepts, survey/research techniques including consultation and participations; and
 - **Environment** – habitats and reproduction areas, migratory routes and interconnectivity, supplementary/alternative livelihoods
- **Learning from “Pilot Process” to enhance awareness and alleviate the problems caused by excessive fishing capacity.** A practical approach to develop and promote HRD and management of excess fishing capacity is to conduct pilot process in the set of representative countries in the region as a basis for sharing lesson learned and experiences at the regional level and further nation-wide management of fishing capacity.
- **Learning from experiences and good practices of other organizations.** Existing experiences in the region related to fisheries management should be taken into consideration. For this reason, benefits to the project from participation of the project staff to other related projects/initiatives³ have been seen in opportunities to convey experiences and results directly into other dialogues, and also benefits in terms of facilitation and promotion of collaborative working with other relevant agencies on the issues related to fisheries management and management of fishing capacity.

³ See more details of the projects/initiatives in [*Appendix I*](#).

- **Avoiding an “isolated” process in developing human resources for management of fishing capacity.** HRD for fisheries management of fishing capacity should be incorporated within the context of fishery management as such, thereby avoiding “isolated” process that would not be optimal in use of project funds in reaching results related to project objectives/aims. Seen from the point of fisheries management you cannot really address fisheries management without addressing fishing capacity.
- **Enhancing awareness through HRD programs by developing training materials.** Translation of CCRF and RCCRF, to national languages to support awareness building at national and local level should consider conveying the message and implication of the guidelines to the audience, not direct translation. Detailed clarification of implementation of the national guidelines based on the regional guidelines should be developed particularly in the aspects of assessment and management of excess fishing capacity and there is also a need to develop HRD supporting (training) materials, i.e. guidelines for fishery managers, promotional/awareness building materials, etc.

3.3 Concrete Steps Toward Outputs/Results Orientation

Based on the discussion above, and to summarize, the concrete steps and major achievements in implementing project activities to date have been:

- **Creating a HRD strategy for fisheries:** the project formulated and ASEAN-SEAFDEC Member Countries adopted their Strategy for HRD in Fisheries in the ASEAN Region in 2004. The “Strategy” is considered vital to clarify the role of HRD to effectively implementation of the Resolution and Plan of Action on Sustainable Fisheries for Food Security for the ASEAN Region and in line with that of scope and framework in supporting the promotion and implementation of the CCRF.
- **Creating plans and framework for HRD in fisheries management:** the project developed the plans and framework for HRD in fisheries management in 2004, through the ASEAN-SEAFDEC regional consultation process focusing on three thematic issues:
 - Management of Over Fishing Capacity
 - Strengthening of Local Fisheries Management
 - Integrating Fisheries Management into Habitat Management
- **Integrating social, environmental and legal aspects in the HRD process:** through the ASEAN-SEAFDEC regional consultation process, the project developed a key set of thematic indicators on ‘integration of social, environmental, and legal aspects’ in the process of awareness building and human resource development. This provides a basis for further consideration for promotion of effective integration of habitat management and fishery management including ecosystem approach to fisheries management, habitat rehabilitation, resources evaluation, and preparation of local fishery management plans.
- **Assisting Member Countries in managing fishing capacity:** the project has actively supported the member countries in managing the fishing capacity and particularly provided technical assistance for formulating the practical steps to be taken towards development of their HRD plan of programs/activities for management of fishing capacity. It was also stressed that management of fishing capacity and related HRD should be addressed within the context of fisheries management, thereby avoiding an “isolated” process that would be optimal in terms of identifying options for management of fishing capacity at all levels.

- **Establishing a regional fisheries management information collection mechanism:** the project could be able to establish the national focal point for each SEAFDEC Member Countries in dealing with information collection on national/regional HRD programs/initiatives related to fisheries management. This could allow sharing their resources in developing human resources for all levels to support the promotion of the CCRF/RCCRF and also with the attempt indirectly to know the progress in each country on the issues related to their plan and framework for the issues related to management of fishing capacity.
- **Establishing a collaborative work among institutions concerned:** during the course of project implementation, active participation of the project staff in SEAFDEC and non-SEAFDEC relevant events/activities was carried out to maintain the dialogue with the countries and collaborative projects/initiatives on the issue related to fisheries management (more in coastal small-scale issues) and management of fishing capacity.
- **Implementing and developing national and regional HRD training materials:** through the implementation of the pilot work (pilot process), the project has initiated national events (workshop and on-site training) with the aim to assist ASEAN countries in preparing and publishing national training materials using the regional guidelines of the fisheries management, and including also translation of the training materials on the fisheries management of RCCRF to national languages for future formulation of the regional HRD training package for fisheries management.

The steps taken by the project toward results orientation, as described above, evolve into a coherent system for management of fisheries resources. While there are several initiatives toward improving of such management through implementation of various HRD programs/initiatives, the project has also been gradually introducing better fishery management tools for fishery resources management by mobilizing experiences learnt from relevance initiatives.

Below table shows the steps mentioned above with their connection to the project components.

Concrete Steps Towards the Outputs Orientation	Project Component	
	1	2
Adopting a HRD strategy for fisheries	*	
Creating plan and framework for HRD in fisheries Management	*	*
Integrating social, environmental, and legal aspects in HRD process	*	*
Assisting Member Countries in managing fishing capacity	*	*
Establishing a regional fisheries management information collection mechanism	*	*
Establishing a collaborative work among institution concerned	*	*
Implementing and developing national and regional HRD training materials	*	*

3.4 Assessment of Future Work Needed

It could be seen that efforts initiated by the project together with some other related organizations (not only fisheries related agencies but also environmental concerned agencies to develop human resources in supporting implementation of sustainable fisheries management in line with CCRF/RCCRF and to alleviate the problems caused by the excessive level of fishing capacity) are already in place at both regional and national level. While the project is taking a gradual “learning-by-doing” approach to address these issues, there is also a need to upgrade awareness both within SEAFDEC related programs and non-SEAFDEC programs as discussed earlier. In doing so, the project in full collaboration with SEAFDEC related programs and other non-SEAFDEC programs/initiatives are addressing the following aspects:

- Capacity building in coastal resources management at various levels (policy makers, provincial/central and community levels) should be more systematic taking consideration in streamlining and simplifying the other efforts of the existing initiatives.
- Integration of fishery resource management into habitat management needs to be better defined and followed-up. In addition, in the context of management and conservation of habitat and transboundary resources, dialogues among neighboring areas/countries will be initiated and supported by the project with close collaborative mechanism for sharing information and expertise.
- To strengthen local fisheries management capacity and to promote community-based coastal fisheries, efforts to increase the focus on legal, economic and social aspects should be taken into consideration. In doing so, there is a need to develop a package of HRD training material to for best practices for sustainable coastal development.
- To rehabilitate and enhance coastal resources in close collaboration with coastal resource users, schemes to manage fisheries capacity should include schemes to facilitate the exit from the fisheries and to establish fishery refugia.

IV. Way Forward: Key Challenges and Activities for 2006

4.1 Key Challenges

Going forward, the key challenges for the project for 2006 can be assessed as follow:

- Integrating fishery management into sustainable development and management of coastal resource areas, which can be considered as a long-term process. It is important that the development balances three important aspects – social, economic and environment/ecological.
- Encouraging inter-agency coordination mechanism and dialogue among agencies concerned for coastal development are needed. The project should challenge in improving better dialogue with other related initiatives to ensure that national plan and their operation for fisheries and habitat management are fine-tuned.
- Mobilizing local knowledge, expertise, initiatives and networking of agencies concerned to facilitate sharing information and experiences, which could be used as a basis for HRD programs planning, monitoring and evaluation for the impact of such initiatives.
- Assisting the member countries to identify/develop strategy and operation plan to alleviate problems caused by excessive level of fishing capacity, i.e. by generating alternative and supplementary livelihoods for people in coastal areas.

4.2 Planned Activities for the year 2006

Based on discussion above and conclusion based on the outcomes of the Annual Review Meeting between SEAFDEC and Swedish Board of Fisheries⁴, activities⁵ to be implemented in 2006 include:

- **Continuation of implementation of Pilot Process in the set of representative countries**

The continuation of the implementation of Pilot Process involves a sequence of meetings: workshop and on-site training in a representative set of countries, Cambodia, Indonesia, Thailand and Vietnam. This activity aims at promotion of human capacity building for coastal resources management by mobilizing the lessons learned from projects/initiatives based on the experiences in the countries and others related provinces/projects, and to provide a forum to address the important role of HRD in promoting responsible fisheries management.

There are 4 sub-activities to be carried out: (1) Organization of On-site Training and National Workshop in Koh Kong, Cambodia; (2) Provide support of the National Study in Lombok Timur of Indonesia and following-up with the event organized in Pematang District; (3) Organization of On-site Training and National Workshop in Thailand (Trang/Satun); (4) Organization of On-site Training and National Workshop in Vietnam (the venue to be decided).

- **Synthesis of lessons learned from the pilot process**

After completion of the activities of the pilot process implemented as mentioned above, major lessons learned with their experiences will be analyzed and shared at the regional level. This result will be later discussed at the “Expert preparatory meeting on the regional recommendation on management of fishing capacity” (*Expert Meeting*) and then to present at the “Second Regional Technical Consultation on Management of Fishing Capacity and Project-end Meeting” (*RTC*).

- **In-depth studies and development of HRD training materials**

This activity will be carried out as ongoing parallel step while implementing the pilot process in the set of representative countries. The outline of the issues aspects to be included together with the potential sources for HRD training/supporting materials to be included or referred to with the reference to the topics included in the presentations during the sequence of the event in the pilot process. The developed HRD training/supporting materials will also be presented and discussed during the *Expert Meeting* and *RTC*.

- **Coordination among the concerned projects**

Participation of the project staff to direct relevance regional/national events with the aim to promote and support coordination among the concerned projects/initiatives. This will

⁴ See the Minutes of the Meeting and its references in [Appendix 2](#).

⁵ See tentative schedule plan for implementing project activities for 2006 in [Appendix 3](#).

assist the project in identifying various options to (i) promote HRD for fisheries management – especially to support the promotion of the Code of Conduct for Responsible Fisheries Management, and (ii) alleviate the problems caused by excessive level of fishing capacity,.

- **Updating regional database on HRD**

Through coordination and collaboration with the national focal point of the SEAFDEC-Sida project in each ASEAN-SEAFDEC Member Countries, the updating national HRD information on their national/regional HRD programs/initiatives related to fisheries management will be carried out to allow sharing their resources for development of human resources to support the promotion of the Code of Conduct for Responsible Fisheries (CCRF) and Regionalization of the CCRF.

- **Prepare new program for Sida support 2007 onwards**

As the current phase of the support from Sida will be ended by 2006, preparation of the new program from 2007 onwards will be carried out and discussed with Sida and Swedish National Board of Fisheries for further submission for their approval of the continued support.

- **Expert preparatory meeting on the regional proposal on management of fishing capacity**

Before organization of the *RTC*, the outputs and outcomes from those above activities no. 1 to 5 will be analyzed and further discussed during this event. Regional, national and international experts directly relevance to HRD for fisheries/habitat management, and management of fishing capacity will be invited to discuss for further sharing with the ASEAN-SEAFDEC Member Countries during the following *RTC*.

- **The Second Regional Technical Consultation on Management of Fishing Capacity and Project-end Meeting**

ASEAN-SEAFDEC National Coordinators and Project's National Focal Point will be invited to this *RTC*. It is envisaged that those outputs from the project implementation from the year 2003 until 2006 including (i) Implementation of the Pilot Process (Promotion of HRD for fisheries management to promote CCRF/RCCRF, and management of fishing capacity); (ii) HRD supporting/training materials (training package for supporting promotion of CCRF/RCCRF); and (iii) Regional Inventory and Database for HRD for fisheries management. These will be wrapped-up as the regional recommendation for further consideration on the next following up activity of the SEAFDEC and would be useful for other directly relevance to the sustainable management and development of coastal resources.

- **Preparation of the final report**

By the end of the year 2006, the final report will be then submitted to Swedish National Board of Fisheries and Sida for further discussion during the last Annual Review Meeting (scheduled around beginning of December 2006).

4.3 Proposed Budget for 2006

Sida-SEAFDEC 2006 Programs and Activities Expenses

(Exchange rate calculated: 1 SEK = 5.2)

	BT	SEK	BT	SEK
1. Personnel Expenses				
1.1 Project Advisor: Magnus			4,086,400	785,846
1.1.1 Salary (1 Jan to 31 Dec 2006)	3,236,400	622,385		
1.1.2 Travel expenses: participation into events/activities relevant to the project				
Airfare 20,000 BT x 12 events =	240,000	46,154		
DSA 2,000 BT x 5 days x 12 events =	120,000	23,077		
Accommodation 1,500 BT x 5 days x 12 events =	90,000	17,308		
1.1.3 Home Trip 2 times	400,000	76,923		
1.2 Project Assistant 2 people: Worawit & Anongnard plus possible extra			975,420	187,581
1.2.1 Salary (1 Jan to 31 Dec 2006)	412,920	79,408		
1.2.2 Travel of Project Staff: Magnus, Worawit, Anongnard and plus possible extra				
Airfare 20,000 BT x 3 persons x 5 events =	300,000	57,692		
DSA 2,000 BT x 3 persons x 5 days x 5 events =	150,000	28,846		
Accommodation 1,500 BT x 3 people x 5 days x 5 events =	112,500	21,635		
2. Cost for Consultations/Meetings				
2.1 To summarize results and get consensus on steps to take			244,000	46,923
Airfare 20,000 BT x 2 persons x 4 countries =	160,000	30,769		
DSA 2,000 BT x 2 persons x 3 days x 4 countries =	48,000	9,231		
Accommodation 1,500 BT x 2 persons x 3 days x 4 countries =	36,000	6,923		
2.2 Consultation/Study Tour to Gothenburg plus Stockholm 3 persons			780,000	150,000
2.3 Meetings with Cooperating Projects (including SEAFDEC's Projects)			244,000	46,923
Airfare 20,000 BT x 2 persons x 4 projects/visits =	160,000	30,769		
DSA 2,000 BT x 2 persons x 3 days x 4 projects/visits =	48,000	9,231		
Accommodation 1,500 BT x 2 persons x 3 days x 4 projects/visits =	36,000	6,923		
3. Cost for preparatory of the supporting materials for HRD programs/activities in CITV countries, including translation to support implementation of CCRF				
			312,000	60,000
- Sub-contracts to organizations to work out the materials in countries as well as regionally (includes CORIN, AIT, IDRC/WWF Cam, DOF and MOE, etc.)				
- Translation of specific texts of relevance to implementation of the CCRF				

- Editing and printing cost			
4. Cost for Organization of the National Workshop/On-site Training			3,744,000 720,000
(total of 8 events 2 in Vietnam, 2 in Cambodia, 2 in Indonesia, and 2 in Thailand) 9,000 SEK/event			
5. Cost for development and updating the Regional Inventory, Database and Network for HRD in Fisheries			208,000 40,000
within ASEAN-SEAFDEC Member Countries and other relevant agencies such as FAO, UNEP/GEF/SCS Project, includes also cost to send people from SEAFDEC's Working Group for Fisheries Policy to collect information in the country			
6. Cost for organization of 2nd RTC on HRD in Fisheries Management and Management of Fishing Capacity			1,248,000 240,000
Airfare 20,000 BT x 30 persons =	600,000	115,385	
DSA 2,000 BT x 30 persons x 5 days =	300,000	57,692	
Accommodation 1500 BT x 30 persons x 4 days =	180,000	34,615	
Cost for specific assignments in preparation for the meeting =	168,000	32,308	
7. Operating, equipments and maintenance expenses			52,000 10,000
8. Contingency			113,454 21,818
	<i>sub-total</i>		12,007,274 2,309,091
9. Overhead Charge (10%)			1,200,727 230,909
	Total		13,208,001 2,540,000

Coordinating Programs/Initiatives of SEAFDEC

- 1) Regionalization of the Code of Conduct for Responsible Fisheries (The Secretariat in collaboration with all Departments)
- 2) Toward Decentralized Management for Sustainable Fisheries in the ASEAN Region (Secretariat)
- 3) Improvement of Fishery Statistical Systems and Mechanisms (Secretariat)
- 4) Fish Trade and Environment (Secretariat)
- 5) Resource Enhancement (Training Department)
- 6) Capacity Building for Human Resources and Participation in Integrated Coastal Resources Management (Training Department)

Coordinating Programs/Initiatives of non-SEAFDEC with the Project

- 1) Working Group Meetings of Fisheries Component of the UNEP/GEF South China Sea Project
- 2) Workshops organized under FAO-Sida Project on Strengthening the Capacity in Fisheries Information Gathering for Management
- 3) Sessions of the Asia Pacific Fishery Commission
- 4) Technical Working Group Meetings of UNEP/COBSEA
- 5) FAO-DOF (Thailand) National Meetings on reduction and management of fishing capacity
- 6) Workshops organized by WorldFish Center; project on Fish Flights over Fish Rights

**SWEDISH BOARD OF FISHERIES – SEAFDEC 2005
ANNUAL REVIEW MEETING
Monday 12, December 2005, 1330h-1700h at SEAFDEC-Secretariat, Thailand**

AGREED MINUTES OF THE MEETING

PRESENT:

Swedish Board of Fisheries (SBF)

- | | |
|------------------------|-------------------------|
| 1. Mr. Lars Johansson | Swedmar |
| 2. Mr. Bengt Strömblom | Deputy Director General |

Southeast Asian Fisheries Development Center – Secretariat (SEAFDEC–SEC)

- | | |
|-----------------------------------|---|
| 3. Dr. Siri Ekmaharaj | Secretary-General (SG) |
| 4. Dr. Yasuhisa Kato | Special Advisor |
| 5. Mr. Somnuk Pornpatimakorn | Administrative Financial Coordinator |
| 6. Dr. Magnus Torell | Senior Advisor supported by Sida |
| 7. Mr. Suriyan Vichitlekarn | Program and Policy Coordinator (PPC) |
| 8. Ms. Pouchamarn Wongsanga | Information and Program Coordinator |
| 9. Dr. Supaporn Anuchiracheeva | Coastal Fisheries Management Specialist |
| 10. Dr. Theo Ebbers | Coastal Resources Management Specialist |
| 11. Mr. Martin Bjerner | Fisheries Expert supported by Sida |
| 12. Mr. Worawit Wanchana
(APM) | Acting SEAFDEC-Sida Project Manager |

Minutes prepared by APM

MINUTE NO. 1: AGENDA AND DOCUMENTS OF THE MEETING

Agenda

1. Opening of the Meeting
2. Review Project Progress and Proposed Activities for 2006
 - 2.1 Project Progress until December 2005
 - 2.2 Proposed Activities and Budget for 2006
3. Discussion on Future Collaboration
 - 3.1 Thematic and Areas Focus for Next Stage of Swedish Support
 - 3.2 Regional Study on Eco-labelling
 - 3.3 SEAFDEC Actions and Initiatives on Tsunami Rehabilitation
 - 3.4 Regional Development and Direction on the Management of Fishing Capacity: SEAFDEC Perspectives
 - 3.5 ASEAN-SEAFDEC Collaboration in Fisheries

3.6 Roles and Functions of Working Group on Regional Fisheries Policy (WGRFP) in Promotion of Regional Policy Dialogues

Discussion Documents⁶

- 1) Progress Report of the SEAFDEC-Sida Collaborative Project on “Human Resource Development on the Support of Implementation of the Code of Conduct for Responsible Fisheries Management for the ASEAN Region” (DRAFT)
- 2) Thematic and Areas Focus for Next Stage of Swedish Support
- 3) TOR for Study on Eco-labelling: Perceptions; Prospectus and Opportunities for the Use and Applications of Eco-labelling in the ASEAN Region
- 4) Concept Proposal “SEAFDEC Proposal for Activities in Follow-up to the Tsunami”

Reference Documents

- 1) Report November 2005 on Progress of the SEAFDEC-Sida Collaborative Programme on: Human Resource Development on the Support of Implementation of the Code of Conduct for Responsible Fisheries Management for the ASEAN Region. (appeared as *Annex 5 of Appendix 2*)
- 2) Common Positions of ASEAN and SEAFDEC Member Countries on Issues Related to Management of Fishing Capacity and Fisheries Subsidies. (appeared as *Annex 6 of Appendix 2*)
- 3) ASEAN-SEAFDEC Fisheries Consultative Group (FCG) Mechanism
- 4) Working Group for Regional Fisheries Policy (WGRFP)

MINUTE NO. 2: INTRODUCTION AND BACKGROUND

1. SG welcomed the representatives from the SBF and the meeting members. He expressed his appreciation to the supports from Swedish International Development Cooperation Agency (Sida) through SBF on the program of Regionalization of the Code of Conduct for Responsible Fisheries Management since 2003 covering activities on the promotion of the HRD in the ASEAN Region with specific focus on the issues related to fisheries management and management of fishing capacity.
2. PPC, the facilitator of the Meeting, then briefly introduced background information of the project and meeting’s objective. He requested APM to introduce the arrangement of agenda and its documents of the meeting. The Meeting adopted the agenda as appeared above.
3. Introduction of the project progress to date was then presented by APM highlighting major achievements from the project implementation to date, assessment of the project’s future work, key challenges, and proposed project activities and budget for the year 2006.

⁶ Discussion documents no 1 was modified for formulation of this Annual Report, and discussion document number 2 – 4 appears as *Annex 2 – 4 of Appendix 2*.

MINUTE NO. 3: RESULTS OF DISCUSSION AND RECOMMENDATIONS

The Meeting members examined and discussed each item in the agenda in detail and came up with the following recommendations for further effective collaboration between both parties and improvement of the project implementation.

Improvement of Project Implementation

1. In implementing “pilot process” in the set of representative countries, the Meeting agreed that the results and lessons learned should be of importance by introducing and further sharing with other non-participating Member Countries. This also could provide the project with the opportunity to convey experiences to other dialogues and also benefits in terms of facilitation and promotion of collaborative working with other relevant agencies on the issue related to coastal fisheries management and management of fishing capacity.
2. Considering the issues of a major interest of the support from Sida, SBF asked how far this and other SEAFDEC initiatives could reach in ways of resolving the problems related to overfishing capacity in the region. It was then clarified that SEAFDEC is currently addressing the issues of management of overfishing capacity through various regional exercises such as Regionalization of the Code of Conduct for Responsible Fisheries (RCCRF: supported by Sida), Promotion of Community-based Coastal Fisheries Management through Co-management, the Use of Indicator for Fisheries Management, Improvement of Fisheries Statistics, etc. In addition, implementation of these initiatives assisted Member Countries in identifying the constraints as well as directions and actions for the management of fishing capacity.
3. The Meeting noted that SEAFDEC initiated the formulation and publication of the 4-set of supplementary regional guidelines to that of RCCRF – the Use of Indicators, Statistics, Co-management, and Fisheries Refugia. The Meeting informed that these guidelines should be useful for both at national and regional level in assisting Member Countries to effectively manage fishing capacity.
4. Considering project-end by 2006, SBF advised SEAFDEC to report in perspective of the expected outputs from the project implementation. SEAFDEC informed that organization of the “Regional Technical Consultation on Fishing Capacity and Project-end Meeting”, scheduled in October 2006, would be an opportunity for SEAFDEC to conclude and mobilize experiences of the outputs from the project initiatives together with other relevant initiatives/projects with the aim to formulate “regional recommendations” of HRD for fisheries management as well as for management of fishing capacity. By this way, role and function at national and regional level would be clearly clarified including the role of member countries, SEAFDEC and other relevant initiatives. The Meeting then agreed that SEAFDEC should give the effort to further submission of the “regional recommendations” to be endorsed and incorporated into ASEAN policy-makers dialogue.

5. Considering improvement of the 2005 annual reporting progress for further submission, SBF suggested that a short description for each activity for 2006 should be included. This could facilitate development of better detail plan and to assist in monitoring, conclusion and evaluation of the project for 2006. The Meeting noted that this could also be applied to have detail plan for consultation and study tour to Sweden scheduled in the middle of 2006.
6. In evaluating performance of the project implemented during 2003 to 2006, SEAFDEC informed that they will organize “internal evaluation” (among the project and other SEAFDEC relevant initiatives/projects as mentioned elsewhere) with the aim to assess how far and what impact from the project implementation in a short-and/or long-term sustainable development of fisheries in the region. The SBF informed that they will emphasize their monitoring of the project during the final year of the agreement, including visits to project countries.

Staffing Matters

7. The Meeting noted the support from Sida for a new project staff, Mr. Martin, as the Associate Expert. SEAFDEC is now internally discussing on his involvement in SEAFDEC projects/activities. The Meeting also noted that he is now assisting SEAFDEC for the regional study on eco-labelling.
8. SEAFDEC expressed and the Meeting recognized the importance of the Senior Advisor, Dr. Magnus, supported through the SEAFDEC-Sida collaborative framework, not only for the SEAFDEC-Sida Project but also other SEAFDEC programs specifically in expansion of networking and dialoguing with other relevant agencies to promote SEAFDEC initiatives/programs. SBF was informed that the costs for the Senior Advisor for 2006 is incorporated in the Project Budget under “Personnel Expenses” thus strengthening responsibilities and confirming a role of 100% involvement for SEAFDEC as required by SEAFDEC. The Meeting agreed to the allocation of the budget and SBF requests SEAFDEC to revise the T.o.R for the Senior Advisor to reflect the expected responsibilities to the Project and to SEAFDEC in general. A revised T.o.R is included in *Annex 1*.

Strengthening Future Collaboration with Sweden

9. Dr. Magnus made a presentation on “Thematic and Area Focus for Next Stage of Swedish Support”. However, it was recommended that the document should be reexamined to clearly focus on the issue of fishing capacity, with other aspects being presented as efforts to try to manage capacity. In order to facilitate a support from Sida after 2006 and onward, SBF advised that “Plan and Proposed Activities for Future Support by Sida in 2007 and onward” could be included as an activity for 2006. Drafts of the proposal could be sent to Sida and SBF during 2006 and the result could be incorporated into the SEAFDEC-Sida Final Report 2006. Responses by Sida will give indications to further discussions at the next annual review meeting. It was agreed by the Meeting to organize this event in the same period with this time.

10. In follow on to the discussion on the “Thematic Areas” the Meeting noted and emphasized that an important potential area for further support by Sida might be the continuation of issues on “management of fishing capacity”. SG then advised that future possible support from Sida might cover two major general topics of fisheries covering both management of inland/marine (capture) fisheries and aquaculture.
11. The Meeting informed about the logical process/steps and tentative schedule, of the support from Sweden from November 2005 until around March 2006, on the ongoing study on the regional application for eco-labelling. Two resource persons from Sweden have been assisting during 2005. In early 2006 Mr. Niklas Wennberg will assist together with two regional experts: namely Dr. Mali Boonyaratparin (Department of Fisheries Thailand Seafood Expert) and Dr. Rattanawan Mungkung (Eco-label specialist, Kasetsart University). The Meeting was also informed that after completion and submission of the study results to SEAFDEC Council Meeting scheduled in March 2006 (where SBF will participate), SBF will also consider, depending on available funding, in supporting through resource persons or in other ways to the issues related to eco-labelling.
12. The Meeting discussed the concept proposal “SEAFDEC Activities in Follow-up to the Tsunami, and the Meeting noted that SEAFDEC and SBF will further follow-up on this matter. Aspects to follow up are the priority balance between proposed areas of intervention, taking into account the basic (Sida) principles behind a post-tsunami support and the balance between national and regional actions. In addition, SBF informed that the indicated support from Sida would be during the period of 2006 to 2008. The following steps to finalize the proposal were suggested at the Meeting:
 1. SBF to obtain opinion from Sida to SEAFDEC on the Concept Proposal by end of Jan. 2006
 2. SEAFDEC to provide Information to and Consultation with ASEAN Secretariat, Indonesia, Thailand, Myanmar, Malaysia and FAO in Feb. 06
 3. SEAFDEC submits a revised proposal accommodating comments from item 1 and 2 to Sida in early Mar. 06
 4. Based on comments by Sida, SEAFDEC submits the revised proposal to the ASEAN-SEAFDEC FCG and SEAFDEC Council meetings in early Apr. 06
 5. Finalization of project proposal with Sida in Apr. 06
 6. Conduct the inception meeting with target countries in May or Jun. 06
13. As a general recommendation on considerations for the preparation of the indicated future support from Sida, SBF suggested that the priority areas/issues of ASEAN and SEAFDEC that are corresponding to priority areas for Sida should be the basis in considerations for future support from Sida to SEAFDEC. More specifically it was suggested that the issue of “poverty alleviation” in connection with “management of fishing capacity” would be in line with this and a major potential basis for indicated future support by Sida.

14. SBF also mentioned that the formulation of a proposal for further cooperation should be done internally among SEAFDEC taking consideration to ASEAN policy and direction. Need for external technical assistance could be discussed in parallel.
15. The Meeting took note of the important role being placed on the SEAFDEC-WGRFP (Working Group on Regional Fisheries Policy) for SEAFDEC in general and for the implementation of the SEAFDEC-Sida Project.

Terms of Reference Senior Advisor

Below please find revised T.o.R valid upon signing of Minutes of the Annual Review Meeting with Swedish Board of Fisheries, December 2005 until the end of 2006.

Your duties and responsibilities are as follows:

- 1) To advise and technically support SEAFDEC in the implementation of the Swedish supported component “Human Resources Development on the Support of Implementation of the Code of Conduct for Responsible Fisheries Management for the ASEAN Region”, as well as in other respects to SEAFDEC.
- 2) To support the co-ordination among SEAFDEC Projects and the co-operation of SEAFDEC with other organisations in the region, as agreed between the concerned bodies/components.

Priority will be given to Swedish supported activities.

Examples of duties:

Expected involvement and activities to be undertaken during 2006 with reference to points 1) and 2) of the Contract:

- 1) SEAFDEC Programmes, such as:
 - “Human Resources Development on the Support of Implementation of the Code of Conduct for Responsible Fisheries Management for the ASEAN Region”
 - Activities related to Eco-labelling
 - Activities related to Co-management
 - Activities related to Rights-based Fisheries
 - Activities related to Indicators
 - Activities related to Subsidies
 - Activities related to Trade and Environment
 - Activities related to Post-Tsunami
 - Activities related to Establishment of Refugia
 - Activities related to inland fisheries
- 2) Coordination among SEAFDEC projects and co-operation of SEAFDEC with other organisations and projects, such as:
 - SEAFDEC Projects see above
 - UNEP/GEF South China Sea Project “Reversing Environmental Degradation Trends in the South China Sea and Gulf of Thailand”
 - FAO-Sida Strengthening the Capacity in Fisheries Information Gathering for Management
 - AIT Capacity building for Local Aquatic Resources Management (Aqua Outreach)
 - MRC Fisheries Programme
 - CORIN, IDRC, WWF, IUCN – programmes for local and participatory management, development of training materials
 - WorldFish Centre – Follow up to the Fish Fights for Fish Rights: Managing Exit from the Fisheries and Security Implications for Southeast Asia;

THEMATIC AND AREA FOCUS FOR NEXT STAGE OF SWEDISH SUPPORT

Continued support to the regional consultative process for promotion of capacity building and implementation of the **Code of Conduct for Responsible Fisheries**

Regional and national implications on fisheries management through the adoption of ASEAN member countries to international conventions

Strengthening of local fisheries management capacity in selected areas with identified target groups

Integrating fisheries management into habitat management (including development and testing of “refugia”, building an environment of cooperation among relevant agencies)

Management (addressing) fishing capacity at all levels small as well as large scale through appropriate fisheries management

Support to the works and involvement of the **Working Group on Regional Fisheries Policy**

Regional Network on HRD among projects and institutions related to fisheries, fisheries management and coastal/inland development

Two suggested focal areas:

Gulf of Thailand and trans-boundary management of “refugia” and fisheries involving Cambodia, Vietnam and Thailand (with a forward look to the management of fisheries in the Gulf as such – including Malaysia and Indonesia as well)

Andaman Sea (post Tsunami) including trans-boundary management of “refugia” and fisheries involving Indonesia, Malaysia, Thailand and Myanmar (seek some advise from Sida on the scale of involvement allowed with regard to Myanmar)

Through the Gulf of Thailand and the Andaman Sea six out of ten ASEAN Member Countries would be involved (not included are Lao PDR, the Philippines, Brunei Darussalam and Singapore).

Support to positions of Swedish resource persons

Based on similar arrangements as that with the MRC (or other arrangements of more practical) ensure that funds are provided to secure positions such as:

Senior Advisor

Based on the experiences of present intermediate or test period and with references to the request/wish of the organisation “formalise” the posting of a Senior Advisor at the SEAFDEC Secretariat. (T.o.R, qualifications, etc to be further developed.)

Associate Expert/BBE

Continue the support the position of an Associate Expert/BBE under same modalities as the present Associate Expert (Mr. Martin Bjerner)

SEAFDEC – Swedish Board of Fisheries, Sweden – Sida – ASEAN

TERMS OF REFERENCE

FOR

**STUDY ON ECO-LABELLING: PERCEPTIONS; PROSPECTS AND
OPPORTUNITIES FOR THE USE AND APPLICATIONS OF ECO-LABELLING
IN THE ASEAN REGION**

May 2005

Revised November 2005

BACKGROUND

Increasingly references have been made to the use and prospects of “eco-labeling” with regards to fish, fisheries and fish products and already on the occasion of the *ASEAN-SEAFDEC Conference on Sustainable Fisheries for Food Security in the New Millennium: “Fish for the People”*, the Senior Officials of ASEAN-SEAFDEC Member Countries met in Bangkok, Thailand on 24 November 2001 and agreed upon a Resolution and Plan of Action on Sustainable Fisheries for Food Security for the ASEAN Region, and in the Plan of Action, section D. Fish Trade under the third point it was recommended that ASEAN countries should **“Anticipate and address the potential impacts of eco-labeling of ASEAN fish and fishery products”**.

Without, in this background, to try to make any definitions on “eco-labeling” in the ASEAN region there are quite a variety of different actions done that if “standardized” could be considered as eco-labels or attempts of developing eco-labels, such as “mangrove friendly aquaculture”, production in accordance with a “code of conduct for sustainable shrimp farming”, “dolphin free tuna”, etc. Also at corporate level attempts are made to provide green labels also to meet increasing domestic demands for products developed in more sustainable ways.

In the recently held 26th Session of the FAO Committee on Fisheries (COFI), Eco-labeling was one of the points on the agenda. This was subsequently discussed at the Seventh Meeting of the ASEAN-SEAFDEC Fisheries Consultative Group (4 April 2005) and the Thirty-Seventh Meeting of the SEAFDEC Council (5-8 April 2005) in Hanoi. The discussions and recommendation were reflected in the report in the following way:

- 20 The Meeting took note of the discussion on fisheries-related issues, namely the CCRF, fisheries subsidies, CITES, **Eco-labelling**, Small-scale Fisheries (SSF), Marine Protected Areas (MPAs) and fisheries, sea turtles and fisheries, Eco-

system Approach to Fisheries (EAF), human capacity development in fisheries at the 26th Session of FAO Committee on fisheries (COFI).

- 21 After deliberation on the issues, the Meeting made the following recommendations to the follow-up the major issues:
- Fisheries subsidies – to develop criteria and lists of fisheries subsidies that should be permitted or prohibited.
 - CITES – to formulate and implement NPOA-Shark, to incorporate sea horse and sea cucumber in future programs of activity, and to support closer collaboration between SEAFDEC and ASEAN Expert Group on CITES.
 - **Eco-labelling – to conduct a regional study on eco-labelling from the regional view point as a basis for future consideration**
 - Sea turtles and fisheries – to conduct biological research and interaction between sea turtles and fishing to support management and conservation of sea turtles in the region as well as to develop information package on the issues for wider dissemination.
 - Small-scale fisheries – to share experience on regionalization of the CCRF focusing on small-scale fisheries and actively involve in future development on the issue with FAO.

These Terms of Reference are developed in response to the recommendation “**to conduct a regional study on eco-labelling from the regional view point as a basis for future consideration**”.

Planning and preparation meetings in Bangkok November 2005

A sequence of planning meetings was held in Bangkok (at SEAFDEC) during the period 2 – 10 November 2005. During these meetings staff from the SEAFDEC Secretariat took part, together with two resource persons from Sweden (Ms Ylva Mattsson, Swedish Board of Fisheries and Mr. Niklas Wennberg, Chairperson of the committee set up to standards and criteria for eco-labels on capture fisheries) and on resource person from Kasetsart University (Dr. Rattanawan Mungkung).

While noting that any specific system of eco-labels can not be copied from one situation to another or from one type of fisheries to another some clear recommendation was made with respect to future possible attempts to work out acceptable (for the fisheries and the environment) systems of eco-labels in that:

- The formulation and design needs to be process oriented and it needs to take “its time” to ensure understanding and acceptance by fishermen and consumers alike
- It needs to have its base in the “sector” with core groups formed around fishermen, traders, industry and retailers
- The process needs to be “internalized” in each of the countries and the region to ensure that it matches the fisheries and ecology of the region (in this respect the

experiences from Sweden is of relevance, not the outcome as such, in terms of how to drive “your own” process, still with references to global trends, based on local/regional needs and requirements

- Rewards, benefits and/or incentives must reach down to the people that are actually doing the fishing – **systems developed should give incentives benefits to people that are fishing and producing fisheries products in a sustainable way.**
- Criteria and standards should ideally reflect the principles of the **code of conduct for responsible fishing**

These points and others discussed during the meetings are noted here to emphasize the opportunities embedded in a process driven from within the region for more sustainable fisheries, even at village level, while at the same time pro-actively respond to requirements established by importing countries.

OBJECTIVE OF THE STUDY

The general objective of the study is to describe “the regional view point as a basis for future consideration” by reviewing *perceptions, prospects and opportunities for the use and applications of eco-labelling in the ASEAN region.*

More specifically the objective of the review is to:

- Report on the experiences, use and applications of eco-labels in the ASEAN Region
- Report on the potential usefulness of eco-labels as perceived or expressed from visited countries
- Specific reporting on the application, use and usefulness of existing attempts to develop eco-labelling systems

During a sequence of preparatory meetings in Bangkok 2 – 10 November 2005 these objectives were further specified in terms of actions to be made.

- Collect information on existing applications of eco-labels in the ASEAN region
- Analyze and describe the criteria and standards with references given to policies among member countries to implement sustainable fisheries (including the CCRF)
- Look at current fisheries management policies with a view as to way “eco-labels” could form an incentives for better fishing practices and processing
- Suggest /recommend practical steps to embark on a process to incorporate and implement eco-labeling as a tool to support sustainability

OUTPUTS

- A written review report on eco-labels in the ASEAN region with an executive summary
 - The report should be short, 10 pages (with annexes as needed), describing the analysis and suggestions made by the team, including suggestion on practical steps for future processes internalizing works and dialogues in the region related to eco-labels. Make reference to the readiness of ASEAN

METHOD OF WORK

The team will review and/or make reference to documents and reports on eco-labelling in the ASEAN region and specifically pay attention to the relevance of existing schemes as to its suitability to promote responsible fisheries and fish processing at various levels. The relevance will be assessed and verified through discussions with national institutions in the ASEAN countries and relevant regionally active organizations such as SEAFDEC, ASEAN, NACA, FAO-Bangkok, etc.

SEAFDEC will ask ASEAN member countries to provide information on eco-labels in each of the countries (see Annex 1: Questions to be asked to ASEAN Member Countries)

GENERAL POINTS

Assess the relevance of the focus on “eco-labelling” in terms of its potential importance for the ASEAN Region, the need for efforts from regional and national institutions to increase the knowledge of the availability, use and application; and its possible usefulness as an indicator of environmental “health” and to promote more sustainable production of fisheries products by giving benefits and/or incentives to fishermen and producers to act more responsible.

OTHER POINTS OF RELEVANCE

Capacity building and involvement

Review, as/if applicable capacities that has been built, including involvement of “local” groups in defining and applying eco-labelling schemes.

Expertise and internal and external resource persons

Review and comment, as applicable, on the availability of expertise and internal and external resource persons with regards to aspects related to eco-labelling on fisheries products – in the governments and/or in the “industry”.

Team members

Ms Ylva Mattson (Swedish Board of Fisheries)

Mr. Niklas Wennberg (Chairman of the Swedish Committee for the drafting of standards and criteria for capture fisheries)

Dr. Rattanawan Mungkung (Kasetsart University, Bangkok)

Dr. Mali

Contacts and correspondence with ASEAN member countries will be facilitated by the Working Group for Regional Fisheries Policy (WGRFP) based at SEAFDEC.

TIME AND SCHEDULE

November

- **Gather information on eco-labels in the ASEAN region**

Responsible: SEAFDEC Working Group through contacts with member countries

December

- **Desk study and continued gathering of information**

Responsible: Team members (SEAFDEC and Working Group as needed)

- **Initial analysis based on available documentation (activity could be finalized in January prior to visits to member countries and key organizations)**

Responsible: Team members (SEAFDEC and Working Group as needed)

- **Possibly another visit by Swedish resource person in mid-December**

Responsible: Swedish Team member

January

- **Mid to end January: Visits to member countries and key organizations**

- **Thailand: DOF, SEAFDEC, NACA, FAO/RAP, SEAFDEC TD**
- **Laos: DLF and MRC**
- **Singapore: DOF and MFRD**
- **Malaysia: MFRDMD, DOF and WorldFish Center**
- **Philippines: BFAR and AQD (and ADB)**
- **Indonesia: MAFF and ASEAN**

Responsible: Team members (divided for different destinations) and SEAFDEC Working Group members

- **Team members to start drafting their conclusions**

Responsible: Team members

February

- **Finalizing report of around 10 pages (plus Annexes as needed)**

Responsible: Team members

- **End February early March: present the report and its findings at a Regional Technical Consultation (RTC) on Trade and Environment. Recommendations from the RTC to be presented at the ASEAN-SEAFDEC FCG and Council**

Responsible: Team members and SEAFDEC

QUESTIONS TO BE ASKED TO ASEAN MEMBER COUNTRIES

1. Are any eco-label schemes active in the country?
Such as: Mangrove Friendly Shrimp farming, Dolphin Free Tuna, or other types of “green labels”
2. If, yes, please provide a copy on the structure, criteria and organization of the scheme.
3. Are there examples of companies and various brands that tries to promote their products by adding some “environmental” labels
Such as: organic food, pesticide free, free from antibiotics, etc or “social” labels like the OTOP in Thailand.
4. If, yes, please provide a copy or outline of the examples and, as available, information on the strategies behind using the green reference for the products
5. What is the position of the country at international for a with regards to eco-labels – could be indicated by providing a copy of statements at various meetings
6. As available, provide a copy of the general fisheries policy adopted by the country.

CONCEPT PROPOSAL

“SEAFDEC Proposal for activities in follow up to the Tsunami”

1. Introduction

This proposal is done in response to the recommendations made during the **ASEAN-SEAFDEC Fisheries Consultative Group** meeting in Hanoi, Vietnam (4 April 2005) and the preceding **Informal Consultations on SEAFDEC supports to fisheries relief programme for the Tsunami affected countries of ASEAN** (3 April 2005) and the adoption by the **SEAFDEC Council** of an **ASEAN-SEAFDEC “Plan of Action on its Regional Cooperation (Framework) for the Rehabilitation and Restoration of Fisheries in ASEAN Tsunami Affected Areas”** (*Annex 4.1*) urging SEAFDEC to identify areas of technical supports and “to identify and mobilise extra budgetary funding sources enabling the required regional assistance”. The Plan of Action is since the endorsement by ASEAN Ministers of Agriculture and Forestry (AMAF) also to be seen as part of the ASEAN policy framework.

This proposal is also developed based on requests from Sida to SEAFDEC and others, through the Swedish Board of Fisheries in an e-mail suggesting that “*If Seafdec would be interested of an additional support 2006-2007 (and possibly 2008?) for post-tsunami activities, I would like to propose that SEAFDEC,, possibly in collaboration with ASEAN Secretariat, propose such activities to Sida. A draft tentative proposal would be appreciated as a first step and a.s.a.p*”. In follow up to the suggested collaboration with the ASEAN Secretariat the proposal is developed with reference to the ASEAN-SEAFDEC Plan of Action referred to above.

2. Background

In the morning of Sunday, 26 December 2004, a tsunami triggered by the earthquake near Banda Aceh, West Coast of Northern Sumatra, hit the coastlines of many South and Southeast Asian countries, causing huge devastation to the areas and its people. As the wave directly hit some of the ASEAN countries, e.g. Indonesia, Malaysia, Myanmar, and Thailand, the fishing industries and communities in the areas have been severely damaged and the livelihoods of many poorer families have been destroyed. During the consultation in Hanoi in April 2005 it was recognised that in order to address the situation and to ensure effective and appropriate distribution of assistance, it was stated that coordination and cooperation among the national, regional and international efforts is urgently required.

The scale of the tsunami impact reported by the affected countries in the region namely Indonesia, Malaysia, Myanmar and Thailand varied between countries and localities. Substantial damage was noted, particularly in Indonesia and Thailand. The impacts of

Tsunami in coastal areas around the Indian Ocean bring about great deprivation of local population, specifically the poorer families, whose livelihoods largely depend on fisheries and aquaculture. A large number of fishers and members of their household have been killed, many of infrastructure and other facilities have been destroyed or damaged, and many of the community members have lost their housings and their fishing boats, engines and gears as well as aquaculture structure and facilities have been destroyed.

In defining activities to be taken to rehabilitate and restore fisheries and livelihoods it was, during the Consultations noted that large amounts of efforts and actions were already implemented and national plans for rehabilitation and reconstruction of fisheries by the affected countries ranging from immediate, medium and long-term time spans were developed.

3. SEAFDEC Initiatives Related to the Tsunami Disaster

The proposed framework for activities suggested in this document is based on and developed out of the “**ASEAN-SEAFDEC Plan of Action on Its Regional Cooperation for the Rehabilitation and Restoration of Fisheries in ASEAN Tsunami Affected Areas**” and the **Recommendations of potential areas for assistance from SEAFDEC made during the Informal Consultation** in Hanoi (April 3, 2005) referred to above. As stated during the ASEAN-SEAFDEC Fisheries Consultative Group Meeting (April 4, 2005) the Plan of Action is regarded as a framework for regional program development to appeal to donors for funding supports, and enhancing visibility of ASEAN and SEAFDEC in supporting the rehabilitation and restoration of fisheries affected by the Tsunami.

It should also be kept in mind that ASEAN-SEAFDEC FCG Meeting also recommended that based on the spirit and experience for rehabilitation of fisheries affected by the Tsunami, the Plan of Action could be used as a basis to support rehabilitation work for fisheries when dealing with any future large-scale natural disasters that give direct impact to fisheries sector in the region and SEAFDEC could play an important role in implementing such plan.

The priority areas for SEAFDEC assistance as identified by the tsunami affected Member Countries, as mentioned above, and recommendations made during the Informal Consultation and the ASEAN-SEAFDEC FCG Meeting were **endorsed by the SEAFDEC Council** to be incorporated into existing programs of activity or developed into new programs to appeal to donors for funding supports.

3.1 The role of SEAFDEC

The SEAFDEC **Council** also supported SEAFDEC to take a leading role in formulation and implementation of regional fisheries rehabilitation programs also in response to future large-scale natural disasters that give direct impact to fisheries of the region.

In accordance with the Plan of Action, the role of SEAFDEC is:

1. To formulate a regional cooperative framework including strategy and guiding principles to support the affected Member Countries and areas as well as their communities and people.
2. To identify areas of required technical supports based on the assessments made by the respective tsunami affected Member Countries.
3. To identify and mobilize donor supports for the required regional assistance.
4. To develop the required regional program identifying the appropriate scope of work and work plan in consultation with ASEAN and the affected Member Countries.
5. To coordinate the activities with programs developed by other organizations in the same areas on the required regional program.
6. To mobilize technical resources from SEAFDEC Departments and among the Member Countries.
7. To develop a regional information base to monitor the rehabilitation and restoring progress in the affected areas.
8. To continue to collaborate with the activities/program of the Consortium to Restore Shattered Livelihoods in Tsunami Devastated Nations (CONSRN)⁷.
9. To periodically evaluate the progress and impact of the regional programs and report the outcomes to ASEAN and the Member Countries and incorporate the regional programs into the national sustainable fisheries development.

4. Project concept

4.1 Goal/Development Objective

Rehabilitation and restoration of fisheries and livelihoods of fisher-folk in ASEAN Tsunami affected countries (through Regional Cooperation)

(A Goal statement is reflecting something to aim for but something that is beyond what is expected to be achieved during the lifetime or by the size of this project alone)

⁷ Comprises of the Bay of Bengal Programme – Intergovernmental Organisation (BOBP-IGO), the Food and Agriculture Organisation of the United Nations (FAO/RAP), the Network of Aquaculture Centres in Asia (NACA), the Southeast Asian Fisheries Development Center (SEAFDEC) and the WorldFish Center

4.2 Immediate Objective

To build up capacity at local level to survey and identify juveniles of commercial important species and areas of importance for spawning and nursery grounds

To build up capacity for fisheries management based on co-management approach integrating traditional practices and rights-based fisheries in support of poverty alleviation.

4.3 Outputs

- a) Awareness raising and capacity building provided to support rehabilitation activities, management of fisheries resources (and habitats) (including safety at sea): **Priority 70%**
- b) Policy advise and technical advise to on national fisheries rehabilitation and sustainable development provided: **Priority 20%**
- c) Impacts on fisheries and eco-system assessed: **Priority 10%**

These outputs are based on the recommendations made during the Informal Consultations on SEAFDEC supports to fisheries relief programme for the Tsunami affected countries of ASEAN (3 April 2005) and further discussed during the ASEAN-SEAFDEC Fisheries Consultative Group meeting in Hanoi, Vietnam (4 April 2005). The outputs are prioritized and weighted to allow for a strong focus on **poverty alleviation**.

Guidelines and references

In the implementation of suggested activities reference will be made to guidelines and plans of action prepared by SEAFDEC in dialogue with member countries and international organisations, such as ASEAN, FAO, WorldFish Centre, NACA and UNEP/GEF South China Sea Project.

These guidelines and references include:

- Regional Guidelines for the Code of Conduct for Responsible Fisheries: Fisheries Management
- Regional Guidelines on Co-management and Rights Based Fisheries
- Regional Guidelines on the Use of Indicators
- Regional Guidelines for establishment of Refugia

4.4 Activities

Awareness raising and capacity building provided to support rehabilitation activities, management of fisheries resources and habitats (including safety at sea)

- a) Priorities for fisheries management and management of areas of importance as nursery and spawning grounds (and for protection against future natural disasters)

- developed for the Andaman Sea applying criteria and indicators, including environmental, social, economic and legal indicators in support of **poverty alleviation**.
- b) Capacity building for co-managed fisheries and rehabilitation activities at village level for **poverty alleviation** in selected areas and countries (primarily Indonesia and Thailand)
 - c) Criteria developed to determine the national, sub-regional and trans-boundary significance of specific areas with respect to their importance to fisheries (such as spawning and nursery areas) and for protection against future natural disasters
 - d) Implement activities for awareness raising and capacity building at various levels on the management of fisheries and important habitats for fish reproduction and protection against future natural disasters (including needs to rehabilitate certain areas)

Policy advises and technical advises on national fisheries rehabilitation and sustainable development provided

- e) Review the criteria and indicators currently in use at the national level for decision making with respect to future use of fisheries areas (and coastal areas), with indications on any changes that have taken place since the Tsunami
- f) Prepare objective criteria and indicators, including components of socio-economic valuation, based on national needs and policies and experiences from the Tsunami, for use in providing advise on fisheries rehabilitation policy and action plan balancing fisheries and habitat aspect such as critical habitats for fish stock conservation and protection
- g) Provide a summary of all existing national legislation and institutional arrangements pertaining to management, and exploitation of fisheries and critical habitats for fish stock conservation and protection with analysis on their relevance in mitigating impacts of natural disasters.
- h) Organise meetings and other events among concerned people and institutions at national and local level in affected countries to share and discuss suitable policy and technical advises on national fisheries rehabilitation and sustainable development (with a focus on poorer coastal fisher-folk)

Impacts on fisheries and eco-systems assessed

- i) Review the existing data and information relating to fisheries and eco-systems being produced before and after the Tsunami with a view to identify the extent to which it is possible to assess the impact of the Tsunami on the fisheries including social, economic and environmental aspects.
- j) Specifically review how poorer fishing households and their livelihood have been affected by the Tsunami (on shore, off shore...)
- k) Prepare a regional synthesis of data and information regarding the distribution, extent and state of fisheries bordering the Andaman Sea including Indonesia, Malaysia, Myanmar and Thailand together with a review of threats to sustainable management of such fisheries (including aspects related to the Tsunami). (A

SEASOFIA for the Andaman Sea with indications on impacts by the Tsunami, including:

- a. The fisheries sector, including community dependence,
- b. Species of regional, global and/or trans-boundary significance,
- c. The importance of species in terms of landings, value, status and food security
- d. The biology and ecology of the priority species,
- e. Fishery status and threats,
- f. Aquaculture status and threats
- g. Habitats and areas of importance in the maintenance of exploited fish stocks, and
- h. Current management regimes.
- i. National level activities designed to enhance fish stocks and manage fisheries

Planning and consultations

- l) Regional Technical Consultation to work out details for activities to be implemented in dialogue with affected member countries, other member countries and relevant international local organizations and institutions.
- m) Periodically evaluate the progress and impact of the regional programs and report the outcomes to ASEAN and the Member Countries and incorporate the regional programs into the national sustainable fisheries development

4.5 Project process

The process of implementation and the more detailed activity planning will, as in other ASEAN - SEAFDEC activities build upon consultations and consensus building among member countries and relevant organizations.

Regional level dialogue

Starting point will be a Regional Technical Consultation among expertise and relevant organisations from each of the affected countries – including some of the local NGO's that have been instrumental in the rehabilitation and recovery, such as the Laot in Bandar Ache. The consultation will also include members of the CONSRN as indicated in the Plan of Action by the SEAFDEC Council “To continue to collaborate with the activities/program of Consortium to Restore Shattered Livelihoods in Tsunami-Devastated Nations (CONSRN). Members of CONSRN are SEAFDEC, FAO/RAP, NACA, WorldFish Center and BOBP-IGO. To ensure inputs on social aspects and the need to focus on smaller coastal household as well as in how to address disasters preparedness in general it is recommended that also ICSF (International Collective Support for Fish-workers) and ADPC (Asian Disaster Preparedness Center) are invited.

National level dialogue and Local level dialogue & activities (dependent upon budget and agreed scope of initiative)

Following the recommendations consultations, meetings, training, information gathering and direct interventions will be organized.

A Strategic Action Programme developed under the UNEP/GEF South China Sea Project could, adjusted to the situation in the Andaman Sea and impacts of the Tsunami, be an indication on what kind of elements that would need to be addressed in the process (see Annex 3.2)

4.6 Legislation and codes in support of the process to develop a management frame work and support the rehabilitation

Legal and institutional framework related to project implementation and the achievements of outputs and reaching objectives needs to be clarified.

5. Special consideration on the relevance and feasibility of the proposed framework

Relevance

The suggested project is highly relevant in that it addresses the restoration of livelihood and rehabilitation of Tsunami affected areas and while doing building in systems to mitigate impacts of future natural disasters. The specific focus on fisheries implies a special relevance for **poorer groups** of people and fishing villages along the Andaman Sea coasts. Furthermore, the focus on finding balances between needs to protect import stocks and reproductive habitats to manage fisheries in a sustainable way implies an **environmental relevance** as well as a clear relevance in terms of support to **poverty alleviation**.

By being in line with the ASEAN-SEAFDEC “Plan of Action” the suggested interventions are also of stated relevance for **ASEAN Member Countries**

Feasibility

The feasibility of the suggested project is ensured by building among a process of consultations and consensus building among ASEAN-SEAFDEC Countries and institutions in each of the affected countries. Collaboration and cooperation with other initiatives at regional and national level will seek to ensure that activities and results fits into the existing structures of the countries and at local level and thereby possible to incorporate and link to other activities.

Technical feasibility is also sought by building upon experiences and methods developed by other projects and initiatives such as the UNEP/GEF South China Sea Project thereby

trying to ensure that similar concepts and perspectives to those of the Gulf of Thailand and South China Sea are also developed in the Andaman Sea, including corresponding HRD programmes.

Institutional set-up and governance

The project would in its implementation build upon existing structures, linking to initiatives already embarked upon in Tsunami rehabilitation and restoration, and other initiatives in the region as well as the countries, such as the CONSRN referred to above as well as ICSF and ADCP. With the specific focus on fisheries and eco-systems/habitats of special importance for the fish stocks fisheries departments and related ministries will be a natural point of entry. The set-up will have slightly different features in different countries.

Dialogue with the ICSF and community organization like the Laot, active in the post-Tsunami work, should be a common feature to ensure that questions on local involvement and empowerment including strengthening of local management capacity (rights based fisheries, etc) are based on the local needs and requirements. In the process it could be a need to strengthen the local fisheries administration (district and province) to match the requirements expressed from village level.

Swedish contribution and budget

A possible budget allocation of SEK 8 million have been indicated for a two to three year period. In the process of implementation it is anticipated that some budget will be used for the appropriate physical assistance to be identified through field exercises. Budget will be further developed when known the amount to budget for.

Sustainability

Basically, sustainability rests with the general thrust to build upon existing structures (legal and institutional) and strengthen those (local and national) where needed to implement programmes for sustainable fisheries based ecological requirements to maintain fish stocks and important coastal habitats.

Social sustainability will be sought through consultations and involvement of village households dependent on fisheries in various forms, both in planning and implementation. Groups like Laot and the Mangrove Action Project will be important partners in the process to seek social sustainability and it is important to maintain a dialogue with ICSF.

Mitigating future natural disasters: The experience and the rehabilitation work taken place since the Tsunami will be built into the process to develop the management framework for the fisheries in the Andaman Sea in a way that would include actions (or avoiding destructive practices) to mitigate impacts of future natural disasters.

Cross-cutting issues

Gender

HIV/AIDS

Environment

Capacity building

ASEAN-SEAFDEC PLAN OF ACTION ON REGIONAL COOPERATION FOR THE REHABILITATION AND RESTORATION OF FISHERIES IN THE ASEAN TSUNAMI AFFECTED AREAS

We, the representatives of the fisheries sector of the ASEAN and SEAFDEC Member Countries (the Member Countries), expressed our sincere sympathy to Indonesia, Malaysia, Myanmar and Thailand and their people who are the victims and affected by unprecedented and devastated scale of earthquake and tsunami on 26 December 2004,

Recognizing the sovereign rights and policy of each affected Member Country and cultural context of coastal community,

Recognizing the different scales of damages of the tsunami impacts in each affected Member Country and their localities,

Acknowledging the importance and guidance given in the ASEAN Declaration on Action to Strengthen Emergency Relief, Rehabilitation, Reconstruction and Prevention on the Aftermath of Earthquake and Tsunami Disaster of 26 December 2004⁸,

Recognizing the direction for rehabilitation and restoration of fisheries given in the 2005 Rome Declaration on Fisheries and the Tsunami⁹ as well as the initiatives of the Consortium to Restore Shattered Livelihoods in Tsunami Devastated Nations¹⁰ (CONSRN),

Recognizing the major role of SEAFDEC in fisheries development in Southeast Asia and its potential contributions in rehabilitation and restoration of fisheries as well as coastal communities in the Tsunami affected countries in ASEAN region.

Taking into consideration the resource capacity of SEAFDEC and the Member Countries on the scale, timeframe and competency needed for supports to the rehabilitation and restoration of fisheries for the tsunami affected areas,

Hereby agreed the following Plan of Action to assist fishers, fish farmers and their communities on the rehabilitation of their livelihoods and restoration of fisheries:

⁸ Adopted by the Special ASEAN Leaders' Meeting on Aftermath of Earthquake and Tsunami held in Jakarta, Indonesia on 6 January 2005

⁹ Adopted by the FAO Ministerial Meeting on Fisheries held in Rome, Italy on 12 March 2005

¹⁰ Comprises of the Bay of Bengal Programme – Intergovernmental Organization (BOBP-IGO), the Food and Agriculture Organization of the United Nations (FAO/RAP), the Network of Aquaculture Centres in Asia-Pacific (NACA), the Southeast Asian Fisheries Development Center (SEAFDEC), and the WorldFish Center (WorldFish).

10. To formulate a regional cooperative framework including strategy and guiding principles to support the affected Member Countries and areas as well as their communities and people.
11. To identify areas of required technical supports based on the assessments made by the respective tsunami affected Member Countries.
12. To identify and mobilize donor supports for the required regional assistance.
13. To develop the required regional program identifying the appropriate scope of work and work plan in consultation with ASEAN and the affected Member Countries.
14. To coordinate the activities with programs developed by other organizations in the same areas on the required regional program.
15. To mobilize technical resources from SEAFDEC Departments and among the Member Countries.
16. To develop a regional information base to monitor the rehabilitation and restoring progress in the affected areas.
17. To continue to collaborate with the activities/program of the Consortium to Restore Shattered Livelihoods in Tsunami Devastated Nations (CONSRN).
18. To periodically evaluate the progress and impact of the regional programs and report the outcomes to ASEAN and the Member Countries and incorporate the regional programs into the national sustainable fisheries development.

We, further agreed that SEAFDEC implements the above Plan of Action in close consultation with the Member Countries.

STRATEGIC ACTION PROGRAMME FOR THE ANDAMAN SEA AND ADJACENT WATERS (borrowed from the UNEP/GEF South China Sea Project)

PROPOSED TARGETS

- By 2007 to determine regional catch levels of key economic/commercially important species according to levels that are economically welfare maximising, while still preserving the resource base;
- By the year 2007, to have established a regional system of areas that need special consideration and protection for fishery stock conservation, care for endangered species, rehabilitation of Tsunami affected areas and mitigation against future natural disasters;
- By the year 2007 to have prepared and implemented at chosen sites, a management system that will sustain the exploited resources and to mitigate effects of future disasters (based on co-management approaches).

PROPOSED ACTIVITIES AT THE REGIONAL LEVEL

- Develop criteria for selection of marine habitats and areas critical to the maintenance of regionally important fish stocks, particularly those of trans-boundary significance, and for Tsunami rehabilitation and mitigation against future disasters;
- Identify and prioritise specific areas for future management and protection and develop regional and national action plans to develop a regional system of *refugia* for maintenance of regionally important fish stocks;
- Develop and establish management regimes for the identified areas (based on co-management);
- Review destructive fishing activities with the aim of removing and replacing them;
- Review fisheries management systems;
- Review compliance to international fisheries conventions.

PROPOSED ACTIVITIES AT THE NATIONAL LEVEL

- Establish system to protect important nursery grounds and spawning areas in areas identified as critical habitats for fish stock conservation and protection of endangered species;
- Implement programmes to provide information on fish stocks conservation and sustainable fisheries practices (including efforts to mitigate effects of future natural disasters) among small and artisanal fishing communities;
- Conduct resource assessment of fishery resources to determine the level of optimal catch and effort for different fishing grounds in the region;
- Develop educational and public awareness materials on sustainable fishery practices for dissemination in countries;
- Establish in selected pilot sites a good management system based on co-management which can be tested to determine if it is leading to sustainable exploitation of resources while maintaining and restoring coastal features (mangroves, corals, etc) to protect against impacts of future natural disasters;
- Promote the **Code of Conduct for Responsible Fisheries** through workshops, awareness building, translate into local languages and educate people about the Code.

**Report November 2005 on progress of the SEAFDEC-Sida
Collaborative Programme on: Human Resource Development on the
Support of Implementation of the Code of Conduct for Responsible
Fisheries Management for the ASEAN Region**

Preamble (and summary)

From meetings, reports and other indications highlighted during the process it is clear that in the ASEAN region **the major issue with regards to fisheries management relates to the management of fishing capacity and to reduce over-capacity** – be it large-scale or small-scale, seasonal or the whole year, site specific or more general.

Introduction

On request/suggestion by the NBF the reporting is with **reference to outputs** and activities as indicated in original project proposal. The project document identifies four “specific objectives” formulated as outputs these objectives would imply:

- 1) Awareness enhanced of the necessity of appropriate fisheries management to achieve sustainable development (central and local)
- 2) Stakeholders advised on the mechanisms of innovative fisheries management system
- 3) Human resource development activities promoted on fisheries management with identified target groups
- 4) Various options identified to alleviate the problems caused by excessive levels of fishing capacity

In the project document “activities” were not developed for each of the Outputs but rather being more general in terms of included/suggested activities being able to contribute to more than one output. The project document mentioned nine activities that should be implemented “step by step”. Furthermore, it is obvious that activities implemented to achieve outputs 2), 3) and 4) would include elements that will be part of achieving output 1). For example, to promote HRD on fisheries management you need to increase the awareness on the necessity of appropriate fisheries management or to identify options to alleviate problems caused by excessive fishing capacity you need to increase the awareness on the problem and the necessity to address that with regards to appropriate fisheries management.

There is no specific output for HRD related to the reduction of “Fishing Capacity” but as

the two “Components”¹¹ of the project states this is expected and promotion of HRD related to fishing capacity will be seen as a part of Output 3) referring to HRD on fisheries management.

To match the focus on HRD, as indicated in the title of the project, the order of the outputs has, for the sake of more easy reporting been changed starting with the one related to the promotion of HRD.

The progress of the project and scope and directions for activities to be implemented are presented, discussed and endorsed annually at *Annual Meetings of the Program Committee of SEAFDEC, Annual Meetings of the ASEAN-SEAFDEC Fisheries Consultative and the Annual Meeting of the Council of SEAFDEC*

PROGRESS WITH REFERENCE TO OUTPUTS

1) HUMAN RESOURCE DEVELOPMENT ACTIVITIES PROMOTED ON FISHERIES MANAGEMENT WITH IDENTIFIED TARGET GROUPS

The project implementation has followed a process oriented (step by step) approach, seeking consensus and recommendations from ASEAN-SEAFDEC member countries along the way. This approach was specified in the project document. To set directions and priorities a sequence of regional consultations and meetings were organised by the project:

1. *Co-organization of the ASEAN-SEAFDEC Regional Workshop on Human Resource Development in Fisheries, Kuala Lumpur, Malaysia, 20 – 23 February 2004*
2. *Organization of the ASEAN-SEAFDEC Regional Technical Consultation on Human Resource Development in Fisheries Management, Phnom Penh, Cambodia, 3 – 6 June 2004*
3. *Organization of the ASEAN-SEAFDEC Preparatory Expert Meeting on Fishing Capacity and Related Human Resource Development Needs in the ASEAN Region, Bangkok, Thailand, 14 – 16 September 2004*

Reporting on these three meetings were done in the Annual Report for 2004 but in summary it is worth recapturing that during the meeting in Kuala Lumpur **a strategy for HRD in fisheries** were developed and an increased awareness on the need to address also non-technical aspects were documented in terms of stating that there is a need to “*integrate social, environmental, legal and other issues*”. This message has been a central part in subsequent activities as an important element in defining appropriate

¹¹ These two Components are: 1) HRD Activities with respect to the priority issues contained in the Regional Guidelines for the Fisheries Management of the Code of Conduct for Responsible Fisheries; 2) HRD activities on the issues related to the reduction of “Fishing Capacity” that can be a key achieve sustainable fisheries in the region

fisheries management (in line with the CCRF), in order to address fishing capacity and to achieve sustainability.

The Regional Technical Consultation (RTC) in Phnom Penh were important in terms of defining the directions and priorities to take. The RTC indicated two parallel tracks a) **fisheries management (and habitat management)** and b) **over fishing capacity** (more below under Output 4). The need to integrate social, legal and environmental aspects was confirmed and the meeting came up with three “thematic” thrusts of priorities in defining priority areas for HRD, namely:

- Management of over fishing capacity
- Strengthening of local fisheries management capacity
- Integrating fisheries management into habitat management

Further references to activities undertaken in relation to the management and reduction of Fishing Capacity are described below under “Output 4”

In the regional technical and expert meetings organised it was made clear by the participants that “HRD in fisheries is specific to the national situation” and the project was recommended to embark upon a “pilot process” in a representative set of countries. This pilot process involves a sequence of meetings, workshops and on-site training in four countries, Cambodia, Indonesia, Thailand and Vietnam, addressing both capacity issues and fisheries management in general. Experiences from the processes will be shared at the regional level. The pilot process have been the main focus for activities during 2005

By recommendation from ASEAN-SEAFDEC member countries the pilot process is building human capacity in a sequence of learning-by-doing events through meetings and workshops, using local resource persons to be able to conduct the events in national languages and to incorporate local experiences. Target groups are organisations of relevance to fisheries management at various levels, fishermen, local and national administrations and others involved in fisheries.

The workshops and on-site trainings have through its basis in experiences from programmes and projects in the four representative countries also been able to build up sets of information and presentation that will form the basis for the “*preparation and publication of training materials using the regional guidelines of the fisheries management of the Code of Conduct for Responsible Fisheries (RCCRF)*” (Activity 1) These will be made available in both national languages (*translation and publication in national languages – Activity 3*) and English. Through the documentation, presentations and references that have been included in meetings and on-site training so far there are a good basis to further work on the “*preparation and publication of the required training materials (specific and detailed training materials) on the mitigation of fishing capacity*” (Activity 8).

Through the “*organization of the Regional Consultation Meetings*”(Activity 2) and

through the “*organization of the Regional Expert Consultation for Fishing Capacity*”(Activity 4) the project have been able to contribute to the “*identification of the problem areas and target groups of the human resource development activities on fishing capacity based on the compilation and analysis of the collected data on fishing capacity*” (Activity 7). The Project Staff has followed that up with participation in meetings/training organised by others (such as the WorldFish Centre, Fish Fights for Fish Rights Project). More aspects with specific reference to fishing capacity is explained in section 4 below, but on the question that falls under this section (or output) on “HRD activities promoted on fisheries management with specific target groups” – to identify target groups for human resource development activities on fishing capacity – the response is clear in that target group is the same as for fisheries management in general ranging from fisheries (and others) government administrators at various levels, provincial and local authorities, local government units, fishermen and fisher-folk as well as other stakeholders. This is also reflected in the statement in the preamble that “the” management issue for fisheries is the management of capacity. The results and progress of this stage is reflected in the Progress Report for 2004.

The major focus, as mentioned above has during 2005 been the implementation of the “pilot process” in Cambodia, Indonesia, Thailand and Vietnam respectively. With a general thrust to promote HRD in fisheries management the other three outputs have been addressed in the process – specifically the question of reducing over-fishing capacity.

In each of the four countries the pilot process was initiated through the organisation of planning meetings with key representatives from the fisheries agencies to explain the objectives of the process and to establish the scope and priorities of the process including targets groups at various levels, priority areas (reflecting the situation in the countries), key issues with respect to **fisheries management and the management of fishing capacity**, and what organisations to involve in the process. The progress of the pilot processes in the four countries is summarised in the section below.

The pilot process in Cambodia

Cambodia exemplifies a country that are in the process of re-establish its institutional structures and trying to economically and socially recover from the Khmer Rouge regime. The situation in Cambodia is also a bit special, apart from the need to build up a functioning system for fisheries management in coastal areas, in that many programmes building capacity at local level for environmental and natural resources management at province and commune level has been run by others than the Department of Fisheries (DOF) even when fishing activities has been involved. Hence, the planning was done in two stages to also involve the Ministry of Environment, IDRC and others. In terms of fisheries programmes have mainly had a strong focus on inland fisheries.

In the Cambodian scenario the need to integrate social, legal and environmental aspects was emphasised and a continued follow up on the three “thematic” thrusts identified at the RTC’s was seen as appropriate , namely: a) Management of over fishing capacity; b) Strengthening of local fisheries management capacity; c) Integrating fisheries

management into habitat management. The latter point further emphasised through the role of the Ministry of Environment (MOE) in implementing habitat related projects and projects for Coastal Zone Management. For this pilot process to promote HRD activities it was recommended that the whole of the coastline with all coastal provinces should be included in the process. A sequence of one national workshop and two “on-site-training” events should be held providing awareness-raising and training including aspects of three points mentioned above (*on-site-training in fisheries management and fishing capacity – Activities 5 and 9*). Participants should be invited from Koh Kong, Sihanoukville, Kep and Kampot (fishermen, province fisheries administration and commune council member) as well as from Phnom Penh (DOF, MOE and WorldFish Centre). The meetings should be held in Khmer and training/experiences to be shared should be based on activities and projects, of relevance to Code of Conduct for Responsible Fisheries, implemented in Cambodia

Activities implemented so far in Cambodia, includes:

- 1. Organization of the planning meetings and consultations for pilot process in Phnom Penh, Cambodia, 9 – 10 February 2005 (8 participants) and 17 March 2005 (16 participants)**
- 2. Organization of the National Workshop for Human Resource Development in Phnom Penh, Cambodia, 6 – 8 July 2005 (53 participants)**
- 3. Organization of on-site training in Kampot, Cambodia (70 participants), 20 – 22 September 2005**

Already the planning meetings were successful in terms of creating some awareness and insights in different aspects of coastal and fisheries development in Cambodia and the way it has been addressed by various institutions/projects. In the national workshop, with participants from all four coastal provinces and Phnom Penh, a more general picture of the coastal Cambodia was provided and together with problems and ways in which these have been addressed. In the on-site-training resource persons gave presentations/lectures with more specific reference to the experiences of Kampot. Participants included 10 from Koh Kong, 10 from Sihanoukville, 5 from Kep and 15 from Kampot and remaining from Phnom Penh. Good examples were given from experiences in Cambodia, on links between habitat and fisheries management (in mangroves), on conflicts between various groups of fishermen as a result of *over-capacity*, and on community based management including the Community Fisheries¹² (more on this under sections 2 – 4, below). For government officials the event was also positive in terms of training in showing that you actually can build in fishermen and villagers as resource persons in the presentations. Following the events so far a request emerged to organise a workshop/training for central DOF to view its current measures to manage fishing capacity and to manage fisheries as a whole in the perspective of compliance with the CCRF.

The pilot process in Cambodia is one step ahead of that in the other countries and will be followed up with an “on-site-training” in Koh Kong first quarter next year. Preparations

¹² Refers to community fisheries organisations set up under the Sub-decree on Community Fisheries

have also been started to establish a working group or consultancy group to develop a set of training modules in Khmer based on presentations/lectures given and other information provided by the group.

The pilot process in Indonesia

Indonesia exemplifies one of the archipelagic states in the region. Indonesia is also the most populated country in the region and, as underlined during the planning meeting in Jakarta, with a population that is very unevenly spread.

In the Indonesian context the importance to integrate social, legal and environmental aspects was again emphasised and a continued follow up on the three “thematic” thrusts identified at the RTC’s was seen as appropriate, namely: a) Management of over fishing capacity; b) Strengthening of local fisheries management capacity; c) Integrating fisheries management into habitat management. It was stressed that interventions and training needed to be designed to “match the local culture”.

The organisational focus has so far been with the Ministry of Marine Affairs and Fisheries (MAFF) and various departments linked to the MAFF. A positive, for the project, thrust in process so far has been that the MAFF has taken on the process and used the opportunity for its own planning purposes of its of HRD planning, trying to develop and build on district models, etc. It was made clear that Indonesia have fairly well established training programmes for fisheries, educational centres and universities and presentations on the content of existing training were made during the planning meeting. Basically existing training has quite a technical orientation hence the acknowledged need to incorporate social, legal and environmental aspects. Having said that and in the perspective of the specific situation in Indonesia the focus of the activities under the pilot process has been to “promote HRD on fisheries management” rather than the implementation of HRD as such which is well in line with scope of this output.

For the purpose of the pilot process and the need to increase awareness and to promote HRD the planning meeting highlighted two distinctly different management scenarios based on the complexity of capture fisheries in Indonesia; 1) high population density with many people involved in traditional and small-scale fishing activities in **coastal waters off Java** vs. 2) less people and traditional/small-scale fishing but with many companies involved in fishing in **eastern part of Indonesia** implying that different strategies need to be developed to implement the CCRF and to manage fisheries and specifically fishing capacity.

Activities implemented so far in Indonesia, includes:

- 1. The organization of the planning meeting for pilot process in Indonesia, Jakarta, Indonesia, 28 June 2005 (20 participants)*
- 2. Organization of National Workshop for Human Resource Development in Jakarta, Indonesia, 27 – 29 September 2005 (40 participants)*

The national workshop became an opportunity for the MAFF to plan for HRD programmes focusing on different characteristics of the fisheries – in both cases with the issue of **how to manage capacity** in the forefront. Elements of training/lectures during the meeting consisted of presentations of the situation in northeast Java (specifically related to aquaculture) and of traditional management practices (Awig Awig) in Lombok Timur. Recognition were made on the benefits of the traditional system and district models to be developed should incorporate those were available. HRD should also include training in understanding of the traditional systems and their relevance for the implementation of the CCRF.

The meeting resulted in an activity plan with assigned implementing agencies, time lines, etc for the MAFF and its units to be implemented by the MAFF including two on-site-training events (one in northeast Java, on aquaculture, and one in Lombok Timur, on the Awig Awig) and two studies to be made as inputs and background material for the on-site-training. The training in Java with its focus on aquaculture is beyond the scope of this project and will be supported by the MAFF. As for the on-site-training in Lombok Timur this will be supported by the project as part of the pilot process as well as the two studies – one on the Awig Awig and another on implications for fisheries management and fishing capacity as a result of growth in aquaculture. The on-site-training will take place during the first quarter of 2006.

The pilot process in Thailand

Thailand exemplifies a highly developed fishing nation being one of the world's largest exporters of fisheries products. A very large commercial fishing fleet is fishing in Thai waters as well as in distant waters as far away as off Africa. Still along the coast many small coastal villages are dependent on small-scale near shore fishing. These villages are also among the poorer groups. The resources are threatened by over-fishing both through large and small scale operations, through destructive fishing, through habitat destruction and through coastal developments.

Given the fabric of the Thai fisheries there is also in Thailand a need to integrate social, legal and environmental aspects and a focus on the three “thematic” thrusts identified at the RTC's, namely: a) Management of over fishing capacity; b) Strengthening of local fisheries management capacity; c) Integrating fisheries management into habitat management. The relevance was confirmed during the planning meetings.

During the planning it was at the onset recommended to keep a link to major projects such as the CHARM project (local fisheries management capacity) and the UNEP/GEF South China Sea Project (integrating fisheries management into habitat management). Management of fishing capacity is the major challenge and presently there are conflicts between groups of fishermen as a result of the large pressure on the resources. In response to the recommendation UNEP/GEF South China Sea Project and CHARM were invited to the second planning meeting together with experts from Kasetsart University

and Prince of Songkla University (CORIN). The result being that the planning meeting developed into a seminar where especially the three thematic areas were discussed together with views on how to address those in HRD programmes at various levels.

Activities implemented so far in Thailand, includes:

- 1) Organization of planning meetings for pilot process in Bangkok, Thailand, 24 February 2005 (4 participants) and 28 June 2006 (15 participants)
- 2) Organization of National Workshop in Koh Chang, Trat Province, Thailand, 2 – 4 August 2005 (30 participants)

To reflect the management issues related to fisheries in Thailand the Project were recommended to focus on selected number of provinces, namely Satun and Trang on the Andaman Sea and Trat with Koh Chang in the Gulf of Thailand. Subsequently, the national workshop was organised in Koh Chang, Trat Province, thus in practice also becoming an on-site-training event that was conducted in Thai. In the meeting participants included fishermen, tambon and province administration from Satun, Trang and Trad Provinces together with people from DOF, Kasetsart University, CORIN and key projects such as CHARM, UNEP/GEF South China Sea Project and the Mangrove Action Project. Koh Chang and Trad are demonstration sites for mangroves and coral reefs under the UNEP/GEF South China Sea Project. The major management challenge for fisheries presented and discussed during the meeting was again over-fishing and conflicts between groups of fishermen, and degradation of habitats through shrimp-farming and destructive fishing. Responses suggested included limiting access, rights-based fisheries, establishment of refugia, facilitate the creation of alternative/supplementary employment opportunities, etc.

The workshop/on-site-training will be followed up with an on-site-training to be held in Satun and Trang Provinces early 2006 that would also include post-tsunami responses. Parallel to this a group (or consultancy) will be asked to develop a sequence of training modules in Thai based on the experiences from some of the presented cases and experiences.

The pilot process in Vietnam

Vietnam exemplifies a country that is in transition from a centralistic and communist planning structure to more modern market based planning models. This process involves the fishing sectors as well as other sectors and areas throughout the country. In the process it is also in Vietnam important to look beyond “technical solutions” by integrating social, legal and environmental aspects as recognised during the planning meeting. The planning meeting also recognised the relevance of the three “thematic” thrusts identified at the RTC’s, namely: a) Management of over fishing capacity; b) Strengthening of local fisheries management capacity; c) Integrating fisheries management into habitat management.

In a process to promote HRD activities for fisheries management and to address the issue

of fishing capacity the meeting recommended to hold a national workshop with presentations from relevant projects such as the Danida Fisheries Sector Support, Norad and the new fishing law, UNEP/GEF South China Sea Project as well as from other ministries like the Ministry of Natural Resources and Environment. To cover some of the different situations in terms of fisheries in Vietnam it was recommended that at least three provinces should be invited; Kien Giang (with Phu Quoc), one province in central Vietnam and one province in the Haiphong/Ha Long Bay area.

Activities implemented in Vietnam so far, includes:

- 1) Organization of the planning meeting for pilot process in Hanoi, Vietnam, 13 July 2005 (26 participants)
- 2) Organization of National Workshop in Do Son, Vietnam, 4 – 6 October 2005 (34 participants)

The national workshop organised in Do Son gathered, as recommended, provincial fisheries administration from Kien Giang, Quang Binh and Haiphong Provinces together with staff from Ministry of Fisheries and key projects such as those mentioned above. The meeting was informative in giving a perspective to different projects, their rationale including approaches to HRD. The Danida project is developing an HRD plan for the fishing sector and welcomed comments and cooperation. The three provinces were also clear in emphasising the need for HRD at provincial level both among the DOFI staff as well as among fishermen. In Kien Giang and Haiphong they also highlighted the problem they are facing with over capacity. Kien Giang/Phu Quoc is also a demonstration site for the UNEP/GEF Project (Coral Reef and Seagrasses). Kien Giang and Haiphong were also facing trans-boundary issues with (sea borders to) Cambodia and China, respectively and for Quang Binh, being one of the poorer provinces, fisheries is very important to many villages.

In follow up it was suggested to organise on-site-training in the provinces (one or more). A suggestion made during the meeting was to start with Kien Giang early 2006.

Promoting HRD in Fisheries management through dialogue with other organisations and projects

Part of the strategy to **promote HRD on fisheries management** – and the **management of fishing capacity** – with identified target groups has been to actively involve project staff in meetings and workshops organised by other institutions and projects including other events organised by SEAFDEC. The strategy has two purposes; one to **share experiences and results from the project** and the pilot processes and the other to **gain experiences** on matters of relevance to fisheries management in general and the three “thrusters” identified during the RTC’s, namely;

- a) Management of over fishing capacity;
- b) Strengthening of local fisheries management capacity;
- c) Integrating fisheries management into habitat management.

This cooperation and involvement in related activities has made it possible to **invite good resource persons** with relevant experiences to workshops and on-site-training organised by the project while at the same time *enhance awareness of the necessity of appropriate fisheries management to achieve sustainable development*.

Annex 1 provides a list of events attended by Project Staff in the process of coordination with other relevant programmes and projects.

2) AWARENESS ENHANCED OF THE NECESSITY OF APPROPRIATE FISHERIES MANAGEMENT TO ACHIEVE SUSTAINABLE DEVELOPMENT (CENTRAL AND LOCAL)

The three Regional Technical and Expert Consultations (RTC's) during 2004 was important in terms of being instrumental in enhancing and confirming the awareness of the need to address not only "technical aspects" in fisheries management but also to prioritise social, legal, environmental and economical aspects to promote and achieve appropriate fisheries management.

To "**integrate social, environmental, legal and other issues**" is a key message that has been an important part in subsequent activities as a central element in defining "**appropriate fisheries management**" (in line with the CCRF) and to achieve sustainability. Central in the work by the Project to enhance the awareness on the necessity of appropriate fisheries management has been the three Regional Technical and Expert Consultations (RTC's) referred to in previous section on promotion of HRD together with the sequence of planning meetings, workshops and on-site-training held in the four "representative countries".

Without repeating the sequence of workshops and meetings described in the previous section it is important in this context – and to show how the Project is achieving this Output – to state that an emphasis has been given in all activities if referring to "appropriateness" this should have its base in positive social and environmental impacts on actions taken (or lack of action). This should be emphasised in all the three thrusts that has been recommended by the RTC's, namely:

- a) Management of over fishing capacity;
- b) Strengthening of local fisheries management capacity;
- c) Integrating fisheries management into habitat management.

Important in the process is to provide management responses that also supportive in efforts to help alleviate poverty. The **social, environmental and economic aspects** and the need to work towards **poverty alleviation** have also been messages forwarded at other events to give a meaning to the word "appropriate" or "sustainable" if that's the word being used. It has been important to emphasise these aspects (and thereby raise some awareness) during meetings and conferences such as those on indicators for sustainable management, reversing environment degradation trends, reduction of fishing capacity, managing exit from fisheries, rights-based fisheries for small-scale fisheries, tsunami response meetings, low value and "trash fish", adaptive management and other

events in which project staff have been participating. The list of meetings attended is provided in *Annex 5.1*.

3) VARIOUS OPTIONS IDENTIFIED TO ALLEVIATE THE PROBLEMS CAUSED BY EXCESSIVE LEVELS OF FISHING CAPACITY

In the section above on promotion of HRD activities for fisheries management with identified target groups, references were made to the ways in which the Project have addressed management of fishing capacity in the promotion of HRD at various levels (*refers to Activity 9*). A specific attention was given to fishing capacity during the ASEAN-SEAFDEC Regional Technical Consultation on Human Resource Development in Fisheries Management, Phnom Penh, Cambodia, 3 – 6 June 2004 (*Activity 2*). In follow up to the recommendation from that RTC SEAFDEC organised an ASEAN-SEAFDEC Preparatory Expert Meeting on Fishing Capacity and Related Human Resource Development Needs in the ASEAN Region, Bangkok, Thailand, 14 – 16 September 2004 (*Activity 4*).

The message from these and other meetings attended by the project staff is that **the major challenge for fisheries management is to manage fishing capacity**. “Options” to alleviate problems caused by excessive fishing capacity that relates to “innovative fisheries management systems” are further referred to in the following section (on stakeholders advised on the mechanisms of innovative fisheries management system).

In the process of project implementation the following major issues of management of excess fishing capacity were identified:

- Definition of or criteria for ‘fishing capacity’
- Assessment/measurement of level of fishing capacity
- Control/reduction of fishing capacity

Another important message provided through the RTC and the Expert Consultation is that there are no aggregated data on fishing capacity at national or regional level. Available information is more site-specific and relates to projects rather than statistical information. The process of “*identification of the problem areas and target groups of the human resource development activities on fishing capacity based on the compilation and analysis of the collected data on fishing capacity*” (*Activity 7*) is done through consultations with experts and involvement from various projects as the aggregated data on fishing capacity is not available (Annex 1 provides a list of meetings and workshops attended including such directly linked to fishing capacity).

In the process to move towards management of excess fishing capacity following directions have been promoted through the project:

1. To ***understand status and trend of fisheries*** in terms of fishing boats, gear, fishers and resources. In connection to this, indicators are regarded as a useful tool.

2. To **replace open-access with limited access** regime of fisheries. It is generally noted that licensing is appropriate for commercial fisheries while right-based fisheries systems is more appropriate for small-scale fisheries.
3. To **control/regulate fishing capacity**. This can be done through freezing number of fishing boats and gear as a first measure.
4. To **promote co-management** approaches in fisheries management. This will facilitate consensus building among government authorities and stakeholders in managing fishing capacity. This includes identification of management actions to reduce fishing capacity (particularly in destructive fishing) and supplementary/alternative livelihoods (aquaculture, tourisms, agro-business, etc.)

Management of excess fishing capacity is specific to the national situation and even within countries it is important that initiatives “match the local culture”. The ASEAN-SEAFDEC Member Countries should take initiatives and ownership in tackling with the issues related to over capacity, and international and regional organizations have been advised to support or facilitate the national initiatives. It is further emphasised that existing experiences in the region related to fisheries management should be taken into consideration. Other “guiding principles” includes references to a) IPOA on Fishing Capacity b) multi-gear and multi species fisheries c) emphasis on small-scale fisheries both inland and marine waters d) integrating social, economic, environmental, legal and political considerations, and e) priority and practicability.

To further provide options for managing excess fishing some critical points have been defined as important to bear in mind for member countries, such as:

- In developing and promoting right-based fisheries systems, supporting legal provision and fishing seasons (fishers migrate according to monsoon seasons) should be taken into account.
- To raise awareness, ensure political will and clarify practical approaches and steps in the management of excess fishing capacity at the national level, national consultation can be conducted as an initial process.
- As a long-term process, there may be a need for restructuring or realignment of government structure and policy related to fishery management in response to fisheries situation.
- As a measure during transitional period when reducing excess fishing capacity, HRD to support supplementary/alternative livelihoods should be developed.
- As a practical approach to develop/promote management of excess fishing capacity is to conduct pilot projects in selected countries in the region as a basis for sharing experience at the regional level and further nation-wide management of fishing capacity.
- Consumer awareness building or education on preference on fish and fishery products from sustainable/responsible fisheries should be developed (could linked to some scheme for eco-labelling).
- When developing supplementary/alternative livelihoods, it is important to make sure that requirements arise from the target beneficiaries to avoid other groups taking advantages from the government promotional work.

International/regional organizations like SEAFDEC could/should act as a trigger or external factor for change to support the Member Countries at the national level, by: a) Providing regional forum to share experience among the countries and identify priority issues; b) Promoting policy dialogue to higher policy level; and c) Developing and promoting regional supporting programs.

A critical problem is the lack of “statistics” with respect to fishing capacity especially at the smaller scale. For the purpose of looking into aspects of “*collection of the information on the fishing capacity (Numbers of boats/vessels and fishers with main fishing gears at the districts level of the countries) in collaboration with ASEAN Member Countries*” (Activity 6) the Project have been following the work within other projects on fisheries statistics and fishing capacity to be able to address the issue in the pilot processes in Cambodia, Indonesia, Thailand and Vietnam in the context of fishing capacity during on-site-training events (Activity 9)

Some of the regional events of direct relevance to the information on fishing capacity (Activity 6) with participation by project staff include:

1. The Second Regional Technical Consultation on the Use of **Indicators** for the Sustainable Development and **Management of Capture Fisheries**, 9-11 March 2004, Kuala Lumpur
2. Second ASEAN-SEAFDEC Regional Technical Consultation on **Fisheries Statistics**, 15-18 June 2004, Hua Hin, Thailand
3. First Regional Inception Workshop on “GCP/RAS/199/SWE – Strengthening the Capacity in Fisheries **Information Gathering for Management**”, 28 – 30 September, FAO-RAP, Bangkok, Thailand
4. FAO-SEAFDEC Regional Workshop on Improvement of **Fishery Data and Information** Collections Systems, 15-18 February 2005, Bali, Indonesia
5. Regional Consolidation Workshop on Fish Flights over Fish Rights: **Managing Conflicts and Exit from the Fisheries** and Security Implications for South and Southeast Asia, 17-20 May 2005, International Rice Research Institute, Los Banos, Lagnua, Philippines
6. SEAFDEC Regional Conference on the **Adaptive Management** – the Application of Indicators and the Third Regional Technical Consultation on **Indicators** for Sustainable Development and **Management of Capture Fisheries** in the ASEAN Region, Haiphong Vietnam, 11 – 14 October 2005
7. ASEAN-SEAFDEC Regional Technical Consultation on **Fishery Statistics**, Bangkok, Thailand, 18 – 21 October 2005
8. The Second Regional Scientific **Conference** of the **UNEP/GEF Project** “Reversing Environmental Degradation Trends in the South China Sea and Gulf of Thailand”, Bangkok, Thailand, 14 – 16 November 2005

Other events of relevance for the question related to fisheries capacity and options to reduce excess capacity include meetings on subsidies; fish trade and the environment; reversing environmental trends; rights based fisheries and low value/“trash fish” (full list of meetings attended is provided in Annex 1).

Fishing capacity and the pilot process in Cambodia, Indonesia, Thailand and Vietnam

In the four countries, as described in the section on the promotion of HRD, fishing capacity and the management of excess fishing capacity is a major priority. The lack of aggregated information on fishing capacity is evident in the four countries. To be able to address the matter the project has sought information from other projects to provide inputs to the workshops and on-site-training.

The sequence of events in the four countries has been referred to earlier but with direct reference to the fishing capacity additional information could be provided.

Cambodia

The project has attended a number of relevant meetings, such as:

- 1) ASEAN- SEAFDEC On Site Training: **Fisheries Statistic**, Siem Reap, Cambodia, 15 – 19 December 2003
- 2) ASEAN-SEAFDEC On Site Training: **Fisheries Statistics**, 22 – 29 March, 2004, Sihanoukville, Cambodia
- 3) National Workshop in Cambodia on “Fish Fights over Fish Rights: **Managing Exit from the Fisheries** and Security Implications for Southeast Asia; organized by Department of Fisheries and WorldFish Centre, 10 – 12 November 2004, Phnom Penh Cambodia
- 4) GCP/RAS/199/SWE Strengthening the Capacity in Fisheries **Information Gathering for Management**; Planning Meetings for Implementation in Cambodia, 30 November – 2 December 2004, Phnom Penh, Cambodia

Resource persons involved in these exercises have been invited to the workshops and the on-site-training in Kampot to provide background on status and trends with regards to fishing capacity and conflicts between fishermen. In addition resource persons from the UNEP/South China Sea Project and the Ministry of Environment have been able to add information related to perspectives on destructive fishing (and habitat degradation) and ways to mitigate that.

Indonesia

In Indonesia a perspective of large over-capacity in the waters off Java and a picture of many large fishing companies operating in eastern Indonesia were presented.

The response suggested was to try to develop “district models” for fisheries management and in the process build upon traditional practices such as the awig awig and to “match the local culture”. In the process they intend to show how these fits to CCRF and can be a useful tool also for the management of fishing capacity.

Thailand

The project has attended a number of relevant meetings, such as:

1. The FAO National Workshop on Reduction and **Management of Commercial Fishing Capacity** in Thailand, 10-14 May 2004, Cha-am, Petchaburi, Thailand
2. National Workshop in Thailand on “Fish Fights over Fish Rights: **Managing Exit from the Fisheries** and Security Implications for Southeast Asia; organized by Department of Fisheries and WorldFish Centre, 17 – 18 November 2004, Songkla, Thailand

Resource persons involved in these exercises have been invited to the workshops and the workshop/on-site-training in Koh Chang to provide background on status and trends with regards to fishing capacity and conflicts between fishermen. In addition resource persons from the UNEP/South China Sea Project, the Mangrove Action Project, Kasetsart University and CORIN have been able to add information related to perspectives on destructive fishing (and habitat degradation) and ways to mitigate that.

Vietnam

Vietnam has large over-capacity in its populated areas around the large river deltas (Mekong and Red River), the Haiphong/Ha Long Bay area and coastal waters along the Vietnamese coastline. A response presented is to encourage fishermen to go further off shore.

In the process of the national workshop people from the MOFI involved in major project such as those funded by Danida and Norad were invited to provide perspective. The DOFI representative from Kien Giang stated that fishing capacity was an issue in the province, similarly it was indicated that the waters in North Vietnam bordering China were heavily fished. In addition resource persons from the UNEP/South China Sea Project have been able to add information related to perspectives on destructive fishing (and habitat degradation) and ways to mitigate that.

4) STAKEHOLDERS ADVISED ON THE MECHANISMS OF INNOVATIVE FISHERIES MANAGEMENT SYSTEM

As mentioned in previous sections one of the key challenges to fisheries management – large as well as small scale – is to manage the active capacity being used to catch fish and aquatic products. Management systems need to balance the catch effort with resource availability at various times, environmental resilience and social well-being. “Innovative” approaches to small-scale fisheries need to match local criteria and social acceptance and can well be developed out of traditional norms and practices. A clear message from meetings and consultations is that if systems to manage small-scale fisheries there must at the same time be a proper management (in line with the Code of Conduct) of larger scale

fishing operations, including reduction in fishing capacity of larger boats, stop large-scale fishing in near shore waters, etc

Management of fisheries and excess fishing capacity is specific to the national situation and even within countries and it is important that initiatives “match the local culture”. The RTC and Expert Consultations organised in 2004 by the project gave indications systems and tools to recognise in the process. In addition project staff attended other meetings and workshops related to fisheries management (see Annex 1 for meetings attended)

A general lesson to be brought forward in the processes ahead is that systems promoted need to be “adaptive”. Reference has earlier been done (under promotion of HRD for fisheries management) to steps taken so far by the project at regional level and in the four representative countries. Management systems discussed and promoted in the process include:

- Co-management as an approach in all/most aspects of fisheries management
- Adaptive Management should be aimed for when developing management systems
- Traditional management systems, such as awig awig (Indonesia), should be incorporated in fisheries management plans
- Rights-based fisheries should be employed also to regulate fishing capacity
- Establishment of Community Fisheries Organisations (Cambodia) should be encouraged
- Licenses should be further developed, especially for commercial fisheries
- Provide incentives to sustainable fisheries in line with the Code of Conduct (Eco-labels, subsidies)
- Integrating habitat management into fisheries management
- Establish “Refugia” (for areas of importance for juveniles and spawning fish)

To facilitate “exit” alternative and supplementary employment opportunities needs to be developed.

“Indicators” are recommended as a useful tool to monitor progress

Systems promoted and partners in the Pilot Processes in Cambodia, Indonesia, Thailand and Vietnam

Cambodia

Systems: Rights based fisheries and co-management; Community Fisheries Organisation, Participatory Habitat Management, Licenses, Refugia and protected areas, Coastal Zone Management

Partners: DOF, MOE, UNEP/GEF South China Sea Project, Danida CZM, IDRC/WWF Participatory Mangrove Management, FAO-Sida, WorldFish Centre and fishermen, commune council and provincial fisheries administration in Koh Kong, Sihanoukville, Kep, Kampot.

Indonesia

Systems: Rights based fisheries and co-management; District models applicable to local culture; traditional practices: awig awig, licenses (for fishing companies)

Partners: MMAF and its departments; local fisheries administration in northeast Java and Lombok Timur

Thailand

System: Rights based fisheries and co-management, Integrating Habitat Management into Fisheries Management, Refugia and protected areas; Licenses (for larger vessels); Participatory Habitat Management; participatory fisheries management; coastal zone management

Partners: DOF; UNEP/GEF South China Sea Project; CHARM: Mangrove Action Project; Kasetsart University; CORIN of Prince of Songkla University; Fishermen, TAO and Provincial Fisheries Administration from Trad, Trang and Satul

Vietnam

Systems: Rights based fisheries and co-management, Licenses (for larger vessels); Integrating Habitat Management into Fisheries Management, Refugia and protected areas; participatory fisheries management; coastal zone management; Marine Park

Partners; MOFI, Danida Fisheries Sector Support Programme, Norad support to new Fisheries Law (based on CCRF), UNEP/GEF South China Sea Project; Danida Marine Park Project; and provincial fisheries administration in Kien Giang; Quang Binh and Haiphong

**Participation and coordination with other relevant programmes and
Projects: Events attended by Project Staff**

1. ASEAN-SEAFDEC Regional Technical Consultation on **Fisheries Subsidies**, 9 – 10 October 2003, Bangkok, Thailand.
2. ASEAN- SEAFDEC On Site Training: **Fisheries Statistic**, Siem Reap, Cambodia, 15 – 19 December 2003
3. The Regional Scientific Conference of the UNEP/GEF Project “Reversing **Environmental Degradation Trends** in the South China Sea and Gulf of Thailand” 11 – 13 February 2004, Bangkok, Thailand
4. The Second Regional Technical Consultation on the Use of **Indicators for** the Sustainable Development and **Management of Capture Fisheries**, 9-11 March 2004, Kuala Lumpur
5. ASEAN-SEAFDEC Preparatory Meeting on Issues Related to **Fish Trade and Environment**, 16-18 March 2004, Hat Yai, Thailand
6. ASEAN-SEAFDEC On Site Training: **Fisheries Statistics**, 22 – 29 March, 2004, Sihanoukville, Cambodia
7. The Forth Meeting of the Regional Working Group for the **Fisheries Component**, Reversing Environmental Degradation Trends in the South China Sea and Gulf of Thailand, **UNEP/GEF** South China Sea Project, 26 – 29 April, Manila, Philippines
8. The FAO National Workshop on Reduction and **Management of Commercial Fishing Capacity** in Thailand, 10-14 May 2004, Cha-am, Petchaburi, Thailand
9. Second ASEAN-SEAFDEC Regional Technical Consultation on **Fisheries Statistics**, 15-18 June 2004, Hua Hin, Thailand
10. The Second ASEAN-SEAFDEC Regional Technical Consultation on **Shark Fisheries**, 13 – 15 July 2004, Phuket, Thailand
11. First Regional Inception Workshop on “GCP/RAS/199/SWE – Strengthening the Capacity in Fisheries **Information Gathering for Management**”, 28 – 30 September, FAO-RAP, Bangkok, Thailand
12. The Fifth Meeting of the Regional Working Group for the **Fisheries Component**, Reversing Environmental Degradation Trends in the South China Sea and Gulf of Thailand, **UNEP/GEF** South China Sea Project, 11 – 14 October 2004, Phu Quoc, Vietnam
13. Regional Technical Consultation on the **Regionalization of the Code of Conduct** for Responsible Fisheries (RCCRF) Phase IV: Post-Harvest Practices and Trade, 26 – 29 October 2004, Chiang Mai, Thailand
14. National Workshop in Cambodia on “Fish Fights over Fish Rights: **Managing Exit from the Fisheries** and Security Implications for Southeast Asia; organized by Department of Fisheries and WorldFish Centre, 10 – 12 November 2004, Phnom Penh Cambodia
15. National Workshop in Thailand on “Fish Fights over Fish Rights: **Managing Exit from the Fisheries** and Security Implications for Southeast Asia; organized by Department of Fisheries and WorldFish Centre, 17 – 18 November 2004, Songkla, Thailand

16. ASEAN-SEAFDEC Regional Technical Consultation **Towards Rights-Based Fisheries** for Small Coastal Fisheries, 23 – 26 November 2004, Bangkok, Thailand
17. GCP/RAS/199/SWE Strengthening the Capacity in Fisheries **Information Gathering for Management**; Planning Meetings for Implementation in Cambodia, 30 November – 2 December 2004, Phnom Penh, Cambodia
18. ASEAN-SEAFDEC Regional Technical Consultation on **Fish Trade and Environment**, 1-3 February 2005, Bangkok, Thailand
19. FAO-SEAFDEC Regional Workshop on Improvement of **Fishery Data and Information** Collections Systems, 15-18 February 2005, Bali, Indonesia
20. ASEAN-SEAFDEC Informal Consultation on SEAFDEC Support to Fisheries Relief Program for the **Tsunami** Affected Countries of ASEAN, 3 April 2005, Hanoi, Vietnam
21. United National Environment Programme East Asian Seas Regional Coordinating Unit (EAS/RCU), the first **regional partners workshop** on regional coordination in the East Asian Seas Region, Bangkok, Thailand 9-10 May 2005
22. Regional Consolidation Workshop on Fish Flights over Fish Rights: **Managing Conflicts and Exit from the Fisheries** and Security Implications for South and Southeast Asia, 17-20 May 2005, International Rice Research Institute, Los Banos, Lagnua, Philippines
23. APFIC Regional Workshop on **Low Value and “Trash Fish”**, Hanoi, Vietnam, 7- 9 June 2005
24. ASEAN-SEAFDEC Regional Consultation on **Rights-based and Co-management Systems for Small-scale Fisheries**, Jakarta, Indonesia, 18-20 July 2005.
25. APFIC Regional Workshop on “**Mainstreaming Fisheries Co-management**”, Siem Reap, Cambodia, 9 – 12 August 2005
26. SEAFDEC Regional Conference on the **Adaptive Management** – the Application of Indicators and the Third Regional Technical Consultation on **Indicators** for Sustainable Development and **Management of Capture Fisheries** in the ASEAN Region, Haiphong Vietnam, 11 – 14 October 2005
27. ASEAN-SEAFDEC Regional Technical Consultation on **Fishery Statistics**, Bangkok, Thailand, 18 – 21 October 2005
28. The Second Regional Scientific **Conference** of the **UNEP/GEF Project** “Reversing Environmental Degradation Trends in the South China Sea and Gulf of Thailand”, Bangkok, Thailand, 14 – 16 November 2005

**COMMON POSITIONS OF ASEAN AND SEAFDEC MEMBER COUNTRIES
ON ISSUES RELATED TO MANAGEMENT OF FISHING CAPACITY AND
FISHERIES SUBSIDIES**

By
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I. INTRODUCTION

This document is a compilation of policy directives and common positions related to the issues of management of fishing capacity and fisheries subsidies reached at important meetings of ASEAN and SEAFDEC. The document is intended to provide information for the representatives of the ASEAN-SEAFDEC Member Countries who will attend the FAO Technical Consultations on Illegal, Unreported and Unregulated Fishing (IUU) and Management of Fishing Capacity from 24 to 29 June 2004 as well as Technical Consultation on Fisheries Subsidies from 30 June to 2 July 2004, in FAO/HQ, Rome Italy.

II. REGIONAL TECHNICAL FORA DISCUSSING THE ISSUES RELATED TO MANAGEMENT OF FISHING CAPACITY AND FISHERIES SUBSIDIES

Through the SEAFDEC Departmental programs and programs under the ASEAN-SEAFDEC Fisheries Consultative Group (FCG) mechanism, the issues of management of fishing capacity and fisheries subsidies have been discussed over the past years. At various regional technical consultations, the issues were brought up to clarify how ASEAN and SEAFDEC Member Countries should tackle the issues to ensure the sustainable development of fisheries in the region.

The following is the list of regional technical consultations discussing the above issues:

- Regional Workshop on Management of Fishing Capacity, 7-9 November 2000, Penang, Malaysia (*Annex 6.1*);
- Technical Session of the ASEAN-SEAFDEC Conference on Sustainable Fisheries For Food Security in the New Millennium: “Fish for the People”, 19-24 November 2001, Bangkok, Thailand (*Annex 6.2*);
- Regional Technical Consultation on Fisheries Subsidies, 9-10 October 2003, Bangkok, Thailand (*Annex 6.3*);
- 2nd Technical Consultation on the Use of Indicators for the Sustainable Development and Management of Capture Fisheries in the ASEAN Region, 9-11 March 2004, Kuala Lumpur, Malaysia (*Annex 6.4*);
- Preparatory Meeting on Issues Related to Fish Trade and Environment, 16-18 March 2004, Hat Yai, Thailand (*Appendix 6.5*); and

- ASEAN-SEAFDEC Regional Technical Consultation on Human Resource Development in Fisheries Management, 3-6 June 2004, Phnom Penh, Cambodia (*Annex 6.6*).

III. ASEAN-SEAFDEC POLICY DIRECTIVES RELATED TO THE ISSUES OF MANAGEMENT OF FISHING CAPACITY AND FISHERIES SUBSIDIES

3.1 Resolution and Plan of Action on Sustainable Fisheries for Food Security for the ASEAN Region, 24 November 2001

RES 6: Recognize the need to progressively replace “open access” to fisheries resources with “limited access regimes” through the introduction of rights-based fisheries which may also facilitate the management of fishing capacity and promote the use of responsible fishing gears and practices;

POA A-5: Review the issue of excess fishing capacity at the national level and recommend where appropriate, measures to improve the registration of fishing vessels, the introduction of right-based fisheries and the reduction in the number of fishing boats and level of fishing effort using government incentives. (*Fisheries Management*)

POA D-2: In collaboration with international technical organizations such as the Food and Agriculture Organization of the United Nations (FAO) and the World Trade Organization (WTO), assess the impact of government subsidies on fisheries, particularly on the needs of small-scale fisheries in the ASEAN region and sustainable fisheries. (*Fish Trade*)

POA E-2: Increase participation and involvement of ASEAN Member Countries in international fora and technical committees such as the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES), Codex, FAO, Office International des Epizooties (OIE), Regional Fisheries Bodies, and WTO to safeguard and promote ASEAN interests, recognizing that international fisheries policies are increasingly discussed and agreed upon at the global level. (*Regional and International Policy Formulation*)

3.2 26th Meeting of SEAFDEC Program Committee, 12-15 January 2004, Manila, Philippines

Para 23: The Committee requested the Secretariat to circulate outcomes of SEAFDEC consultation meetings related to fisheries subsidies (held in October 2003 and March 2004) to the Member Countries for their preparation for the International Consultation on Subsidies in Fisheries to be held by FAO in June 2004. (*Fish Trade and Environment Program*)

Para 39: Considering linkages between issues related to indicators for fisheries management and fishing capacity, the Committee suggested that this project should be closely coordinated with the Program on Regionalization of the Code of Conduct for

Responsible Fisheries of the Secretariat. This can be reflected in the discussion during the 2nd RTC on Indicators. In addition, the Committee was informed of a planned international meeting on Excess Fishing Capacity to be organized by FAO in June 2004 and requested the responsible Department to prepare for participation to this meeting. (*Special 5-year Program - Identification of Indicators for Sustainable Development and Management of Capture Fisheries in the ASEAN Region*)

3.3 6th Meeting of ASEAN-SEAFDEC Fisheries Consultative Group (FCG), 5 April 2004, Bangkok, Thailand

Para 15: The Meeting also noted the information presented by the representative from Japan related to the on-going discussion on fisheries subsidies issues at the World Trade Organization (WTO) and suggested that due consideration should be given to socio-economic importance of fisheries subsidies. The Meeting also suggested that any proposal against the use of fisheries subsidies without sufficient supporting scientific evidence and/or undermining on-going national resource management should not be supported. (*Policy Consideration on ASEAN Important Issues*)

Para 16: Based on the outcomes of the above Preparatory Meeting on Issues related to Fish Trade and Environment, the Meeting stressed the importance to concretize a common position among the ASEAN-SEAFDEC Member Countries on fisheries subsidies to be reflected in the forthcoming FAO Technical Consultation on Fisheries Subsidies to be held in June 2004. (*Policy Consideration on ASEAN Important Issues*)

Para 17: Back-to-back with the FAO Technical Consultation on Fisheries Subsidies, the Meeting was also informed by SEAFDEC Secretariat of another FAO Technical Consultation on Fishing Capacity. In this connection, the Meeting suggested that the outcomes related to excess fishing capacity concluded at the Regional Technical Consultation on the Use of Indicators for Sustainable Development and Management of Capture Fisheries, which was held from 9 to 11 March 2004 by MFRDMD should be reflected in the FAO Consultation. The Meeting also urged the ASEAN-SEAFDEC Member Countries for their active participation into the above two FAO technical consultations. (*Policy Consideration on ASEAN Important Issues*)

3.4 36th Meeting of SEAFDEC Council, 6-9 April 2004, Bangkok, Thailand

Para 21: The Council endorsed the outcomes from the ASEAN-SEAFDEC Preparatory Meeting on Issues Related to Fish Trade and Environment organized from 16-18 March 2004 as well as the ASEAN-SEAFDEC Regional Technical Consultation on Fisheries Subsidies organized from 9-10 October 2003 in Thailand, as presented by the Secretariat (Annex 11 and Annex 12). (*Policy Consideration on ASEAN Important Issues*)

Para 23: In order to reflect regional situation and common view of the Member Countries, the Council also agreed that outcomes of the above two meetings be used as a common position for the forthcoming Thirteenth Session of the Conference of Parties (CoP13) of CITES to be held from 2 to 14 October 2004 in Thailand and the FAO

Technical Consultation on the Use of Subsidies in the Fisheries Sector to be held from 30 June to 2 July 2004, respectively. (*Policy Consideration on ASEAN Important Issues*)

3.5 12th Meeting of ASEAN Sectoral Working Group on Fisheries (ASWGFi), 20-22 April 2004, Penang, Malaysia

Para 35: In discussing the related issues under the Fish Trade and Environment, the Meeting took note of the importance for national fisheries agencies and SEAFDEC to participate in the coming ASEAN Expert Working Group (EWG) Meeting on CITES, so that ASEAN-SEAFDEC common positions on important fisheries issues related to CITES would be well co-coordinated in preparation for the COP13 of CITES meeting to be held in Thailand in October 2004. The Meeting also considered and agreed to the Report and Recommendations of the ASEAN-SEAFDEC Preparatory Meeting on Issues related to Fish Trade and Environment, which appears as Annex 16. (*ASEAN-SEAFDEC Collaboration on Sustainable Fisheries Management in the Southeast Asian Region*)

Para 36: The agreed report and recommendation would be used as the basis for ASEAN preparatory work for CITES and the FAO International Technical Consultation on Fisheries Subsidies Meeting. (*ASEAN-SEAFDEC Collaboration on Sustainable Fisheries Management in the Southeast Asian Region*)

**REGIONAL WORKSHOP ON MANAGEMENT OF FISHING CAPACITY
7-9 NOVEMBER 2000
PENANG, MALAYSIA**

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Initial Guidelines for the Management of Fishing Capacity in Southeast Asia

At the invitation of the Marine Fishery Resources Development and Management Department (MFRDMD) of the Southeast Asian Fisheries Development Center (SEAFDEC) and the Food and Agriculture Organization of the United Nations (FAO), the Regional Workshop on the Management of Fishing Capacity was held in Penang, Malaysia from 7 to 9 November 2000.

The Workshop was attended by the representatives from Brunei Darussalam, Cambodia, Lao PDR, Indonesia, Japan, Malaysia, Myanmar, the Philippines, Thailand, and Vietnam as well as by officials from the SEAFDEC Marine Fishery Resource Development and Management Department (MFRDMD), Training Department (TD), and the Secretariat, and from the Food and Agriculture Organization of the United Nations (FAO). The Workshop was also attended by observers from the International Centre for Living Aquatic Resources Management (ICLARM), the Danish International Development Agency (DANIDA), and the Fisheries Research Institute of the Department of Fisheries, Penang, Malaysia. The list of participants and observers appears as *Annex 5.1.1*

Taking into consideration the International Plan of Action (IPOA) for the Management of Fishing Capacity and identifying related opportunities and constraints as well as actions required for the management of fishing capacity in Southeast Asia, the Workshop participants deliberated at length and tentatively agreed on the following initial guidelines and action steps for consideration by ASEAN countries.

A) Immediate Actions

- ◆ Take steps to prevent the buildup of excess capacity in countries/fisheries where resources are still considered under-exploited and to ensure that the capacity implications of existing and proposed fisheries management measures are identified.
 - ◆ Assess the economic and other factors determining the concentration of fishing capacity and fishing effort in inshore/coastal areas from both near- and longer-term perspectives prior to promoting offshore development or other forms of reallocating fishing capacity.
- ◆ Promote the implementation of action-oriented management of fishing capacity.
- ◆ Introduce and review basic definitions of fishing capacity taking into account the real fisheries situations in the region; conduct simple indicative assessments based on

existing information; and, on this basis, identify minimum data requirements for improved monitoring.

- ◆ Organize a regional workshop on management reference points and capacity indicators.
- ◆ Introduce and review basic definitions of resource indicators taking into account the real fisheries situations in the region; conduct simple indicative assessments based on existing information; and, on this basis, identify minimum data requirements for improved monitoring.
- ◆ Prepare a regionalized plan of action for the management of fishing capacity.
- ◆ Promote the systematic registration and licensing of fishermen, fishing gear, and fishing vessels.
- ◆ Promote effective stakeholder participation in the management of fisheries.
 - ◆ Promote organizations of fishermen, including boat owners, at local levels;
 - ◆ Mobilize and, subsequently, educate stakeholder groups; and
 - ◆ Promote consultative mechanisms and participatory management systems.
- ◆ Promote monitoring, control, and surveillance (MCS) capabilities.
 - ◆ Address the reduction of illegal fishing at national level; and
 - ◆ Develop close monitoring system (CMS).
- ◆ Ensure that the Regional Guidelines for the Code of Conduct for Responsible Fisheries comprehensively address the issue of management of fishing capacity.

B) Immediate and Ongoing Actions

- ◆ Promote and strengthen awareness building at national and regional levels on the economic nature - including socio-cultural aspects - of fisheries management and, in particular, the management of fishing capacity.
- ◆ Identify the steps needed to effectively close/limit access with identification of the implications (legal, economic, social, etc.) that this may have. When overcapacity exists:
 - ◆ Freeze the number of fishing vessels;
 - ◆ Determine target(s) for reducing the number of fishing vessels; and
 - ◆ Reduce the number of vessels at the appropriate speed on an adaptive basis that takes into account the best available information.
- ◆ Promote and generate alternative sources of income and employment opportunities for absorbing surplus fisheries labor after studying the implications of doing so.
 - ◆ Provide training for alternative occupational skills; and
 - ◆ Provide educational programs for the children of fishermen.

C) Intermediate Actions

- ◆ Continue the preparation of national plans to implement the IPOA.
 - ◆ Assess national management plans and policies in relation to the IPOA.
- ◆ Assess existing institutional arrangements in terms of a more sustainable fisheries management-oriented approach, including the decentralization of management authority to local levels.
 - ◆ Strengthen national capability for undertaking necessary multi-disciplinary (socio-economic) analyses of actions required for the management of fishing capacity.

D) Longer-term Actions

- ◆ Develop methodologies for resource assessment of complex multi-species tropical fisheries.
- ◆ Promote data sharing, data compilation, and analysis of regional information regarding fishing capacity statistics - including socio-economic and catch-effort data - with networking arrangements.
 - ◆ Adopt actions to improve statistics in relation to fisheries management needs; and
 - ◆ Identify data requirements for various management measures, including risk management approaches using very basic/minimal data.

EXCERPT FROM THE PROCEEDINGS
**ASEAN-SEAFDEC CONFERENCE ON SUSTAINABLE FISHERIES FOR FOOD SECURITY
IN THE NEW MILLENNIUM: “FISH FOR THE PEOPLE”, 19-24 NOVEMBER 2001,
BANGKOK, THAILAND**

2.2 Management of Fishing Capacity

Conclusion

The successful implementation of appropriate fisheries management frameworks is crucial to food security in the ASEAN region. Despite many constraints and limitations, the management of fishing capacity is deemed to be one of the most important methods for regulating the exploitation of fisheries resources in this region. This concept needs to be urgently developed and incorporated into the national fisheries management framework in order to prevent further degradation of these resources and maintain fishing capacity at levels commensurate with sustainable yields.

Recommendations

Based upon the deliberation and outcomes of the preparatory work for the Conference, the following recommendations are listed for further consideration and endorsement:

I. Take steps to prevent the build-up of excessive fishing capacity where fisheries resources are considered to be under-exploited.

II. Identify steps needed to limit access (rights-based fisheries) when over-capacity exists. Suggested measures include:

- a) Implementing an improved system of national and local registration of fishing vessels;
- b) Freezing the number of fishing vessels at existing levels;
- c) Reducing the number of vessels at the appropriate rate, on an adaptive basis that takes into account the best available information;
- d) Closely monitoring the impact of vessel reduction on the fisheries resources;
- e) Providing training on alternative occupational skills and incentives to encourage boat owners and fishers to leave over-exploited fisheries; and
- f) Developing appropriate indicators to assist in the management of fishing capacity.

III. Promote monitoring, control and surveillance (MCS) capability to reduce unauthorized or illegal fishing.

IV. Promote and strengthen awareness and consensus at all levels on the economic nature of fisheries management, in particular the management of fishing capacity.

V. Each ASEAN Member Country prepare a national plan of action in consultation with stakeholders in the management of fishing capacity, taking due account of the regional specific issues as per the recommendations of the IPOA.

Addendum

Conclusion

There was general support for the points raised in the Technical Document. To manage capacity input controls are more enforceable and applicable in the region than output

controls, such as quotas. Though considered essential for profitable and sustainable fisheries, effective management of fishing capacity may require difficult and potentially contentious political decisions on limiting and allocating rights to fish. While a freeze on numbers of fishing vessels is an important first step, the impact of such an action on stocks tends to be rapidly dissipated by increasing fishing effort. Programs to reduce fleet capacity have encountered implementation problems and have met with mixed success. Such programs require effective and transparent administration to support the investment needed to retire vessels, to give security to the property rights created, and to closely monitor impacts. Effective management of capacity requires a comprehensive approach to the entire fisheries sector, and in some cases an international approach, to remove counterproductive subsidies and prevent unwanted migration of vessels to other over-exploited fisheries. Monitoring, control and surveillance (MCS) capabilities need to be effectively promoted to ensure compliance with new access regulations and to reduce illegal and unauthorized fishing in general.

Recommendations

The recommendations in the Technical Document were endorsed with the following additions:

- a) Prepare national plans of action to manage capacity which give careful consideration to their equitable application in small-scale fisheries and to the means of transferring fishing rights and licenses, and which draw on the experience gained outside of the region in design and implementation of such plans;*
- b) Examine the merits and feasibility of preparing a regional plan of action for the management of fishing capacity;*
- c) Ensure that policies aimed at managing capacity are compatible with other sector policies, especially those that may directly or indirectly provide incentives to further increase fishing capacity;*
- d) Include information on ownership and capacity of vessels in registers of fishing vessels;*
- e) Apply a precautionary approach to management of capacity in cases of uncertainty regarding the state of the resources and the fishery;*
- f) Introduce capacity management mechanisms, whenever possible, before the resources are overexploited to avoid severe social and financial consequences resulting from reduction of fishing capacity;*
- g) Promote active participation of fishers in the implementation of the national plans of action, especially through strengthening fisher organizations, awareness building, and education programs.*

4.5 Fisheries Subsidies

Conclusion

Subsidies can have a negative impact on fisheries sustainability. At the global level only a small fraction of the subsidies can be considered 'good'. However, most fisheries subsidies applied in the ASEAN region do not promote overfishing, and are not considered to cause significant trade distortions. The level of subsidies in ASEAN is low compared to OECD countries. However, further study on the extent and impact of subsidies is required. A large proportion of government transfers to the fisheries sector in ASEAN Member Countries is necessary for basic infrastructure development, to keep pace with emerging global product standards, to

promote change toward sustainable practices, for poverty alleviation, or for other social reasons. A harmonized ASEAN position on fisheries subsidies will be of value in the ongoing international debate.

Recommendations

- I. Remove subsidies which are clearly shown to contribute to unsustainable fisheries practices, especially those encouraging expansion of fishing capacity for fully exploited resources.
- II. Review, in collaboration with international technical organizations such as FAO, the empirical effect of fishery subsidies on essential social and developmental issues, particularly in support of the poor and disadvantaged of the ASEAN region, and effective fisheries management.
- III. Develop a regional policy on fisheries subsidies, considering the regional specific requirements, and produce regional guidelines for fisheries subsidies.
- IV. On the basis of the regional guidelines, promote a harmonized regional position on fisheries subsidies, at both national and international fora.

Addendum

Conclusion

The recommendations in the Technical Document were seen as an appropriate regional approach to managing fisheries subsidies in the ASEAN region. Much work has been done by SEAFDEC to identify the fisheries subsidies provided by ASEAN Member Countries. However, the details of subsidies and their effects are not yet well known. Although there is agreement that subsidies which lead to excessive fishing capacity should be phased out, there is little practical experience in the fishery sector on how to approach such a task. It was observed that there are a number of different ways to categorize subsidies and that World Trade Organization (WTO) members, under the Subsidies Agreement (SCM), are obliged to notify WTO of all subsidies.

Recommendations

The recommendations made in the Technical Document were endorsed with the following additions:

- a) *Carry out in-depth empirical studies of the effects of fisheries subsidies on resource sustainability and trade in fish and fish products, whenever information on these effects is missing or doubtful, and before deciding on removal of fisheries subsidies;*
- b) *Assemble and review available experience on how to phase out subsidies, including an evaluation of any lessons that can be learned from the experience obtained in removing agricultural subsidies;*
- c) *Conduct a census of fishery subsidies throughout all sub-sectors of the fishery sector at suitable intervals; and*
- d) *Develop an ASEAN consensus on what would constitute a suitable categorization of fisheries subsidies to be used in the forthcoming WTO negotiations on fishery subsidies.*

REGIONAL TECHNICAL CONSULTATION ON FISHERIES SUBSIDIES
9-10 OCTOBER 2003, BANGKOK, THAILAND

SUMMARY REPORT (ADVANCE COPY)

I. INTRODUCTION

1. The Association of the Southeast Asian Nations (ASEAN) and the Southeast Asian Fisheries Development Center (SEAFDEC) Regional Technical Consultation on Fisheries Subsidies was organized by SEAFDEC Secretariat from 9 to 10 October 2003 in Bangkok, Thailand. The Consultation was held as part of the program on Fish Trade and Environment under the ASEAN-SEAFDEC Fisheries Consultative Group (FCG) Mechanism. The program was funded by the Japanese Trust Fund to SEAFDEC.
2. The Consultation was attended by national delegates from the ASEAN and SEAFDEC Member Countries namely Cambodia, Indonesia, Japan, Lao PDR, Malaysia, Myanmar, the Philippines, Thailand and Vietnam. The Consultation was also attended by representatives from the Regional Office of the Asia-Pacific of the Food and Agriculture Organization of the United Nations (FAO/RAP), and SEAFDEC Secretariat. The list of participants appears as Annex 1.
3. The Consultation was held with the objectives to monitor the current status of government subsidies in fisheries sector in the ASEAN region and follow-up the progress of issues and initiatives on fisheries subsidies currently conducted by international competent organizations such as FAO and the World Trade Organization (WTO). Other objectives were also to provide a preparatory forum on fisheries subsidies for the ASEAN Member Countries to develop recommendations to be used a basis for common positions and appropriate policy options reflecting the ASEAN fisheries in the international fora on fisheries subsidies..

II. LINKAGES BETWEEN SUSTAINABLE FISHERIES AND FISHERIES SUBSIDIES IN THE ASEAN REGION

4. The Member Countries stressed importance and needs to establish effective management framework in place to ensure sustainable fisheries for food security and livelihoods of the ASEAN people. The Member Countries also recognized fisheries subsidies as a tool either used as temporary or long-term measures under a broad national development and management framework to ensure the sustainable fisheries. Use of fisheries subsidies needs to be coupled with close monitoring and evaluation of status of fishery resources as well as the impacts of subsidies on socio-economic and the resources, which are different from countries to countries.

5. Under the above broad principles and linkages between sustainable fisheries and fisheries subsidies, the Member Countries discussed and agreed on the issues and context of fisheries subsidies as attached in Annex 2.
6. The Member Countries agreed that:
 - Fisheries subsidies contributing to sustainable fisheries as well as poverty alleviation should be permitted;
 - Some fisheries subsidies whether they should be permitted or removed will depend on a number of factors including management regime, status of resources and the length of time that subsidies will be applied; and
 - Fisheries subsidies contributing to over-exploitation of fishery resources or unsustainability of fisheries must be removed.
7. The Member Countries suggested that the importance of fish and fishery products for food security and livelihoods should be given due consideration in order to alleviate poverty status for poorest communities in the region.

III. FISHERIES SUBSIDIES AND TRADE DISTORTION IN THE CONTEXT OF THE ASEAN REGION

8. The Member Countries clearly concluded that fisheries subsidies that directly contribute to both over-exploitation of resources and trade distortion must be removed.
9. Considering the uniqueness of fisheries, the Member Countries agreed that sustainability should be used as the criteria to decide whether a subsidy should be permitted or prohibited. The Member Countries suggested that in permitting this kind of fisheries subsidies, the Member Countries should take a cautious approach together with close monitoring of impacts of the subsidies in order to minimize possible trade distortion effects.
10. With regards to the policy on cost recovery for public goods that has been raised by some countries in other regions, the Member Countries agreed that this needs to be taken into consideration. However, it is up to each government policy to look at multiple roles and contributions of fisheries to national development whether for livelihoods and food security or commercial purposes, which is diversified and different from countries to countries.
11. The Member Countries agreed that trade distortion issues, in most cases, are not limited to fisheries. This should be clarified in a broader trade context. Along this line, close coordination between fisheries related agencies and trade related agencies in each country should be promoted. In addition, specific requirements of fisheries on subsidies should be clarified considering its distinctiveness from other sectors.

IV. RECOMMENDATIONS FOR FUTURE FOLLOW-UP ACTIONS

12. In following up the above conclusion, the Consultation made the following recommendations for future actions:

a) SEAFDEC Secretariat is requested to compile sources of relevant information on international initiatives on fisheries subsidies for circulation to the Member Countries to facilitate their regular monitoring.

b) Considering the fact that initiatives related to fisheries subsidies are not always promoted by fishery related agencies and this has led to lack of thorough understanding of requirements and complexity of the fisheries particularly in the ASEAN region, the Member Countries should closely monitor the progress of the initiatives, actively involve in formulating common positions reflecting the ASEAN uniqueness of fisheries and coordinate with relevant agencies representing each country at the international fora.

c) The Member Countries should exert their utmost efforts in establishing sound fisheries management in place and ensure that fisheries subsidies do not contribute to over-exploitation and unsustainability of fisheries.

d) The outcome of this Consultation, considered as a follow-up to the Resolution and Plan of Action adopted at the 2001 Millennium Conference on “Fish for the People”, should be submitted, through ASEAN-SEAFDEC FCG mechanism, to relevant ASEAN high-level fora for consideration and appropriate actions to ensure impacts on the sustainability of fisheries and ASEAN common positions on fisheries subsidies in international fora.

e) The Member Countries and other participants agreed that the above conclusion to focus discussion on fisheries subsidies in the context of sustainable fisheries will be used as the basis for further preparatory work for concretizing the ASEAN common policy on fisheries subsidies at the international fora in particular the forthcoming FAO technical consultation on fisheries subsidies.

f) The Member Countries recognized that “Notification” and “Burden of Proof” of fisheries subsidies are important possible future issues in international discourses.

**THE SECOND REGIONAL TECHNICAL CONSULTATION ON THE USE OF INDICATORS FOR
THE SUSTAINABLE DEVELOPMENT AND MANAGEMENT OF CAPTURE FISHERIES IN THE
ASEAN REGION
9-11 MARCH 2004
KUALA LUMPUR, MALAYSIA**

ADOPTED CONCLUSION AND RECOMMENDATIONS

With the view to promote the effective use of indicators for fisheries management in the ASEAN region, the Regional Technical Consultation (RTC) adopted the following conclusion and recommendations:

1. Indicators should be used as an effective planning, communication, monitoring and evaluation tool in fisheries management.
2. Use of indicators should be integrated into fisheries management plans and there should be clear linkages of indicators with management objectives with special consideration on reduction of excess fishing capacity.
3. In using indicators for fisheries management, due consideration should be made to linkages, relationships and combination among various indicators or indicators groups to provide better understanding of management problems and solutions.
4. Active involvement as well as close consultation and communication among stakeholders i.e. those who are contributing to or influenced by the outcome of fisheries management process, should be promoted. This is in order to ensure their common understanding, awareness and consensus building and cooperation in selecting and using indicators thereby enhancing their compliance in fisheries management.
5. Close coordination between a long-term routine data collection system and scientific research as well as cooperation with stakeholders in the provision of data and information should be promoted to develop indicators in sustainable manner.
6. Capacity building to enhance understanding of stakeholders as well as to develop capacity of fishery officers, researchers and managers to facilitate the use of indicators for fisheries management should be conducted.
7. To support future promotion in the development and use of indicators, “Guidelines on the Use of Indicators for Improved Marine and Inland Fisheries Management in the ASEAN Region” should be developed. The tentative framework proposed during the RTC will be used as the basis for formulating the guidelines.

8. While appreciating the progress of pilot projects being implemented in Brunei Darussalam, Indonesia, Malaysia, the Philippines and Thailand, all the Member Countries are encouraged to further promote the implementation of pilot projects. The results of pilot project implementation are found very useful for the formulation of the guidelines.
9. To ensure successful implementation of this Special 5-year project on the Use of Indicators for the Sustainable Development and Management of Capture Fisheries in the ASEAN Region, the work plan for 2004 and 2005 was adopted for future implementation.
10. There should be closer collaboration and cooperation among SEAFDEC member countries, national and international bodies e.g. Assessment of Living Marine Resources of Vietnam (ALMRV), World Fish Center (WFC) and Food and Agriculture Organization of the United Nations (FAO) to promote the use of indicators for improved fisheries management in the ASEAN region.
11. Considering close linkages between the use of indicators and reduction of excess fishing capacity, the Member Countries are encouraged to participate in the Technical Consultation on the International Plan of Action for the Management of Fishing Capacity (IPOA-Capacity) to be conducted by FAO in June 2004.

THE ASEAN-SEAFDEC PREPARATORY MEETING
On issues Related to Fish Trade and Environment

Summary Report (Advance Copy)

I. Introduction

1. The Association of the Southeast Asian Nations (ASEAN) and the Southeast Asian Fisheries Development Center (SEAFDEC) Preparatory Meeting on Issues Related to Fish Trade and Environment was organized by SEAFDEC Secretariat from 16 to 18 March 2004 in Hat Yai, Thailand. The Meeting was held as part of the program on Fish Trade and Environment under the ASEAN-SEAFDEC Fisheries Consultative Group (FCG) Mechanism. The program was funded by the Japanese Trust Fund to SEAFDEC.

2. The Meeting was attended by national delegates from the ASEAN-SEAFDEC Member Countries namely Brunei Darussalam, Cambodia, Indonesia, Japan, Lao PDR, Malaysia, Myanmar, the Philippines, Thailand and Vietnam. It was also attended by representatives from ASEAN Secretariat as well as SEAFDEC Secretariat and Departments. The list of participants appears as Annex 1.

3. The Meeting was held with the objective to provide a regional forum for discussion among the ASEAN-SEAFDEC Member Countries on important fisheries related issues to the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES) and fisheries subsidies. It is envisaged that the outcome of the regional discussion will be used as a basis for developing common positions and appropriate policy options reflecting fisheries in the Member Countries in the Thirteenth Session of the Conference of Parties (CoP13) of CITES to be held from 2 to 14 October 2004 and the FAO Technical Consultation on the Use of Subsidies in the Fisheries Sector to be held from 30 June to 2 July 2004.

II. Conclusion and recommendations

2.1 Fisheries Related Issues under CITES

2.1.1 Proposed Policy Options and Common Positions of the ASEAN-SEAFDEC

Member Countries

4. In line with the 23rd Senior Official's Meeting for ASEAN Ministers on Agriculture and Forestry (SOM-AMAF) in October 2001, the Member Countries reiterated that the management of commercial fisheries should come under the purview of FAO and not CITES. As such any proposal for listing in CITES Appendices on any species related to fisheries including shark species, undermining sustainable exploitation and management in the Member Countries, should not be supported.

5. The Member Countries agreed to establish the National Plan of Action on Sharks (NPOA-Sharks) in line with the International Plan of Action for the Conservation and Management of Sharks (IPOA-Sharks) supported by best available scientific evidence.

6. The Meeting proposed that a representative from the national fisheries related agency of the ASEAN-SEAFDEC Member Countries be included in the national delegation to CITES-CoP in accordance with the earlier decision made by the ASEAN Sectoral Working Group on Fisheries (ASWGFi) that ASEAN fisheries agencies should play an active role in their national delegations to CITES-CoPs.

7. Close coordination among the national fisheries related agency and agency responsible for CITES should be strengthened to facilitate any preparatory work for CITES-CoP13.

2.1.2 Follow-up Actions Related to CITES by the ASEAN-SEAFDEC Member

Countries and SEAFDEC

8. The Member Countries agreed to exert their utmost efforts in implementing the above agreed policy options and common positions.

9. Each Member Country is requested to provide available secondary data and information related to shark landings, utilization and trade to supplement the regional study on sharks to the SEAFDEC Secretariat for further compilation and distribution to all Member Countries.

10. In establishing the NPOA-Sharks and ensuring effective implementation of management and conservation of sharks, the following aspects should be included, but not limited to:

- Building of public awareness on the need for management and conservation of sharks;
- Harmonizing NPOA-Sharks with the national fisheries management policy and framework;
- Providing an appropriate legal framework;
- Establishing an appropriate support mechanism for data and information collection on shark landings, utilization and trade; and
- Taking into consideration the result of national/regional studies on shark landings, utilization and trade.

11. Guidance to assist the Member Countries in the formulation of NPOA-Sharks should be developed at the Second Regional Technical Consultation on Shark Fisheries taking into consideration the result of the regional study on sharks and experience in the formulation of NPOAs by Japan and Thailand.

12. The Department of Fisheries, Thailand is requested to coordinate with the Thai CITES Office, National Park, Wildlife and Plant Conservation Department and to provide to other ASEAN-SEAFDEC Member Countries through SEAFDEC Secretariat on the information including the final preparatory process, agenda and arrangement for CITES-CoP13 to ensure distribution of relevant information and publications of the result of regional studies on shark landings, utilization and trade.

13. The Meeting took note of works undertaken by various Member Countries and SEAFDEC on sea cucumber and seahorse as well as initiatives by the Philippines in developing a stock assessment survey on sea cucumber to understand status of and trade in commercial species. ASEAN and SEAFDEC Member Countries should initiate an inventory of sea cucumber species available in their countries through exchange of information. The Meeting proposed that Thailand and SEAFDEC undertake the coordinating role in this exercise.

2.2 Issues on Fisheries Subsidies

14. The Meeting reaffirmed the conclusion and recommendations reached at the ASEAN-SEAFDEC Regional Technical Consultation on Fisheries Subsidies held from 9 to 10 October 2003 in Bangkok, Thailand and agreed to use them excluding its appendix as the basis for ASEAN Member Countries for their contribution and intervention to the Technical Consultation on the Use of Subsidies in the Fisheries Sector.

2.3 Recommendations for Immediate Follow-up Actions

15. In following up the above conclusion and recommendations, the Meeting requested SEAFDEC Secretariat to submit the outcome adopted at this Meeting, as a common policy to the forthcoming meeting of the ASEAN-SEAFDEC Fisheries Consultative Group (FCG) Mechanism for consideration and endorsement by respective higher authorities of ASEAN and SEAFDEC Member Countries.

**ASEAN-SEAFDEC REGIONAL TECHNICAL CONSULTATION ON
HUMAN RESOURCE DEVELOPMENT IN FISHERIES MANAGEMENT
PHNOM PENH, CAMBODIA FROM 3-6 JUNE 2004**

Summary Report (Advance Copy)

Introduction

1. The Regional Technical Consultation (RTC) was jointly organized by ASEAN and SEAFDEC with support from the Swedish International Development Cooperation Agency (Sida) in collaboration with Department of Fisheries, Cambodia, and UNEP/GEF South China Sea Project from 3 to 6 June 2004 in Phnom Penh, Cambodia.
2. The RTC was attended by the national delegates from the ASEAN and SEAFDEC Member Countries as well as representatives from ASEAN Secretariat, Coastal Habitat and Resource Management (CHARM) Project in Thailand, Mekong River Commission (MRC), SEAFDEC Secretariat and Departments, UNEP/GEF South China Sea Project including its Regional Fisheries Working Group, and WorldFish Center. The list of participants appears as Annex 1.
3. The RTC was developed based on a number of the following important initiatives:
 - Seminar on ASEAN-Japan Cooperation for Sustainable Fisheries through SEAFDEC, 3-5 December 2003 in Tokyo, Japan;
 - ASEAN-SEAFDEC Regional Workshop on Human Resource Development in Fisheries, 20-23 February 2004 in Kuala Lumpur, Malaysia;
 - SEAFDEC-Sida collaborative project on Human Resource Development on the Support of Implementation of the Code of conduct for Responsible Fisheries Management for the ASEAN Region; and
 - 4th Meeting of Regional Working Group of the Fisheries Component of the UNEP/GEF Project on Reversing Environmental Degradation Trends in the South China Sea and Gulf of Thailand, 26-29 April 2004, Manila, the Philippines.
4. The RTC stressed on the need to support human resource development (HRD) aspects to the Member Countries in the implementation of the Resolution and Plan of Action adopted at the ASEAN-SEAFDEC Conference on Sustainable Fisheries for Food Security in the Millennium Conference: 'Fish for the People' in 2001. Special emphasis of the RTC was given to the integration of social, environmental and legal aspects in HRD for fisheries management.
5. The RTC was held with the objectives to:
 - Clarify objectives, target groups/areas and priority requirements for HRD in fisheries management at the national level with emphasis on small-scale fisheries;
 - Clarify plans/activities to be promoted by the international/regional/national organizations concerned to fulfill the above identified requirements; and

- Suggest steps towards development and implementation of HRD in fisheries management in line with the CCRF and implementation of the Resolution and Plan of Action.
6. The Meeting adopted Agenda as appears as Annex 2.

Plans and Framework for Human Resource Development in Fisheries Management

7. In line with the RTC's objectives particularly to clarify priority requirements and HRD plans/activities as well as steps towards development and implementation of HRD in fisheries management, the RTC developed plans and framework through group discussion focusing on the following three thematic issues:

- Management of Over Fishing Capacity (Annex 3);
- Strengthening of Local Fisheries Management Capacity (Annex 4); and
- Integrating Fisheries Management into Habitat Management (Annex 5)

Conclusion and Recommendations

8. HRD in fisheries management is specific to national situation. The Member Countries are encouraged to take initiatives and ownership in addressing the issues in accordance with the overall objective of fisheries development and management of each country. International/regional organizations are in the position to support or facilitate the national initiatives.

9. Based on the outcomes of the group discussion, HRD in fisheries management should be developed at all levels considering:

- **Legislation, law and regulations** – implication of international initiatives and conventions, structures/rules of local management, co-management approaches, functions of right-based fisheries and rights of resource users, institutional roles and responsibilities;
- **Social and economics** – implication of limiting access, reducing and managing fishing capacity, facilitating exit from fisheries, supplementary/alternative livelihoods, co-management concepts, survey/research techniques including consultation and participation; and
- **Environment** – habitats and reproduction areas, migratory routes and interconnectivity, supplementary/alternative livelihoods.

10. In line with the above considerations, in-country coordination among agencies concerned at national (fisheries/environment/forestry authorities and others) and local (local administrative organizations) levels should be promoted when developing HRD in fisheries management.

11. HRD should be promoted for effective integration of habitat management and fishery management including ecosystem approach to fisheries management, habitat rehabilitation, resources evaluation, and preparation of local fishery management plans. This also includes capacity development for communities to assess and regularly monitor

the health of their fishery ecosystems through application of simplified but effective methods.

12. Follow-up in the collaboration among institutions at the national level as well as regional, and international organizations (SEAFDEC, FAO, UNEP/GEF, AIT, MRC, WorldFish Center) and projects (i.e. CHARM, FISH), working to raise the capacity of the Member Countries should be promoted to raise awareness of and implement the guidelines for responsible fisheries at all levels, and in an appropriate form aimed at each target audience, from the national level to communities, including schools, at the local level.

13. SEAFDEC was requested to consider provide assistance in capacity building to the Member Countries in the conduct of habitat surveys to determine their function in regards to spawning, feeding, nursery grounds, and connective corridors for important commercial, threatened, and migratory species. The outcome of the surveys will provide a basis for further development and establishment of refugia (areas managed for the maintenance of fish stocks) for each country, and also bilateral or sub-regional refugia.

3.1 Continued Steps for Development and Implementation of Human Resource Development in Fisheries management

14. To raise awareness and clarify practical approaches and steps in HRD in fisheries management in each country, national consultation can be conducted as an initial process to clarify ways forward.

15. The RTC supported the planned regional workshop on management of excess fishing capacity to clarify implementation guidelines in details and to define practical steps towards management of excess fishing capacity. The regional workshop should taken into account of the result of FAO technical consultation on the same topic scheduled to be held in the end of June 2004.

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

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

17. As far as HRD in inland fisheries management in Lower Mekong Basin (LMB) is concerned, the RTC suggested that MRC could lead in promoting the HRD initiatives. SEAFDEC and other international/regional organizations should assist this effort and explore possibility to cover the other countries in the region.

3.2 Development of a Regional Inventory, Database and Network for Information Collection on Human Resource Development in Fisheries

18. The RTC agreed to develop a regional inventory, database and network for information collection on HRD in fisheries. The regional inventory will cover information from all SEAFDEC Member Countries as well as other organizations such as FAO, UNEP/GEF.

19. It was proposed that the national representatives attending this RTC could be appointed as the national focal point. SEAFDEC Secretariat was requested to send official letter requesting appointment of the national focal point and advising on detailed plan of the inventory to facilitate future undertaking. The terms of reference of the national focal points are:

- Collecting available information on the national HRD programs/activities which can be applicable for future possible regional usage;
- Updating information on training facilities including resource persons for the fisheries HRD programs/activities in their representative countries;
- Assisting in identification and prioritization of the regional fisheries HRD programs/activities; and
- Coordinating the communication between interested parties and program coordinators.

20. The regional inventory will be conducted by compilation of information in accordance with the agreed format (Annex 6) at the national level by the national focal points to be further compiled by SEAFDEC Secretariat. Selection of inputs will be decided by the national focal point taking into account the benefits of the information to other Member Countries.

3.3 Development of Supporting Materials for Human Resource Development Programs/Activities

3.4 The RTC recognized the importance of supporting materials for HRD programs/activities, and therefore generally supported the following initiatives:

- **Translation of regional guidelines on responsible fisheries management** – Each member country is encouraged to investigate the need for translation of the regional guidelines. Translation should consider conveying message and implication of the regional guidelines to the audience not direct translation. Where need arises, assistance from international/regional organizations like SEAFDEC and its collaborative partners can be sought.

- **Promotional materials on important management issues** – When developing promotional materials, existing materials developed by various institutions/projects such as Malaysian Technical Cooperation Program in Fisheries Management (MTCP), SEAFDEC, AIT, UNEP/GEF South China Sea Project, etc. could be mobilized. The promotional materials could be developed in various forms such as comic book, brochures and mass media as an effective communication tool.
- **Regional reference for fishery managers** – Further investigation on the target groups, usage and focused issues of fisheries management of the regional reference should be conducted.

3.5 SEAFDEC Secretariat was requested to further clarify objectives, target audience and usefulness of the materials when developing supporting materials.

Result of Group Discussion on Management of Excess Fishing Capacity

1. Major Issues of Management of Excess Fishing Capacity

- Definition of or criteria for ‘fishing capacity’
- Assessment/measurement of level of fishing capacity
- Control/reduction of fishing capacity

2. Guiding Principles

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

3. Directions towards Management of Excess Fishing Capacity

- To *understand status and trend of fisheries* in terms of fishing boats, gear, fishers and resources. In connection to this, indicators is regarded as a useful tool.
- To *replace open-access with limited access* regime of fisheries. It is generally accepted that licensing is appropriate for commercial fisheries while right-based fisheries systems is appropriate for small-scale fisheries.
- To *control/regulate fishing capacity*. This can be done through freezing number of fishing boats.
- To *promote co-management* approaches in fisheries management. This will facilitate consensus building among government authorities and stakeholders in managing fishing capacity. This includes identification of management actions to reduce fishing capacity (particularly in destructive fishing) and supplementary/alternative livelihoods (aquaculture, tourisms, agro-business, etc.)

4. Priority Requirements for HRD

- There exist two main target groups for HRD in relation to management of excess fishing capacity. One is *government authority*. Another *stakeholders and consumers* of fish and fishery products. In addition, HRD should also focus at three different levels – national/central, provincial/state, and local/community.
- Priority areas of HRD requirements (focusing on knowledge and skills aspects) can be classified as follows:
 - Criteria for ‘fishing capacity’, indicators, right-based fisheries systems
 - Policy, social, economic, environmental and legal aspects
 - Extension/consultation/coordination (not only on technical/technology aspects but also awareness building and facilitation of change process to enhance ownership, higher degree of compliance and cooperation from stakeholders)

5. Conclusion and Recommendations

To support HRD in fisheries management in general and management of excess fishing capacity in particular, the following conclusion and recommendations are proposed for consideration:

5.1 Overview

- Management of excess fishing capacity is specific to national situation. The Member Countries should take initiatives and ownership in tackling with the issues. International/regional organizations are in the position to support or facilitate the national initiatives.
- Existing experiences in the region related to fisheries management should be taken into consideration. These are for example:
 - o CHARM project in Thailand
 - o Malaysian Technical Cooperation Program (MTCP) in fisheries management
 - o SEAFDEC/TD project on coastal resource management and international training course on coastal fisheries management and fishery extension

5.2 National level

- In developing and promoting right-based fisheries systems, supporting legal provision and fishing seasons (fishers migrate according to monsoon seasons) should be taken into account.
- To raise awareness, ensure political will and clarify practical approaches and steps in the management of excess fishing capacity in each country, national consultation can be conducted as an initial process.
- As a long-term process, there may be a need for restructuring or realignment of government structure and policy related to fishery management in response to fisheries situation.
- As a measure prior or during transitional period when reducing excess fishing capacity, HRD to support supplementary/alternative livelihoods should be developed.
- As a practical approach to develop/promote management of excess fishing capacity is to conduct pilot projects in selected representing countries in the region as a basis for sharing experience at the regional level and further nationwide management of fishing capacity.
- Consumer awareness building or education on preference on fish and fishery products from sustainable/responsible fisheries should be developed.
- When developing supplementary/alternative livelihoods, it is important to make sure that requirements arising from the target beneficiaries to avoid other groups taking advantages from the government promotional work.

5.3 Regional level

- International/regional organizations like SEAFDEC was viewed as a trigger or external factor for change to support the Member Countries at the national level, particularly on the following aspects:
 - o Providing regional forum to share experience among the countries and identify priority issues;
 - o Promoting policy dialogue to higher policy level; and

- Developing and promoting regional supporting programs.
- Support the planned regional workshop on management of excess fishing capacity to clarify implementation guidelines in details and to define practical steps towards management of excess fishing capacity. HRD should be developed as an integral part.
- To translate the regional guidelines on responsible fisheries management into national languages to support awareness building at national and local levels. In addition, detail clarification of implementation guidelines based on the regional guidelines should be developed particularly in the aspects of assessment and management of excess fishing capacity.
- To promote wider HRD and make use of existing capacity in HRD in fisheries management, a regional network of competent institutions providing training in fisheries management should be established.
- As far as SEAFDEC regional programs are concerned, there is a need for realignment of HRD components to accommodate priority requirements of fisheries management.
- There is a need for HRD supporting materials i.e. guidelines for fishery managers, promotional/awareness building materials, etc. The materials can be developed or compiled at the regional level to be used at the national level.

SEAFDEC-Sida Project on Human Resources Development in Supporting the Implementation of the CCRF

Proposed 2006 Activities

	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
Pilot process												
1.1 Cambodia (Koh Kong)		■										
1.2 Indonesia (Lombok Timur and Pematang District)				■								
1.3 Thailand (Trang/Satun/Trad)	■											
1.4 Vietnam (Kien Giang/Phu Quoc)			■									
Synthesis of lessons learned and results of the pilot process						■						
In-depth studies and development of HRD supporting materials												
3.1 Cambodia	■	■										
3.2 Indonesia		■	■									
3.3 Thailand	■	■										
3.4 Vietnam		■	■									
Coordination among concerned projects	■	■		■	■	■	■	■	■			
Updating of regional database on HRD	■	■	■	■	■	■	■	■	■	■	■	■
Prepare new program for Sida support 2007 onwards		■	■	■	■	■	■	■				
Expert meeting for preparation on regional proposal on management of fishing capacity								■	■			
Regional Technical Consultation on Management of Fishing Capacity and Project-end Meeting										■		
Preparation of the final report											■	■