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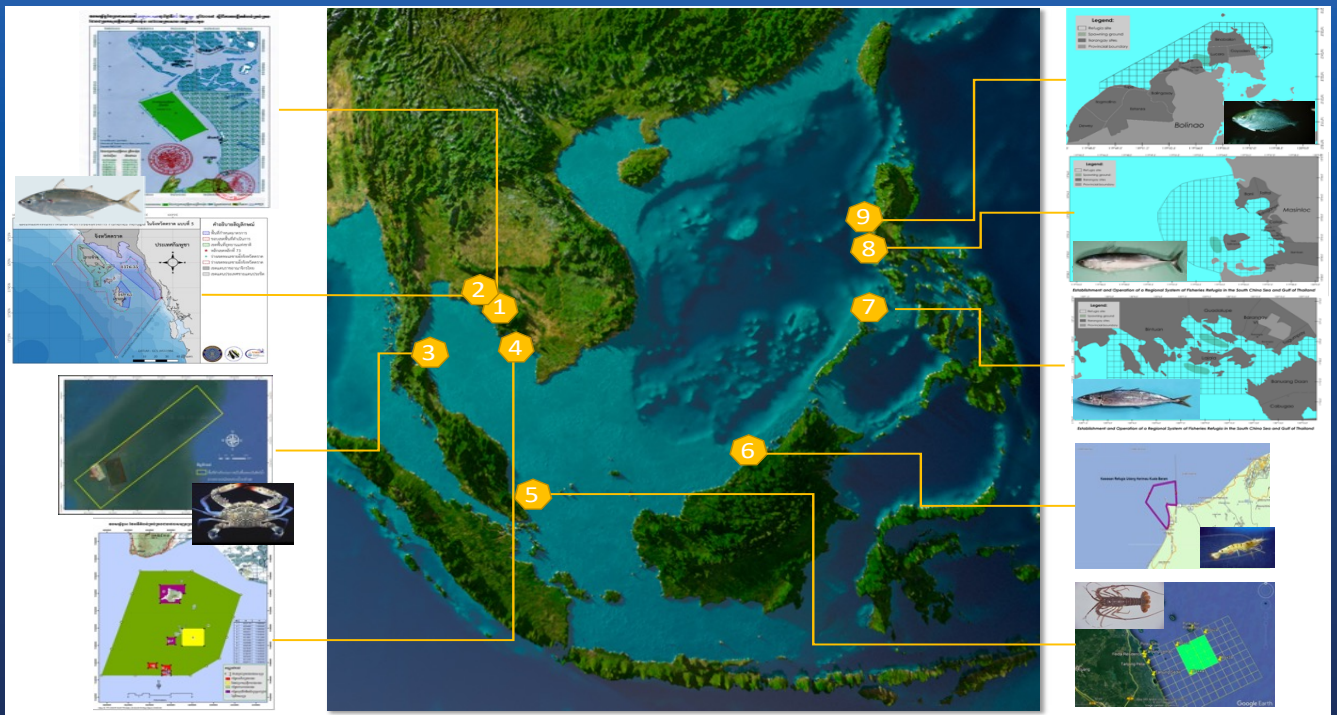


Global Environment
Facility

Establishment and Operation of A Regional System of
Fisheries Refugia in the South China Sea and Gulf of Thailand

REPORT THE FIFTH MEETING OF THE PROJECT STEERING COMMITTEE

VIRTUAL MEETING
3 SEPTEMBER 2021



SEAFDEC/UNEP/GEF
Fisheries Refugia

SEPTEMBER 2021

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

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SEPTEMBER 2021**

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Table of Contents

1.	OPENING OF THE MEETING.....	4
1.1	KEYNOTE ADDRESS BY THE CURRENT PSC CHAIRPERSON (MALAYSIA)	4
1.2	KEYNOTE ADDRESS BY UNEP PROJECT TASK MANAGER	4
1.3	OPENING KEYNOTE ADDRESS BY SEAFDEC/SECRETARY-GENERAL	4
2.	ORGANISATION OF THE MEETING.....	5
2.1	DESIGNATION OF OFFICES	5
2.2	ORGANIZATION OF THE WORK	5
3.	ADOPTION OF THE MEETING AGENDA.....	5
4.	OPENING STATEMENTS ON BEHALF OF THE PARTICIPATING COUNTRIES	5
5.	REPORT OF THE CHAIRPERSON OF THE FORTH MEETING OF REGIONAL SCIENTIFIC AND TECHNICAL COMMITTEE	7
6.	DISCUSSION ON POLICY/PROGRAM.....	9
6.1	THE MID-TERM REVIEW	9
6.2	PROGRESS ON PROJECT EXTENSION LOA/MOU BETWEEN SEAFDEC AND PARTICIPATING COUNTRIES	11
6.3	PROGRESS ON ASEAN ENDORSEMENT/SUPPORT TO THE REGIONAL ACTION PLAN FOR MANAGEMENT OF TRANSBOUNDARY SPECIES, INDO-PACIFIC MACKEREL (<i>RASTRELLIGER BRACHYSOMA</i>) IN THE GULF OF THAILAND SUB-REGION	12
7.	FINANCIAL AND BUDGETARY MATTERS	13
7.1	THE EXPENDITURE REPORT AS OF 30 JUN 2021 AND CONSIDERATION THE NEXT BUDGET REVISION	13
7.2	THE CO-FINANCING AS OF 30 JUN 2021.....	14
7.3	FINANCIAL AUDIT	15
8.	OTHER BUSINESS.....	15
8.1	SEAFDEC PROGRAMS IN SUPPORTING IMPLEMENTATION OF THE FISHERIES <i>REGUFIA</i> PROJECT.....	15
8.2	OTHER MATTERS	16
9.	DATE AND PLACE OF THE NEXT MEETING OF THE PROJECT STEERING COMMITTEE	17
10.	CLOSURE OF THE MEETING	17

ADOPTED REPORT (18 September 2021)

1. OPENING OF THE MEETING

1.1 KEYNOTE ADDRESS BY THE CURRENT PSC CHAIRPERSON (MALAYSIA)

- 1) Mr. Zaki Mokri, the PSC2 Chairperson from Malaysia, greeted everyone. He congratulated and expressed his gratitude to the project coordination unit (PCU), Mr. Somboon Siriraksophon as a Project Director, and his team for the hard-working and organizing this meeting during the difficult time of covid situation. PCU also successfully conducted an online poll on 30 August 2021 to elect the new chairperson and vice-chairperson for the PSC5 meeting. Then, He delivered a keynote address on behalf of the Deputy Director-General of the Department of Fisheries, Malaysia (DOF/MY). DOF/MY is very grateful to be involved in the SEAFDEC/UNEP/GEF Project on Fisheries *Refugia*, which aims to transform the fisheries sector to become sustainable to ensure food security for people in the South China Sea and the Gulf of Thailand, as known as which is one of the most biodiverse area in the world that support the various ecosystem services and provide livelihood for communities. Since the project started in 2017, he is optimistic that the project implementation will be fulfilled, as now all countries can go to the sites to engage with the community and complete other pending activities affected by the COVID 19 pandemic. Considering most activities can also be conducted on the cloud: He then encouraged the country members to work together for the last stage in the process.

1.2 KEYNOTE ADDRESS BY UNEP PROJECT TASK MANAGER

- 2) Ms. Isabelle Vanderbeck, UNEP Task Manager, greeted the meeting. She agreed with Mr. Zaki Mokri that the Fisheries *Refugia* Project could truly be a model to demonstrate how people can live in harmony with nature to enhance food security and the livelihood of coastal communities. She also welcomed Mr. Somboon Siriraksophon for coming back as a project director. She has no doubt that under this leadership and the contribution from the countries can make this project a real showcase to the world. She thanked the countries for their contributions to the project. She also mentioned the vital of the mid-term review. Lastly, she thanked everyone for being here at the meeting.

1.3 OPENING KEYNOTE ADDRESS BY SEAFDEC/SECRETARY-GENERAL

- 3) Ms. Malinee Smithrithee, SEAFDEC/SECRETARY-GENERAL, expressed her pleasure at the 5th Project Steering Committee Ad-Hoc Meeting for the Fisheries *Refugia* Project. She mentioned that although it is very unfortunate that the meeting could not be conducted fact to face due to the prolonged COVID-19 situation, it is fortunate that the members could be able to discuss important issues among the Project Steering Committee today with good communication technology. Since 2020, everyone has been facing difficulties from the COVID situation resulting in the delay of project activities. In December 2020, UNEP and SEAFDEC agreed to extend the project for two more years to enable participating countries to continue activities during the extension period. SEAFDEC has already prepared and sent out the LOA to the respective countries for considerations. she would like to encourage all countries to finalize and sign the LOA as soon as possible to enable participating countries to continue their activities. The project extension is less than 1.5 years. She informed that the overall target outputs are still less than 60%. SEAFDEC, as an executing agency of the project, would like to encourage all participating countries to carefully consider the work plan to meet the expected target outputs by 2022. Please do not hesitate to let SEAFDEC know if there is anything that SEAFDEC could support for the implementation under this project. Lastly, she would like to

express her most profound appreciation for the meeting. She also looks forward to fruitful discussions and results from this meeting. Then, she declared the meeting open.

2. ORGANISATION OF THE MEETING

2.1 DESIGNATION OF OFFICES

- 4) Refers to the election results from an online poll on 30 August 2021, Mr. Zaki Mokri congratulated Mr. Nguyen Thanh Binh, the national focal point of Viet Nam, as the new chairperson, and Mrs. Iswari Ratna Astuti, the national focal point of Indonesia, as the vice-chairperson for the PSC5 meeting. Before handing the floor to the new chairperson, Mr. Zaki would like to thank everyone for giving a chance for Malaysia to lead the project in 2019. It was an honor and a great experience working with everyone. He hopes that the project will run smoothly until the next regular PSC Meeting under the leadership of Mr. Nguyen Thanh Binh with support from participating countries, regional experts, and the Project Coordinating Unit. Also, he hoped that this meeting would be fruitful. List of the participants is enclosed as **Annex 1**.
- 5) Mr. Somboon Siriraksophon, the project director, spoke on behalf of the Project Coordinating Unit and all committees. He expressed his sincere thanks to Malaysia for excellent hosting and leadership at the PSC2 in Miri, Sarawak, Malaysia

2.2 ORGANIZATION OF THE WORK

- 6) Mr. Nguyen Thanh Binh, the PSC5 Chairperson, said that this is his great honor to chair the PSC5 meeting. He informed the meeting that the meeting would be taking place from 8:30 am to 12:30 pm or a bit later via the Zoom platform. To facilitate the discussion, the PCU uploaded all documents to the following website: <https://fisheries-refugia.org/5th-psc-meeting/5th-psc-doc>. The list of the working documents is enclosed as **Annex 2**. Also, he informed the meeting to be conducted in English.

3. ADOPTION OF THE MEETING AGENDA

- 7) Mr. Ngurah N. Wiadnyana, a representative from Indonesia, suggested that the PCU showing the name of the presenters in each agenda. Mr. Somboon noted the suggestion and will reflex in the meeting report and for the next meeting.
- 8) As no comment on the provisional agenda, the Committee adopted the meeting agenda as **Annex 3**.

4. OPENING STATEMENTS ON BEHALF OF THE PARTICIPATING COUNTRIES

- 9) The chairperson invited delegates from each participating country to deliver a statement.
- 10) Mr. Ouk Vibol, a Project Steering Committee from Cambodia, updated the one-year results during covid 19; LOA for project extension has been endorsed and sent back to SEAFDEC. FiA included the *refugia* framework in the amended Fishery Law and sent to the Ministry of Agriculture Forestry and Fisheries (MAFF) approval. On project achievements, Cambodia has three project sites, including Blue Swimming Crab in Kep province officially established in 2018, Short Mackerel in Koh Kong province officially established in 2019, and Grouper in Kampot province underway establishing due to many challenges between conservation and coastal development as well as Covid-19 pandemic outbreak. Cambodia would try their best

to work in the covid19 situation. He informed that the map of the Kampot site would be finalized and sent to the MAFF for endorsement. He strongly hopes that the site for Grouper in Kampot province will be endorsed by at least within this year or early next year. It means that Cambodia could complete all the project tasks. In terms of management of those sites, Cambodia provides responsibility to the sub-national level to take care of the sites. Then, Cambodia develops the 5-year management plan for each site. Additionally, he informed that Cambodia has the new governor for Kep province, who supports the Fisheries *Refugia* Project. Also, Cambodia has a national technical working group and under that is a sub technical working group. The management of fisheries *refugia* is under one of the sub technical working groups chaired by the deputy director-general. Lastly, due to the lockdown in 2021, it is hard for Cambodia to do the work. He thanked the meeting again and thanked the countries for sharing information.

- 11) Ir. Iswari Ratna Astuti, a Project Steering Committee from Indonesia, stated that currently, in Indonesia, there are several participants from a research agency, the bureau of public relations and foreign cooperation. Indonesia hopes that during this particular situation, Indonesia can still finish the project in time. She hoped the meeting would be fruitful for all participating countries. For the LOA progress, Indonesia signed the LOA in mid-2019; the LOA for the extension period is in process despite the re-organization in the MMAF Indonesia. So far, Indonesia has studied overall project activities; however, the *refugia* team cannot carry out optimally due to the Covid 19 pandemic. Indonesia activities such as online meetings with stakeholder coordination with the local university and institution. Also, Indonesia plans to conduct a site survey to finalize species and habitus profiles in West Kalimantan on 27 September 2021.
- 12) Ms. Lim Ai Gaik, a Project Steering Committee from Malaysia, greeted the meeting. She hopes that everyone is safe and healthy. She mentioned that the Covid19 pandemic had disturbed daily lives and activities. She was grateful that the project will be extended until 2022 to allow countries to conduct activities to support the development of management plans for these identified *Refugia* sites. Malaysia has finalized the coastal study for Spiny Lobster in East Johor and Tiger Prawn in Sarawak. Also, Malaysia has identified possible areas for Fisheries *Refugia* establishment. Thus, Malaysia plans to implement a voluntarily closed area for both sites this month or next month based on Fisheries Research Institution's recommendations. They will focus on outreach programs such as training, more consultation meetings, and technical workshops in the coming year. Malaysia aims to strengthen cross sectoral coordination and consultations to improve community acceptance and develop a comprehensive management plan for both sites. DOF/MY will also explore mechanisms of many changes of proposed areas to effectively manage the areas and minimize the economic effects for fishers utilizing the areas. This activity is better to conduct face to face as some stakeholders may lack internet. With the high vaccination rate in Malaysia, DOF/MY hopes that it would resume the program to achieve the objectives. For MOU, Malaysia has received the documents, and it is ready to be signed by the Director-General. Although it is still pending, she will expedite the work.
- 13) Mr. Joeren S. Yleana, a Project Steering Committee from the Philippines, reported that the Philippines considers the adoption of best practices, processes, models as well as indicators developed within the Fisheries *Refugia* Project in site- and species-specific management measures. Likewise, other national projects have applied the adopted indicators used to determine whether the *Refugia* site is working well. He also reported that the Philippines with the establishment of the twelve (12) Fisheries Management Areas (FMAs), the three (3) Fisheries *Refugia* sites will form as Sub-FMAs. The establishment of FMAs, being considered as the "New Era" of fisheries management in the Philippines aims to manage the resources at the most appropriate scale, backed by science, participatory and with transparent governance. Further, the members of site-committee namely the Bolinao, Coron, and

Masinloc will be represented in the Management Boards of FMA. In terms of on-site activities, he mentioned that the Covid 19 Pandemic has also affected the work since the first quarter of 2020. He expressed the challenges which include limited internet connectivity, limitations of travels, etc. He also informed that the Philippines' *Refugia* team continues its coordination in preparation for the management plan and *refugia* maps. It is hoped that the last quarter of this year, face-to-face meetings with the local site committee will be possible. Further, the Philippines has proposed to conduct a national committee meeting within the period. The Philippines is still optimistic with its target outputs on time. Regarding the project extension of LOA, Mr. Joeren S. Yleana reported that the document is already presented to the heads of the National Fisheries Research and Development Institute, the implementing agency of the project. Comments will soon be consolidated and transmitted back to PCU for finalization. He hoped for a fruitful meeting.

- 14) Mrs. Prulai Nootmorn, a Project Steering Committee from Thailand, informed their best effort to achieve the project goals. Thailand carries on the local consultation for the Fisheries *Refugia* boundaries and management plan in five districts in Trat province and seven districts in Surat-Thani province for the fisheries *Refugia's* boundaries and management plan in Trat for short mackerel with five (5) meetings with about 900 local stakeholders participating in the activities. Also, Thailand conducted an online meeting for the national Fisheries *Refugia* committee and national scientific and technical committee to decide on policy and technical aspects for the Fisheries *Refugia* management for two (2) sites. Also, Thailand created a web portal for Fisheries *Refugia* with a lot of information. She also updated that Fisheries *Refugia* for blue swimming crab in Surat Thani has been official announced, while short mackerel in Trat is on the process of official notification. She informed that Thailand will continue the activities, remaining in the work plan.
- 15) Mr. Nguyen Thanh Binh, a Project Steering Committee from Viet Nam, informed that Viet Nam had recognized the concept of fisheries *refugia* by the project implementation since 2017. Therefore, Viet Nam has already prepared provisions of the new Fisheries Law on the fisheries resource protection area which is equivalent to fisheries *refugia*. Since then, a number of fisheries resource protection areas have been established and managed in some provinces under the Fisheries Law and related regulations. He mentioned that this project is an important basis for developing and revising regulations focusing on establishing and managing the fisheries resources protection areas, the same as the Fisheries *Refugia* site. There are 22 sites for the protected areas in the central province of Thua Thien Hue in Viet Nam. The three (3) of those sites developed by this project shall be included in the fisheries master plan until 2030, which will be approved by the Prime Minister. Therefore, the sites will be definitely official established and managed by the government. For further information about this master plan, there will be more sites to be included as a result of the adoption of the fisheries *refugia* concept from the project. DFISH has communicated with the provincial fisheries administration, local government and fishing communities to get involved in the determining of target species, fisheries resources and the boundaries of the areas. For the management, the provincial government is in charge in accordance with the law in-force. However, the co-management mechanism will be applied in inshore and nearshore areas. For LOA, it is completed and will be sent to SEAFDEC next week. Finally, he stated that Viet Nam is now underway for the amendment of the project document and revision of overall implementation plan.

5. REPORT OF THE CHAIRPERSON OF THE FORTH MEETING OF REGIONAL SCIENTIFIC AND TECHNICAL COMMITTEE

- 16) The chairperson invited the chairperson of RSTC4, Mr. Ngurah N. Wiadnyana, to present the highlight of the RSTC4 Report.
- 17) Mr. Ngurah N. Wiadnyana, the chairperson of the Fourth Meeting of the Scientific and Technical Committee (RSTC4), presented the highlight of the RSTC4 Report, conducted on 22 July 2021 via Zoom with a total of 43 participants. The main objective of RTSC4 was to harness the national scientific and technical expertise and knowledge required to inform the policy, legal and institutional reforms for Fisheries *Refugia* Management.
- 18) He highlights the following project achievements from 2020 to 30 June 2021, based on a total of 73 activities, including baseline/field surveys and analysis, stakeholder consultation, committee Meetings, monitoring and enforcement, Fisheries *Refugia* Profile, and capacity and awareness building.
- Cambodia adopted two (2) Fisheries *Refugia* boundaries and management plans: 1) *Refugia* boundary for short mackerel in Koh Kong and 2) for blue swimming crab in Kep.
 - Five Fisheries *Refugia* boundaries underway in the adoption: one area in Cambodia, two in Malaysia, and two in Thailand,
 - Cambodia adopted the 5-year Action Plan for Marine Fisheries Management Area and the Strategic Plan for Fisheries Conservation and Management 2020 – 2029. Also, Cambodia revised Fisheries Law by including the Fisheries *Refugia* Legal Framework in the law.
 - Indonesia plans to include the Fisheries *Refugia* framework in the MPA regulation of the Ministry of Marine Affairs and Fisheries (MMAF).
 - Thailand reformed the law, regulation, and management of Fisheries *Refugia*. Moreover, Malaysia evaluates and identifies management measures based on scientific findings. Viet Nam reviews and assesses legal basis and policy for the establishment of Fisheries *Refugia*. Lastly, the Philippines reviews existing fisheries management measures in the three project sites.
 - Seventeen stakeholder consultations were conducted with several objectives, such as finalizing the fisheries *refugia* boundaries in the project sites in Cambodia, Thailand, Malaysia, and the Philippines. Capacity building and baseline survey consultation in West Kalimantan, Indonesia.
 - Published fisheries profiles: Three countries, namely Cambodia, Thailand, and the Philippines, published Fisheries *Refugia* Profiles at Koh Kong for short mackerel, Kep for BSC, Kampot for grouper, Trat for short mackerel, Surat Thani for BSC, and other three sites in the Philippines.
 - For the Regional program, the PCU worked with countries at the RTSC3 held in Viet Nam and two virtual ad-hoc meetings of the Project Steering Committee to finalize the two-year extension and revision of the budget and Workplan for 2021-2022.
 - Other matters related to the Indicators Guideline Contents, the progress of Regional Action Plan for Short Mackerel, Regional Training/Workshop for Fish Larvae Identification, and Mid-term Review progress were discussed and updated. .
- 19) The chairperson opened the floor for suggestions and comments.
- 20) Mr. Somboon Siriraksophon congratulated all six (6) countries for their efforts and achievements, particularly establishing fisheries *refugia* boundaries and revising legal framework and law to support the management of fisheries *refugia*. He also believed that these good lessons learned for Indonesia and Viet Nam to apply because the two countries have short time limitations due to their late project initiation.

- 21) Regarding Fisheries *Refugia* in Viet Nam, Mrs. Praulai Nootmorn sought clarification from Viet Nam on the target species for establishing *refugia*. In response, Mr. Nguyen Thanh Binh informed the meeting that Viet Nam is currently considering blue swimming crab as the blue swimming crab is a target species in Cambodia and Thailand. Therefore, it would be comprehensive management for blue swimming crab if Viet Nam could also go for the same species. Moreover, Binh Thuan province is a vital area for recruitment fisheries resources. In that area, Viet Nam might try to create a multi-target species site.
- 22) Mrs. Praulai Nootmorn suggested that Viet Nam considering Indo-Pacific Mackerel as target species. However, Mr. Nguyen Thanh Binh thanked Mrs. Praulai Nootmorn and mentioned that Viet Nam would consider it.
- 23) Ms. Isabelle Vanderbeck referred to the requests from the RSTC4 Report on the potential subjects for the next RSTC meeting to reflect on the request from the Secretary-General of the United Nations. As discussed with the director of the SCS project, it would be good to review the marine and coastal planning of each country to understand the priority approach in terms of planning. This suggestion aims to have a common approach for the region. She suggested the RSTC committee meeting to look at that matter in a sustainable blue economy to protect the ocean. For the midterm review, she mentioned that the committee wants to look at the learning from the project and is looking to perhaps scientific articles and publications, as this could be useful to share with the rest of the world.
- 24) Mr. Jamil Bin Musel mentioned that regarding regular training and workshops for no later than November 2022, it would be hard to complete due to the Covid19 situation. Thus, he would like to have clarification on this matter. Mr. Somboon Siriraksophon clarified this matter, referring to the RTSC4 results that the issue would be discussed again in Q1 2022 to see how the situation of the Covid19 would be. Mr. Ngurah N. Wiadnyana agreed to discuss later on this matter due to the condition of the Covid19.
- 25) After deliberation, the committees adopted the RSTC4 Report as **Annex 4**.

6. DISCUSSION ON POLICY/PROGRAM

6.1 THE MID-TERM REVIEW

- 26) Ms. Isabelle Vanderbeck introduced the objective and scope of the Mid-Term Review to the meeting. She mentioned that the mid-term review is a positive exercise that can help countries improving implementation success and performances. The objective of the mid-term review is to assess operational performances project management implementation of activities looking at the level of progress. The focus is to help the countries improve performance for the second half of the project and identify potential corrective measures. The evaluation findings will provide feedback to the project implementation to ensure the rest is more effective than the first half.
- 27) The approach of the mid-term review would be conducted as an in-depth evaluation using a participatory approach. Due to the Covid19 situation, the evaluation will likely be a desk review of the project document. Also, there would be interviews focusing on project management issues and technical issues. As well, there will be an interview with intended users and other stakeholders involved with this project.
- 28) If recalling the foundation of the project and how the project was designed, and the GEF's philosophy, GEF would like to capitalize on the existing baseline. In the case of this project, the key evaluation principles focus on "what happened?" and "what would happen anyway?".

- 29) In her presentation, the way of evaluation, contents of the report, ratings, long-term outcome and impacts after the GEF project funding ends, the project outcome ratings, etc.
- 30) She also suggested the meeting to ensure that this evaluation is truly participatory as there would be no face-to-face mid-term review due to the Covid19 pandemic. Then. She handed over the stage to Mr. Somboon Siriraksophon to continue the presentation on mid-term review. Her presentation is referred to **Annex 5**.
- 31) Mr. Somboon Siriraksophon informed the meeting that the mid-term review consultant would be selected and recruited by SEAFDEC under the contract. Also, the consultant needs to certify that he/she has not been associated with the design and implementation of the Fisheries *Refugia* Project in anyways. The schedules for the mid-term review would be finalized after the TOR adoption by the Project Steering Committee; regarding this, it would take about 38 days for the procurement process of a consultant selection. His presentation is referred to his Presentation as **Annex 6**.
- 32) Mr. Somboon Siriraksophon requested the Committee to note and comment on the proposed TOR for mid-term reviews and consider and approve for conducting the Mid-Term Reviews.
- 33) The chairperson opened the floor for discussion.
- 34) Ms. Isabelle Vanderbeck stated that due to the Covid19 situation preventing travel between countries and the fact that the GEF process is not always simple, she suggested that it would be good to have a lead consultant who has knowledge and expertise about the GEF and fisheries management in the region. However, it might be hard to find all those skills in a single person. Then, it is going to be the review. So, it would be good if the mid-term review could have someone who has enough expertise and has not been involved in the project from each country. Also, they need to be people of trust in the counties who can help with the process.
- 35) Mr. Somboon Siriraksophon supported Ms. Isabelle Vanderbeck's approach. However, he reckoned to have a regional fishery expert, instead of 6 national experts, to work with the lead consultant.
- 36) Regarding this, the committee from six countries supported the suggestion of Ms. Isabelle Vanderbeck to have a lead consultant. Still, a team to help the lead consultant could be a regional fisheries consultant or each national/local consultant from six (6) countries involved in the Mid-Term Reviews.
- 37) However, the meeting sought an opinion from SEAFDEC on this approach of having one lead consultant and each national consultant from six (6) countries.
- 38) In light of this, Ms. Malinee Smithrithee referred to the process of hiring the consultant. However, firstly, the meeting needs to conclude how many consultants the project would like to hire. After PCU and the task manager finalize the TOR, SEAFDEC can continue the process. According to her experience, one contract would employ one company to propose experts to work as a team. This could reduce time consumption as having seven (7) contracts may take a long time. However, the finalization among the countries is needed.
- 39) The chairperson requested countries to provide some opinions on this matter.
- 40) Mr. Ouk Vibol shared his viewpoint go along with having a regional consultant. For the national consultant, he has no objection to have or not. He informed that in case of the regional consultant face difficulties, the consultant could work directly with the country.
- 41) The chairperson concluded the suggestion made by Ms. Malinee Smithrithee that it is better to have only one contact for the lead consultant who has the responsibility to find local consultant support to conduct the Mid-term Review. So, this approach will reduce the time-consuming process to select the consultant. Ms. Malinee Smithrithee added that due to the

SEAFDEC recruitment process, she recommended having one contract to the lead consultant, while in the selection of consultant process, the consultant has to provide a working team for conducting the mid-term review. This may reduce some difficulties and timely of the selection process if having many contracts. She also suggested that hiring a consultant team or individual has to mention in the ToR-MTR.

- 42) Mr. Ouk Vibol supports the decision made by Ms. Malinee Smithrithee in having one contract only.
- 43) The committee from Thailand and Viet Nam also support the decision.
- 44) Ms. Lim Ai Gaik said that Malaysia could go along with the decision, and the Malaysia team will do their best to support the appointed consultant. It would be best if the appointed consultant had some background about the region.
- 45) In conclusion, the committee all supported the idea of having one contract only.
- 46) In addition, Malaysia raised a concern on the proposed timeframe as the proposed three months for mid-term review might not be enough for the exercise as December and January has many holidays. Thus, Malaysia was concerned that the consultant might not be able to finish the work in time. In response to this, the PCU adjusted a timeframe from three months to three and a half months for the mid-term review.
- 47) The meeting noted that Mr. Worawit Wanchana from SEAFDEC Secretariat pointed out that the term “regional consultant” does not exist in the TOR of the mid-term review, and it may cause confusion. Hence, he suggested using other words that clearly describe the job's duty.
- 48) The TOR of the Mid-term Review is amended as discussions as **Annex 7** of this report.

6.2 PROGRESS ON PROJECT EXTENSION LOA/MOU BETWEEN SEAFDEC AND PARTICIPATING COUNTRIES

- 49) The chairperson invited Mr. Weerasak Yingyuad, a representative from SEAFDEC/PCU, to present the progress on the project extension LoA/MoU between SEAFDEC and participating countries.
- 50) Mr. Weerasak Yingyuad informed the meeting on the Project Extension LoA/MoU timeline between SEAFDEC and Participating Countries as follows:
 - In October 2020, at its 4th Ad-hoc Meeting (PSC4 Ad-hoc Meeting), the Project Steering Committee agreed on a two-year project extension from 2021 to 2022.
 - In December 2020, SEAFDEC Council Director approved the project extension; in this connection, SEAFDEC and UNEP countersigned Amendment No. 1 of the Project Cooperation Agreement (PCA) for a two-year extension on 30 December 2020.
 - In May 2021, SEAFDEC Started the process for amendment agreements with 6 Participating Countries.
 - In June 2021, there was a recruitment of project director and Dr. Somboon was re-selected, as well as, SEAFDEC sent the draft amendment MoU/LoA/Lol to 6 participating countries for their review.
 - In July 2021, SEAFDEC officially sent the LoA signed by SEAFDEC to Cambodia, Malaysia, and Vietnam for countersign.
- 51) He also updated the meeting about the current status of the project extension LoA/MoU between SEAFDEC and participating countries as follows:

- For Cambodia, the process has been completed.
- For Indonesia, they are in the process of consideration on the draft of the new LoA by AMFRHR. SEAFDEC noted the challenge of the process is that situation of the COVID-19 pandemic, which resulted in the temporary closure of the AMFRHR office since early July.
- For Malaysia, DOF/Malaysia is in the considering process for a countersign on a new MoU.
- The Philippines is in the process of amending the new LoA for consideration by SEAFDEC.
- DOF/Thailand is in the considering process on the draft new LoA.
- Viet Nam is in the process of consideration to sign a new Lol by the Directorate of Fisheries, Viet Nam.

52) Mr. Weerasak Yingyuad requested the PSC5 to note the Project Extension LoA/MoU between SEAFDEC and Participating Country. Also, the PSC5 was invited to provide suggestions/comments and advise on the Project Extension LoA/MoU between SEAFDEC and Participating Country. The presentation of the progress on the project extension LoA/MoU between SEAFDEC and participating countries is as **Annex 8**.

53) The chairperson opened the floor for discussion.

54) Ms. Sitti Hamdiyah, a representative from the Bureau of Public Relations and Foreign Cooperation, speaking on behalf of the national coordinator, updates on the progress of the LoA between Indonesia and SEAFDEC. She informed that due to the Alternate Council Director, Dr. Sjarief Widjaja, the in-charge person in the process, entering his retirement and returning to his position, Indonesia, therefore, needs to consult with related agencies to discuss this matter. In terms of implementation, she believes that AMFRHR, as a national lead agency highly committed to completing the project in time.

55) Mr. Ouk Vibol asked Mr. Somboon Siriraksophon and relevant persons about what would happen if some countries could not sign LoA in time?

56) Mr. Somboon Siriraksophon responded that it would be the worst case. He was sorry that he did not have an answer for the question, but he hoped it would not happen.

6.3 PROGRESS ON ASEAN ENDORSEMENT/SUPPORT TO THE REGIONAL ACTION PLAN FOR MANAGEMENT OF TRANSBOUNDARY SPECIES, INDO-PACIFIC MACKEREL (RASTRELLIGER BRACHYSOMA) IN THE GULF OF THAILAND SUB-REGION

57) The chairperson invited Mr. Somboon Siriraksophon to present the progress to endorse the regional action plan for managing transboundary species Indo-Pacific Mackerel in the Gulf of Thailand Sub-Region (RAP-mackerel).

58) Before starting the presentation, Mr. Somboon Siriraksophon, on behalf of PCU, expressed his appreciation to the SEAFDEC Secretariat and the ASEAN Member States for supporting the regional action plan for managing transboundary species, Indo-Pacific Mackerel in the Gulf of Thailand Sub-Region (RAP-mackerel) under the ASEAN policy framework.

59) The RAP-mackerel aims to enhance the improved management policy of critical habitats for fish stocks of transboundary significance. The RAP-mackerel was drafted in September 2019 through the Expert Consultation. SEAFDEC Council Directors at its 52nd Meeting adopted the RAP-Mackerel in May 2020, followed by endorsement from the Fisheries Consultative Group Meeting of the 22nd ASEAN SEAFDEC Strategic Program in November 2020. Later, it was endorsed by the 28th ASEAN Sectoral Working Group on Fisheries in June, followed by the

Senior Official Meeting (SOM) of the 42nd ASEAN Ministry of Agriculture and Forestry (42 AMAF) in August. Currently, PCU is waiting for the result from 42 AMAF in October 2021.

- 60) Mr. Somboon Siriraksophon requested the meeting to take notes on the updated status of the ASEAN endorsement and support of the RAP-Mackerel. Also, He invites the country to consider and apply the RAP-Mackerel for further development of the national action plan. The working paper and PowerPoint presentation are enclosed as **Annex 9A-B** of this report.
- 61) The committee took notes and there were no comments and suggestions from the meeting.

7. FINANCIAL AND BUDGETARY MATTERS

7.1 THE EXPENDITURE REPORT AS OF 30 JUN 2021 AND CONSIDERATION THE NEXT BUDGET REVISION

- 62) Mr. Somboon Siriraksophon informed the meeting of the overall expenditure report as of 30 June 2021. He described that cumulative expenditure as of 30 June 2021, refers to the 2nd budget revision at 30 June 2020, was about USD 1.68 million, and the balance at 1 July 2021 was about USD 1.32 million. It was equal to 44% of the remaining budget.
- 63) Also, Mr. Somboon Siriraksophon showed the expenditures of the regional program to the meeting. The accumulative expenditures as of 30 June 2021 were about 1 million USD, and the balance at 1 July 2021 was about USD 488k.
- 64) Mr. Somboon Siriraksophon informed the meeting that the SEAFEC PCU had hired two staff to assist in preparing and/or compilation of the matters concerning account in the project, assist in organizing events (meetings, workshops, etc.), as well as expenditures reporting as required according to the implementation.
- 65) In this connection, the Fisheries *Refugia* PCU planned to cooperate with the Implementation Project of the South China Sea Strategic Action Program (SCS SAP) in sharing the cost of hiring these two staff. From March to December 2021, the cost would be shared by two projects in a ratio of 3/7. In addition, from January to December 2022, the SCS SAP project will cover the entire cost of hiring two staff to support both projects. Due to this matter, PCU would like to get an endorsement from the committees.
- 66) Mr. Somboon Siriraksophon also informed the meeting that overspend appeared in budget line 2200: Sub-contracts (for non-profit supporting organizations) of the regional program. Accordingly, the PCU considers all budget needs in each budget line and found that the budget line 1200: Consultant fee would remain about 40,000 USD by the end of 30 June 2023. Regarding this, the PCU proposed the Budget Revision of the Regional Program to manage the allocated budget for the regional program effectively. The PCU plans to move exceeding budget from BL1200 to increase the BL 1200: Sub-contracts, BL 3200: Group training/WS on Larval Fish Identification, BL 3300: Regional Meeting, PSC, RSTC, Conference), and BL 5200: Publications and Map, Printing), that still need further support.
- 67) In light of this, Mr. Somboon Siriraksophon requested the committee to take notes on the expenditure report as of 30 June 2021 and the Balance from 1 July 2021 until the project's end and approve the shared cost with the SCS-SAP Implementation project for hiring two project staff until the project end. The Committee was also invited to consider the proposed third Budget Revision conducting before the end of 2021 to apply the revised budget for 2022. The presentation and working paper are enclosed as **Annex 10 A-B** of this report.
- 68) The chairperson opened the floor for suggestions and comments.
- 69) Mr. Joeren S. Yeana mentioned that the current LoA is based on the last PSC meeting. Thus, he would like to ask whether the LoA has to be revised accordingly.

- 70) Mr. Somboon Siriraksophon clarified that the decision of the Project Steering Committee could supplement what it has on the agreement.
- 71) Mr. Ouk Vibol referred to the second budget revision, which was over 10 percent change. It required the participating countries to sign the agreement again. Thus, he would like to as if the third budget revision be the same.
- 72) Mr. Somboon Siriraksophon explained that the first budget revision in 2019 only applied to the requests from Malaysia and PCU. But for the second budget revision in June 2020, the PCU considers that many countries did not revise their budget for almost four (4) years caused the cumulative overspent greater than 10%. However, he believed that the third budget should not be over 10 percent. Also, he suggested to the countries to keep the variant within 10 percent.
- 73) Also, Mr. Somboon Siriraksophon mentioned that if countries agree on the third project revision, SEAFDEC PCU will communicate with all countries. After that, PCU will compile all the revised budgets to present in the next Ad-hoc PSC meeting before the end of 2021 for consideration and approval.
- 74) Ms. Lim Ai Gaik mentioned that Malaysia would revise the budget accordingly as Malaysia plans to revise their program for the two (2) sites and allocate the budget to hire consultants to help develop anagement plans and work on other activities. So, Malaysia will discuss with PCU for the budget revision.
- 75) After deliberation, the Committees adopted the shared-cost with the SCS-SAP Implementation project to hire two project staff and support conducting the third budget revision proposed by the PCU.

7.2 THE CO-FINANCING AS OF 30 JUN 2021

- 76) Mr. Somboon Siriraksophon informed the co-finance report as of 30 June 2021 to the meeting. Also, he mentioned that the overall co-finance as of 30 June 2021 was about 10.1 million USD, and the commitment to GEF was about 12.45 million USD. Generally, there are about two (2) million USD to meet the GEF co-finance requirement. However, looking at each country's and partner's commitments, they are described as in-kind and cash co-finance, which all partners are requested to consider these figures. Thus, all partners are asked to continue reporting the co-finance from Q3 this year until the end of the project. He believes that the co-financing from all partners can meet the GEF requirements. He requested the committee to note and endorse this co-financial report as of 30 June 2021. The co-finance report is enclosed as **Annex 11** of this report.
- 77) The chairperson opened the floor for suggestions and comments.
- 78) Mr. Nguyen Thanh Binh had a question regarding the Viet Nam co-financing as activities were done in the past, but it might not has yet counted as co-finance.
- 79) Mr. Isara Chanrachkij from SEAFDEC/TD informed the meeting that currently, SEAFDEC is rechecking the activities that have been done to support Fisheries *Refugia* Project in the past few years. Hence, SEAFDEC will inform the PCU about the revision of the co-finance for consideration.
- 80) Mr. Ouk Vibol believes that Cambodia could reach the co-finance target as the government supported 200 blocks to be deployed in the Fisheries *Refugia* areas by the end of 2021. Thus, he would like PCU to provide the record so that countries can check whether they reach the co-finance target or not.

81) As requested by countries and SEAFDEC, Mr. Somboon Siriraksophon proposed compiling the missing co-finance in the past activities. The PCU will provide the most updated co-finance records to each country and SEAFDEC after the meeting so that the respective country and SEAFDEC can cross-check with their records. Moreover, all countries and SEAFDEC are requested to report back together with the co-finance report for Q3/2021. The PCU also points out that all missing co-finance will be recorded together in the Q3 Co-finance Report because the PCU cannot change the past record affecting the UNEP/GEF co-finance recording system.

7.3 FINANCIAL AUDIT

82) Mr. Somboon Siriraksophon informed the meeting on the 2020 audit Report status; he expressed his sincere thanks to all countries' efforts in working with audit firms in the difficult time of the Covid-19 pandemic. Five (5) countries have already submitted the audit reports to SEAFDEC/PCU to consolidate the financial statements further. The remaining audit report from Thailand will be completed within the first half of September; regarding this, the PCU expects that the consolidated financial statement report would be completed by the end of September 2021.

83) Mr. Somboon raised the issues on annual audits for 2021 and 2022. He suggested that it would be good to continue the audit service from the same firms employed by each country and partner until the project end. However, the country can change the audit firms depending upon the decision and consultation with the SEAFDEC/PCU. Also, he requested Viet Nam start selecting the auditor in advance referred to the agreement between SEAFDEC and D-Fish.

84) Mr. Somboon informed the timeline for finalizing the firm's proposal for their 2021 and 2022 calendars audit service to ensure that the firm cloud starts their service and submit the audit report to the PCU by the end of March 2022 and 2023. By this timeline, SEAFDEC can complete the Consolidated Financial Statements Report by June of 2022 and 2023.

85) Regarding this, the PCU requests the committees to note the progress of the 2020 financial audit report and consider the timeline for conducting the audit report of 2021 and 2022 calendars. The working paper of the financial audit are enclosed as **Annex 12** this report.

86) There was no comment from the meeting; then, the committee noted the progress of the 2020 Audit Report and the timeline for conducting the audit report of 2021 and 2022 calendars.

8. OTHER BUSINESS

8.1 SEAFDEC PROGRAMS IN SUPPORTING IMPLEMENTATION OF THE FISHERIES REFUGIA PROJECT

87) Mr. Worawit Wanchana informed the meeting of the SEAFDEC approaches to support the Fisheries *Refugia* project as follows:

- Recovering fish stock and critical habitats through integrating fisheries management and biodiversity conservation: there are three (3) approaches: 1) Promote the establishment of local, national, and regional EAFM groups/experts / national core team; 2) Introduce standards and methodology to define the sustainable level of fisheries resources; 3) Apply the best practices for reducing impacts from fishing to coastal and marine environments:

- Area-based approach through the joint efforts in managing transboundary species: there are two (2) approaches, 1) Science-based knowledge and data/information to support the management of transboundary species; 2) Established bilateral dialogue and sub-regional platforms within same and cross-sectoral departments/ministers.

88) The approaches mentioned above are from SEAFDEC's experiences supporting their Member Countries on sustainable fisheries development during the past years. At present, SEAFDEC also plans to develop the cooperation platform in the Gulf of Thailand sub-region to support the GEF/FAO GoT-Fish project. In addition, SEAFDEC is also involved in the joint effort to develop the regional action plan under the new project in the Bay of Bengal Large Marine Ecosystem.

89) He also highlighted SEAFDEC activities to reduce the impacts of fishing on the coastal and marine environment, including the design and work plan for responsible fishing gears and best practices. In addition, SEAFDEC established the bilateral dialogue and platforms to discuss the issues and develop collaboration among countries to implement/support the agreed joint action plans effectively. In light of this, Mr. Worawit Wanchana encouraged countries to apply these resources available to all countries. The presentation of SEAFDEC programs is enclosed as **Annex 13** of this report.

90) The chairperson opened the floor for questions and discussion.

91) Mr. Nguyen Thanh Binh stated that the approach that fisheries management combines with biodiversity conservation and areas with transboundary is very important for Viet Nam.

92) Ms. Isabelle Vanderbeck would like SEAFDEC to share the link to access the information, as it would be a great initiative to map out all useful documentation.

93) Mr. Worawit Wanchana mentioned that it is easy to find from Google by typing "SEAFDEC" as a keyword followed by the keywords users would like to search. However, if the information is not yet published, Mr. Worawit Wanchana can provide the information through the PCU.

8.2 OTHER MATTERS

94) The chairperson opened the floor for other businesses.

95) Mr. Isara Chanrachkij referred back to agenda 6.1; he sought clarification from the meeting on the midterm review approval as he is one of the responsible SEAFDEC staff who help facilitating in terms of the hiring consultant for the midterm review. The question was about the status of TOR circulated to the meeting. As he noted that there are some minor changes in the TOR, he then seeks clarification on the decision of the Committee on TOR.

96) In response to the questions raised from Mr. Isara C., Mr. Somboon, on behalf of the PCU, recalled the discussion results that the Committee, firstly, agreed to change a timeframe for Mid-term Review to three (3) and a half months, and secondly decided to have one (1) contract for the consultant selection process for both cases, a team or individuals. He also informed the meeting that the agreed changed timeframe and above selection process are reflected in the PSC5 Meeting Report. He, in his opinion, proposed not to revisit for adoption again for the changes in TOR-MTR.

97) Mr. Isara C. noted the approval in principle from the Committee to conduct the Mid-Term Review. In this connection, the SEAFDEC Training Department will further coordinate and seek approval from the SEAFDEC Secretary-General.

ANNEX 1: LIST OF PARTICIPANTS

CAMBODIA

No.	Name	Sex	Title	Organization	Email
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VIET NAM

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SEAFDEC

No.	Name	Sex	Title	Organization	Email
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PROJECT COORDINATING UNIT

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ANNEX 2: LIST OF DOCUMENTS

Code	Meeting Document	
PSC5_Inf.1	Provisional Prospectus	
PSC5_Inf.2a	Provisional Agenda and Timetable	
PSC5_Inf.2b	Annotated Provisional Agenda	
PSC5_Inf.3	List of Documents	
PSC5_Inf.4	List of Participants	
PSC5_WP.1	Report of the Chairperson of the Forth Meeting of Regional Scientific and Technical Committee	
PSC5_WP.2	The Mid-Term Review	
PSC5_WP.3	Progress on Project Extension Loa/Mou Between SEAFDEC and Country	
PSC5_WP.4	Progress on ASEAN Endorsement/Support to the Regional Action Plan for Management of Transboundary Species, Indo-Pacific Mackerel (<i>Rastrelliger Brachysoma</i>) In the Gulf of Thailand Sub-Region	
PSC5_WP.5	Expenditure Report As of 30 Jun 2021 and Consideration the next Budget Revision	
PSC5_WP.6	Co-financing Report As of 30 Jun 2021	
PSC5_WP.7	Financial Audit: <ul style="list-style-type: none"> • Progress of Audit Report 2020 • Auditors for the year 2021 and 2022 	
PSC5_WP.8	SEAFDEC Programs in Supporting the Implementation of Fisheries <i>Refugia</i> Project	
PSC5_Ref.1	TORs for the Project Steering Committee	
PSC5_Ref.2	Report of the Forth Meeting of Regional Scientific and Technical Committee	
PSC5_Ref.3	TORs Mid-Term Review	
PSC5_Ref.4	Regional Action Plan for Management of Transboundary Species, Indo-Pacific Mackerel (<i>Rastrelliger Brachysoma</i>) In the Gulf of Thailand Sub-Region	

ANNEX 3: AGENDA

Meeting Agenda	Speaker/Presenter
<p>1. OPENING OF THE MEETING</p> <p>1.1 KEYNOTE ADDRESS BY THE CURRENT PSC2 CHAIRPERSON (MALAYSIA)</p> <p>1.2 KEYNOTE ADDRESS BY UNEP PROJECT TASK MANAGER</p> <p>1.3 OPENING KEYNOTE ADDRESS BY SEAFDEC/Sec-Gen</p>	<p>Mr. Zaki Mokri</p> <p>Ms. Isabelle Vanderbeck</p> <p>Ms. Malinee Smithrithee</p>
<p>2. ORGANISATION OF THE MEETING</p> <p>2.1 DESIGNATION OF OFFICES</p> <p>2.2 ORGANIZATION OF THE WORK</p>	<p>Mr. Zaki Mokri</p> <p>Mr. Nguyen Thanh Binh</p>
<p>3. ADOPTION OF THE MEETING AGENDA</p>	<p>Mr. Nguyen Thanh Binh</p>
<p>4. OPENING STATEMENTS ON BEHALF OF THE PARTICIPATING COUNTRIES</p> <p>4.1 CAMBODIA</p> <p>4.2 INDONESIA</p> <p>4.3 MALAYSIA</p> <p>4.4 PHILIPPINES</p> <p>4.5 THAILAND</p> <p>4.6 VIET NAM</p>	<p>Mr. Ouk Vibol</p> <p>Ms. Iswari Ratna Astuti</p> <p>Ms. Lim Ai Gaik</p> <p>Mr. Joeren S. Yeana</p> <p>Mrs. Praulai Nootmorn</p> <p>Mr. Nguyen Thanh Binh</p>
<p>5. REPORT OF THE CHAIRPERSON OF THE FORTH MEETING OF REGIONAL SCIENTIFIC AND TECHNICAL COMMITTEE</p>	<p>Mr. Ngurah N. Wiadnyana</p>
<p>6. DISCUSSION ON POLICY/PROGRAM</p> <p>6.1 THE MID-TERM REVIEW</p> <p>6.2 PROGRESS ON PROJECT EXTENSION LOA/MOU BETWEEN SEAFDEC AND PARTICIPATING COUNTRY</p> <p>6.3 PROGRESS ON ASEAN ENDORSEMENT/SUPPORT TO THE REGIONAL ACTION PLAN FOR MANAGEMENT OF TRANSBOUNDARY SPECIES, INDO-PACIFIC MACKEREL (RASTRELLIGER BRACHYSOMA) IN THE GULF OF THAILAND SUB-REGION</p>	<p>Ms. Isabelle Vanderbeck</p> <p>Mr. Somboon S.</p> <p>Mr. Weerasak Yingyuad</p> <p>Mr. Somboon S.</p>
<p>7. FINANCIAL AND BUDGETARY MATTERS</p> <p>7.1 THE EXPENDITURE REPORT AS OF 30 JUN 2021 AND CONSIDERATION THE NEXT BUDGET REVISION</p> <p>7.2 THE CO-FINANCING AS OF 30 JUN 2021</p> <p>7.3 FINANCIAL AUDIT</p>	<p>Mr. Somboon S.</p> <p>Mr. Somboon S.</p>

<ul style="list-style-type: none"> • PROGRESS ON 2020 FINANCIAL AUDIT • CONSIDERATION OF AUDITOR’S CONTRACTs FOR 2021 and 2022 	Mr. Somboon S.
<p>8. OTHER BUSINESS</p> <p>8.1 SEAFDEC PROGRAMS IN SUPPORTING IMPLEMENTATION OF THE FISHERIES REGUFIA PROJECT</p>	Mr. Worawit Wanchana
<p>9. DATE AND PLACE OF THE NEXT MEETING OF THE PROJECT STEERING COMMITTEE</p>	Mr. Nguyen Thanh Binh
<p>10. CLOSURE OF THE MEETING</p>	<p>Mr. Nguyen Thanh Binh</p> <p>Ms. Isabelle Vanderbeck</p> <p>Ms. Malinee Smithrithee</p>

ANNEX 4: REPORT OF THE RSTC4 BY CHAIRPERSON

SEAFDEC/PCU organized the 4th Regional Scientific and Technical Committee Meeting (RSTC4) via Zoom Platform on July 22nd, 2021. The RSTC4 aimed to harness the national scientific and technical expertise and knowledge required to inform the policy, legal and institutional reforms for fisheries *refugia* management in the South China Sea and the Gulf of Thailand. The RSTC4 was attended by National Scientific and Technical Focal Points from 6 participating countries, regional experts, scientists from national institutions, and SEAFDEC/Training Department. A total of 43 participants, including 21 females and 22 males.

I. Highlights of the Project Achievements from 2020 to 30 June 2021

A total of 70 activities at national and regional levels, implemented from 2020 to June 2021, are summarized. It highlights the achievements of the project implementation, particularly the planned outputs such as seven fisheries profiles, revision of fisheries law, regulation, fisheries management plan, strategic plan, and adoption of the Regional Action Plan for Short mackerel. Significantly, two adopted fisheries *refugia* in Cambodia together with a total of 5 tentative fisheries *refugia* in Malaysia (2), Thailand (2), and Cambodia (1). The activities-based progress in percentage and cumulative expenditure and co-financing to date from all executed partners are presented. A highlight of the project implementations are as follows:

- 1.1 A total of 73 activities were conducted by six participating countries, namely Cambodia, Indonesia, Malaysia, Philippines, Thailand, and Viet Nam. Table 1 shows list of activities implemented by countries from 2020 to 30 June 2021. Figure 1 shows the percentages by types of activities implemented by countries

Table 1: List of Activities by countries from 2020 to 30 June 2021

Activities	CAM	ID	MY	PH	TH	VN	Total	Total %
Baseline/Field Surveys and Analysis	11	2	3	4	3	3	26	36
Stakeholder Consultation	7	4	1	3	2		17	23
Committee Meetings	4	3	3	2	4		16	22
Monitoring, enforcement	2						2	3
Fisheries Refugia Profile	3			1	2		6	8
Capacity, Awareness Building	3	1		1	1		6	8
Total	30	10	7	11	12	3	73	100

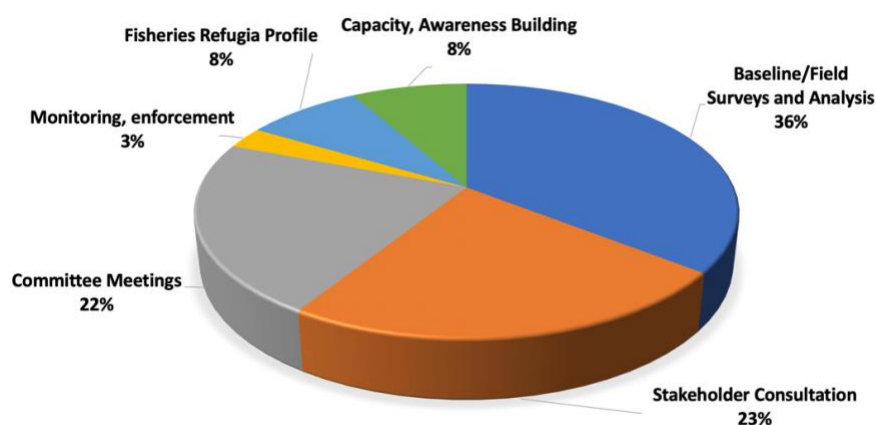
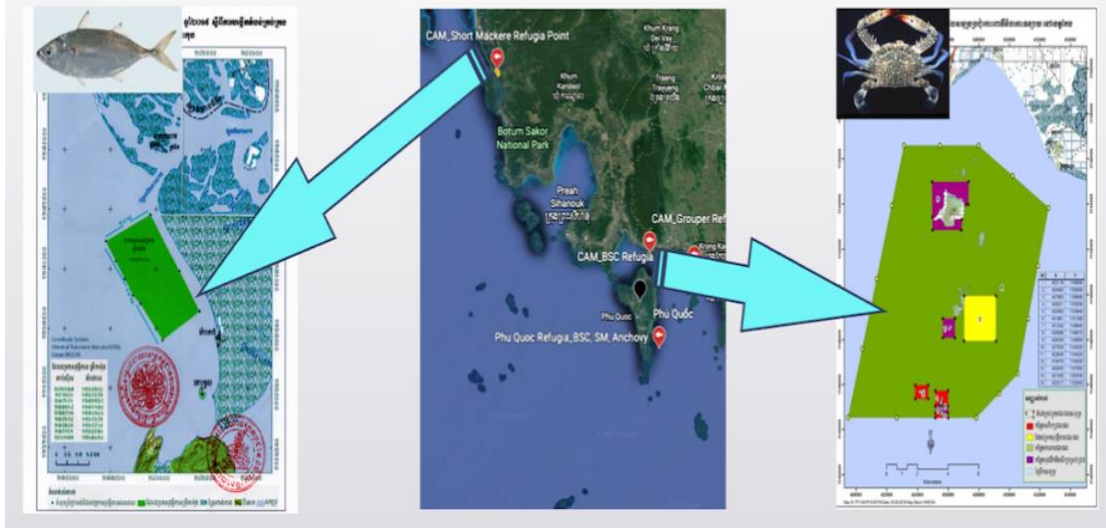


Figure 1: Percentage of Activity Types from 2020 to June 2021

1.2 Two Fisheries *Refugia* were adopted by the Royal Government of Cambodia:

1) Short Mackerel FR in Koh Kong

2) Blue Swimming Crab FR in Kep



Indicators	Name/Location/Province	Target Species	Status		Estimated Refugia Size (Hectares)	Marine Habitat linkage		Refugia Profile (done/not yet)
			Adopted	In process (expected date)		Type (coral, seagrass, mangrove)	Estimated Size (ha)	
Fisheries Refugia Adoption	Marine Fisheries Management Area including Fisheries Refugia at Koh Po, Kep province	Blue Swimming Crab (<i>Portunus pelagicus</i>)	12 April 2018		417 ha	- Coral reef, - Sea grass, - Mangrove	Coral reef = 52ha Sea grass= 2790ha Mangrove= 1005ha	Done
	Fisheries Refugia at Peam Krosob, Koh Kong province	Short Mackerel (<i>Rastrelliger brachysoma</i>)	16 Sept. 2019		1283 ha	- Coral reef, - Sea grass, - Mangrove	Coral reef = 602ha Sea grass= 3993ha Mangrove= 62000ha	Done

1.3 Five Fisheries *Refugia* are in processing for adoption:

- 1) In Trat, Thailand for Short Mackerel
- 2) In Surat Thani, Thailand for Blue Swimming Crab
- 3) In Tanjung Leman, Malaysia for Spiny Lobster
- 4) In Miri, Malaysia for Tiger Prawn
- 5) In Kampot, Cambodia for Juvenile Grouper



Country	Name/Location/Province	Target Species	Status		Estimated Refugia Size (Hectares)	Marine Habitat linkage		Refugia Profile (done/not yet)
			Adopted	In process (expected date)		Type (coral, seagrass, mangrove)	Estimated Size (ha)	
Malaysia	Site 1: Tanjung Leman, East Johor, Malaysia	Spiny Lobster (<i>Panulirus polyphagus</i>)		2022	140,023 ha	Coral, seagrass	Johor Marine Park: 76,565 ha Seagrass: 706 ha	Done
	Site 2: Kuala Baram, Miri, Sarawak, Malaysia	Tiger Prawn (<i>Penaeus monodon</i>)		2022	85200	Coral, mangrove	Miri-Sibuti Coral reefs National Park: 186,930 ha	Done
Thailand	Site 1: Trat	Short mackerel	✓		154,600 ha	coral, mangrove, seagrass	coral = 2,841 ha mangrove = 9,553 ha seagrass = 1,016 ha Total = 13,410 ha	done
	Site 2: Surat Thani	Blue swimming crab	✓		900 ha	mangrove, seagrass	mangrove = 2.94 ha seagrass = 8.13 ha Total = 11.07 ha	done
Cambodia	Marine Fisheries Management Area including Fisheries Refugia at Trapaing Ropaov, Kampot province	Grouper (<i>Epinephelus coioides</i>)		2021	N/A	- Coral reef, - Sea grass Mangrove	Coral reef = 953ha Seagrass= 25000ha Mangrove= 1900ha	Done

1.4 Revision of fisheries law, regulation, fisheries management plan, Strategic plan:

- Cambodia adopted the 5-year Action Plan for Marine Fisheries Management Area, including management measures in KEP Province
- Cambodia also adopted the Strategic Plan for Fisheries Conservation and Management 2020 – 2029 (includes FMA: Fisheries Management Area/FR)
- Cambodia revised Fisheries Law by including Fisheries *Refugia* concept in the law
- Indonesia consulted with Interagency (Directorate General (DG) of Marine Spatial Management) to include Fisheries *Refugia* in the MPA regulation of the Ministry of Marine Affairs and Fisheries (MMAF)
- Thailand reformed the law, regulation, and management of Fisheries *Refugia*
- Malaysia evaluates and identifies management measures based on scientific findings
- Viet Nam reviews and assesses legal basis and policy for the establishment of Fisheries *Refugia*.
- Philippines reviews existing fisheries management measure in the area of the 3 project sites

1.5 Stakeholder Consultations

- Cambodia conducted four consultations and three field surveys to finalize the Marine Fisheries Management Area map of the Juvenile Grouper *Refugia* in Kampot province.
- the Philippines conduct Stakeholder consultations in three priority *Refugia* sites; a total of 413 persons attended.
- Consultative Meeting for establishing fisheries *refugia* of Penaeid shrimp in West Kalimantan, Indonesia, a total of 43 persons attended the meeting
- Thailand conducted Stakeholder Consultation to finalize the fisheries *refugia* boundary areas:
 - At Trat for short mackerel: five meetings in 5 districts. A total of 400 stakeholders engaged in the discussion

- At Surat-thani for blue swimming crab: covering 7 Districts where 497 stakeholders engaged in the discussion

1.6 Fisheries *Refugia* Profiles (will be published and online in August 2021):

- Profile for Short Mackerel in Trat, Thailand (<http://hdl.handle.net/20.500.12067/1699>)
- Profile for Short Mackerel in Koh Kong, Cambodia (<http://hdl.handle.net/20.500.12067/1722>)
- Profile for BSC in Surat Thani, Thailand (<http://hdl.handle.net/20.500.12067/1705>)
- Profile for BSC in Kep, Cambodia (<http://hdl.handle.net/20.500.12067/1723>)
- Profile for Grouper in Kampot, Cambodia (<http://hdl.handle.net/20.500.12067/1724>)
- Profiles for the Philippines: three priority sites (<http://hdl.handle.net/20.500.12067/1716>)

1.7 Regional Programs:

- The Third Regional Scientific and Technical Committee Meeting (RSTC3) was held on February 5th-7th, 2020, in Hai Phong, Viet Nam.
- The Third Project Steering Committee Ad-hoc Meeting (PSC3-Adhoc) was held online on June 16th, 2020 with aimed to finalize on the proposed two-years project extensions from 2021 to 2022.
- The Fourth Project Steering Committee Ad-hoc Meeting was also held online on October 6th, 2020 with aimed to adopt the budget revision and the proposed costed Workplan for the two-years project extensions.
- Information and Knowledge dissemination via Fisheries *Refugia* Websites (<https://fisheries-refugia.org/>)

II. Other Matters for Information and Decisions by the RSTC4

2.1 Contents of the Regional Guidelines on Indicators of Sustainable Management of Fisheries *refugia*.

The Committee took note of the proposed contents of the Regional Guidelines on Indicators for Sustainable Fisheries *Refugia* Management to be drafted by the PCU. The PCU expected to complete the 1st draft of Indicators Guidelines by the end of 2021 for further consideration by RSTC before submission to PSC for endorsement.

2.2 Regional Action Plan for Management of Transboundary Species, Indo-Pacific Mackerel (*Rastrelliger Brachysoma*) In the Gulf of Thailand Sub-Region.

The committee took note the adoption of the RAP-Mackerel by SEAFDEC Council Director in May 2020. The RAP-Mackerel was later endorsed at the Fisheries Consultative Group of the ASEAN-SEAFDEC Strategic Partnership (FCG/ASSP) in November 2020 and further consideration by the ASEAN Sectoral Working Group on Fisheries (ASWGFi) in mid of 2021 and further support by the 42nd Senior Officials Meeting of the ASEAN Ministers on Agriculture and Forestry (SOM-42nd AMAF) in August 2021.

2.3 Regional Training/Workshop for Identification of Fish Larvae and Expected Outputs

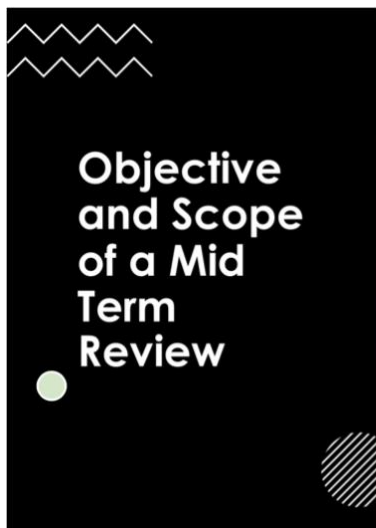
The PCU informed the committee of the impact of the Covid-19 pandemic, which limited traveling from 2020 until the present. The PCU cannot organize the Regional Training. The PCU proposed to spend this allocated budget for other activities such as developing the Identification Guidebook based on the existing data in the region. However, a lack of knowledge and expertise for larval identification is a critical requirement by countries.

The committee, therefore, suggested maintaining the Regional training/workshop for 2022 but no later than November 2022. Because the Regional Training Program is an independent activity on knowledge transferring, not relates to any policy matter. Regarding this, the maximum of participants in this training workshop is 15 persons suggested by Trainer. The budget for this activity will be revised, if needed, for consideration by both RSTC and PSC later.

2.4 Mid-Term Reviews

PCU informed the meeting that the PCU received comments and suggestions from SEAFDEC and UNEP Task Manager on the 1st draft Terms of Reference (ToR) of the Mid-Term Review in mid-July 2021. The Mid-term Review consultant will be selected and recruited by SEAFDEC with UNEP task manager and project director support. Countries are welcomed to share the TOR with national and regional experts to apply for this job.

ANNEX 5: WHAT IS MID-TERM REVIEW



The objective of a Mid-Term Review (MTR) is to **assess operational aspects**, such as **project management** and **implementation of activities** and the **level of progress** towards the objectives.



It will focus on **identifying corrective actions** needed for the project to achieve maximum impact.



The evaluation findings will feed back into project management processes through **specific recommendations** and '**lessons learned**' to date.



Method

The MTR will be conducted as an **in-depth** evaluation using a **participatory approach**. The findings of the evaluation will be based on the following:


1. **A desk review of project documents;**
2. **Interviews with project management and technical support teams;**
3. **Interviews with intended users** of the project outputs and **other stakeholders involved** with this project.



Method

Key evaluation principles:

The project's performance should be assessed by considering the difference between the answers to two simple questions "**what happened?**" and "**what would have happened anyway?**"



Scope




A. Assessment of project assumptions, objectives and design:

Project theory

Project objectives and Logical Framework

Project design



Scope

B. Project Performance with respect to GEF Evaluation Parameters:

1. **Attainment of objectives** and planned results (progress to date)
2. Assessment of **Sustainability** of project outcomes
3. **Achievement of outputs** and activities
4. Catalytic Role and **Replication**
5. Assessment of **M&E** Systems
6. Preparation and Readiness
7. Country **ownership**/drivenness
8. **Stakeholder participation/public awareness**
9. **Financial** Planning
10. **Implementation approach**
11. UNEP **Supervision** and Backstopping



Evaluation report format

An executive summary

Introduction and background

Scope, objective and methods

Project Performance and Impact

Conclusions and ratings

Lessons learned

Recommendations.

Annexes

Criterion	Evaluator's Summary Comments	Evaluator's Rating
A. Attainment of project objectives and results		
A. 1. Effectiveness		
A. 2. Relevance		
A. 3. Efficiency		
B. Sustainability of Project outcomes		
B. 1. Financial		
B. 2. Socio Political		
B. 3. Institutional framework and governance		
B. 4. Environmental		
C. Achievement of outputs and activities		
D. Monitoring and Evaluation		
D. 1. M&E Design		
D. 2. M&E Plan Implementation (use for adaptive management)		
D. 3. Budgeting and Funding for M&E activities		
E. Catalytic Role		
F. Preparation and readiness		
G. Country ownership /drivenness		
H. Stakeholders involvement		
I. Financial planning		
J. Implementation approach		
K. UNEP Supervision and backstopping		
Overall rating		

RATINGS

HS = Highly Satisfactory

S = Satisfactory

MS = Moderately Satisfactory

MU = Moderately Unsatisfactory

U = Unsatisfactory

HU = Highly Unsatisfactory

Ratings on Sustainability

Sustainability will be understood as the **probability of continued long-term outcomes and impacts after the GEF project funding ends.**

On each of the dimensions of sustainability of the project outcomes will be rated as follows:

- **Likely (L):** There are no risks affecting this dimension of sustainability.
- **Moderately Likely (ML):** There are moderate risks that affect this dimension of sustainability.
- **Moderately Unlikely (MU):** There are significant risks that affect this dimension of sustainability
- **Unlikely (U):** There are severe risks that affect this dimension of sustainability.

ANNEX 6: MID-TERM REVIEWS

The 5th Meeting of the Project Steering Committee for
 the SEAFDEC/UNEP/GEF Project on Establishment and Operation of a Regional System of Fisheries
 Refugia in the South China Sea and Gulf of Thailand, **3 Sep. 2021 (VIRTUAL Meeting)**

- ❖ The purpose of the Mid-Term Review (MTR) is to provide an independent assessment of project performance at mid-term,
- ❖ The TOR consists of three sections:
 - 1) Project background and overviews,
 - 2) Objective and scope of the mid-term review, and
 - 3) Mid-term review **approach, methods** & deliverables.

PSC5

The 5th Meeting of the Project Steering Committee for
 the SEAFDEC/UNEP/GEF Project on Establishment and Operation of a Regional System of Fisheries
 Refugia in the South China Sea and Gulf of Thailand, **3 Sep. 2021 (VIRTUAL Meeting)**

- ❖ Selected and recruited by the SEAFDEC,
- ❖ the consultant needs to certify that he/she has not been associated with the design and implementation of the FR Project,
- ❖ Schedule for the Mid-term Review and TORs are finalized and waiting for the PSC5 adoption before official announcement
- ❖ After adoption, SEAFDEC requires about 38 days for procurement process in selection a consultant

PSC5
3

Milestone	Tentative Dates
Mid-term Review Initiation Meeting	Starting from 15 th October 2021
Inception Report	October 2021
E-based interviews, surveys etc.	November 2021
PowerPoint/presentation on preliminary findings and recommendations	TBD
Draft Main MTR Report to SEAFDEC TOR's Committee, Project Task Manager, SEAFDEC Sec-Gen, the Project Director, and other concerned Partners	20 December 2021
Subject to the receipt by the consultant of comments on the draft report from SEAFDEC TOR's Committee, Project Task Manager, SEAFDEC Sec-Gen, the Project Director, and other concerned Partners	15 January 2022
Final Main Mid-term Review Report	30 January 2022

ANNEX-7

TERMS OF REFERENCE

Mid-term Review of the SEAFDEC/UNEP/GEF PROJECT: “Establishment and Operation of a Regional System of Fisheries *Refugia* In the South China Sea and Gulf of Thailand” (GEF ID 5401)

(*Adopted by PSC5 Meeting*)

INTRODUCTION

This Terms of Reference (TOR) is for the Mid-Term Review (MTR) of the UNEP/GEF-SEAFDEC project on “Establishment and Operation of a Regional System of Fisheries *Refugia* in the South China Sea and Gulf of Thailand”, hereafter called “*FR project*”. The purpose of the Mid-Term Review (MTR) is to provide an independent assessment of project performance at mid-term, to analyze whether the project is on track, what problems and challenges the project is encountering, and which corrective actions are required so that the project can achieve its intended outcomes by project completion in the most efficient and sustainable way.

SECTION 1: PROJECT BACKGROUND AND OVERVIEW

1. Project General Information (Table 1)

Table 1: General information of the FR Project

Identification	GEF ID.: 5401	<i>Insert Umoja no.:</i>
Project Number + Project Title	<i>Establishment and Operation of a Regional System of Fisheries Refugia in the South China Sea and Gulf of Thailand</i>	
Duration	<i>Planned</i>	
months	<i>48 months</i>	
	<i>Extension(s)</i>	<i>January 2021</i> <i>December 2022</i>
Division(s) Implementing the project	<i>DEPI GEF International Waters</i>	
Name of co-implementing Agency	<i>UNEP</i>	
Executing Agency(ies)	<i>Southeast Asian Fisheries Development Center (SEAFDEC)</i>	
Names of Other Project Partners	<i>Fisheries Administration (FIA), Cambodia</i>	
	<i>The Agency for Marine and Fisheries Research and Human Resources (MAMFAR), MMAF, Republic of Indonesia</i>	
	<i>Department of Fisheries (DOF), Malaysia</i>	
	<i>National Fisheries Research and Development Institute (NFRDI), Department of Agriculture</i>	
	<i>Department of Fisheries (DOF), Thailand</i>	
	<i>Directorate of Fisheries (D-Fish), Ministry of Agriculture and Rural Development, Viet Nam</i>	
Project Type	<i>Full Size Project (FSP)</i>	
Project Scope	<i>Regional: South East Asia</i>	
Region (<i>delete as appropriate</i>)	<i>Asia Pacific</i>	
Names of Beneficiary Countries	<i>Cambodia, Indonesia, Malaysia, Philippines, Thailand and Viet Nam</i>	
Programme of Work	<i>Healthy and productive ecosystems</i>	

GEF Focal Area(s)	<i>International Waters</i>	
UNDAF linkages	<i>Cambodia (2016-2018) – Outcome 1</i> <i>Indonesia (2016-2020) – Outcome 1& 3</i> <i>Malaysia - *Eleventh Malaysia Plan 2016-2020 –Strategy 6</i> <i>Philippines (2012-2018) - Outcome 1& 3</i> <i>Thailand (2017-2021) – Outcome 1</i> <i>Vietnam (2017-2021) – Outcome 2</i>	
Link to relevant SDG target(s) and SDG indicator(s)	<i>SDG Target 14: Indicator 14.2, 14.4 and 14.a</i> <i>SDG Target 1: Indicator 1b</i> <i>SDG Target 2: Indicator 2.4</i> <i>SDG Target 12: Indicator 12.2</i>	
GEF financing amount	<i>US\$3,000,000</i>	
Co-financing amount	<i>US\$12,717,850</i>	
Date of CEO Endorsement	<i>January 12, 2016</i>	
Start of Implementation	<i>March 21, 2016</i>	
Date of first disbursement	<i>August 25, 2016</i>	
Total disbursement as of 31 Dec 20	<i>US\$1,819,035</i>	
Total expenditure as of 31 Dec 20	<i>US\$ 1,613,844</i>	
Expected Mid-Term Date	<i>4th Quarter 2020 – 1st Quarter 2021</i>	
Completion Date	<i>Planned</i>	<i>December 31, 2020</i>
	<i>Revised</i>	<i>December 31, 2022</i>
Expected Terminal Evaluation Date	<i>TBD</i>	
Expected Financial Closure Date	<i>TBD</i>	

2. Project Rationale

- 1) The South China Sea is a global center of shallow water marine biological diversity that supports significant fisheries that are important to the food security and export income of Southeast Asian countries. These fisheries are characterized by high levels of fishing effort from the small-scale sector. Accordingly, all inshore waters of the South China Sea basin are subject to intense fishing pressure. This situation of high small-scale fishing pressure and declining fisheries resources has contributed to the adoption of unsustainable fishing methods to maintain catch and increase incomes in the short-term. These include the use of destructive fishing gear and practices, such as the operation of demersal trawls and push nets in seagrass areas, and the detonation of explosives and release of fish poisons in coral reef areas. Small-scale inshore fishing pressure has therefore been identified as a significant cause of the degradation and loss of coastal habitats in the South China Sea.
- 2) Although action aimed at reducing the rate of loss of coastal habitats has been implemented by countries bordering the South China Sea, the decadal rate of loss of such habitats remains high, e.g., seagrass beds (30 percent), mangroves (16 percent), and coral reefs (16 percent). This continued decline in the total area of habitats critical to the life cycles of most aquatic species, combined with the high levels of coastal community dependence on fish, has raised serious concerns for the long-term sustainability of small-scale fisheries in the region. With fish production being intrinsically linked to the quality and area of habitats and the heightened dependence of coastal communities on fish, a need exists to improve the integration of fish

habitat considerations and fisheries management in the region. This project entitled "Establishment and Operation of a Regional System of Fisheries *Refugia* in the South China Sea and Gulf of Thailand" has been developed to meet this need via implementation of the fisheries component of the Strategic Action Program for the South China Sea. Executed regionally by the Southeast Asian Fisheries Development Center in partnership with the government agencies responsible for fisheries in the 6 participating countries, the project is comprised of the following 4 project components.

- 3) Component 1 will result in the establishment of operational management at 14 priority fisheries *refugia*, with community-based *refugia* management plans being key outputs. Supporting activities include consultative processes to facilitate agreement among stakeholders on the boundaries of fisheries *refugia*, identification of key threats to *refugia* sites, recording of fishing community views regarding appropriate fisheries and habitat management measures, and eliciting stakeholder inputs to management plan review. *Refugia* management plans will provide rules inter alia on operating requirements for the use of particular classes of fishing vessels or fishing gear within *refugia*, procedures for adjusting management measures over time, and mechanisms for enforcement. Specific direction is given to drafting of regulations and ordinances required in support of plan implementation.
- 4) Component 2 focuses on strengthening the enabling environment for the formal designation and operational management of *refugia*. Preparatory activities include legal reviews to identify, inter alia: legal terminology for describing *refugia*; formal procedures for demarcating boundaries of spatial management areas such as *refugia*, including requirements for assessing the socio-economic impacts of management measures and stakeholder consultation; and provisions for decentralizing *refugia* management to the community level via development of co-management and rights-based approaches. These national reviews are aimed at informing the drafting of required policy and legislative amendments for adoption by competent authorities. This component will also build the national and site-level science and information base required to inform the monitoring and evaluation of the effectiveness of individual *refugia* and the regional network of sites.
- 5) Component 3 focuses on strengthening information management and dissemination aimed at enhancing the national uptake of best practices in integrating fisheries management and biodiversity conservation, and in improving community acceptance of area-based approaches to fisheries and coastal environmental management. Supporting activities involve the development of national knowledge management systems on the use of fisheries *refugia* in capture fisheries management, and the establishment of a Regional Education and Awareness Centre that will operate as a facility for the production and sharing of information and education materials on fisheries and critical habitat linkages in the South China Sea. Importantly, Component 3 will support the development of indicators to monitor the effectiveness of coastal fisheries management systems established for priority fisheries *refugia*. A regional program for the compilation of standardized fisheries statistics for use in identifying and managing fisheries *refugia* will also be developed to support longer-term management.
- 6) At the national-level, Component 4 will strengthen cross-sectorial coordination for integrated fisheries and environmental management and will harness the national scientific and technical expertise and knowledge required to inform the policy, legal and institutional reforms for fisheries *refugia* management in the participating countries. Local community action and strengthened 'community to cabinet' linkages will be facilitated via establishment and operation of site-based management boards for fisheries *refugia* at the 14 priority locations in the South China Sea. Regionally, Component 4 will foster regional cooperation in: the establishment and operation of a regional system of fisheries *refugia*; and in the integration of scientific knowledge and research outputs with management and policy making. This component also includes project coordination and management activities aimed at: ensuring the timely and cost-effective implementation of

regional and national-level activities; and satisfying the reporting requirements of UNEP and the GEF.

- 7) The longer-term goals of this project are to contribute to: improved integration of habitat and biodiversity conservation considerations in the management of fisheries in the South China Sea and Gulf of Thailand; improved national management of the threats to fish stock and critical habitat linkages within fisheries *refugia*; and enhanced uptake of good practice in integrating fisheries management and biodiversity conservation in the design and implementation of regional and national fisheries management systems. The medium-term objectives align with those of the fisheries component of the Strategic Action Program for the South China Sea which are to: build the resilience of Southeast Asian fisheries to the effects of high and increasing levels of fishing effort; improve the understanding among stakeholders, including fisherfolk, scientists, policy-makers, and fisheries managers, of ecosystem and fishery linkages as a basis for integrated fisheries and ecosystem/habitat management; and build the capacity of fisheries departments/ministries to engage in meaningful dialogue with the environment sector regarding the improvement of fisheries and management of interactions between fisheries and critical marine habitats. Related end of project targets are:
- a. by 2022, to have established a regional system of a minimum of fourteen *refugia* for the management of priority transboundary, fish stocks and endangered species; and
 - b. by 2022, to have prepared and implemented fisheries management systems in the identified priority *refugia* based on and consistent with, the ASEAN SEAFDEC Regional Guidelines for Responsible Fisheries in Southeast Asia.
- 8) Given the limited integration of the work of fisheries and environment ministries observed in Southeast Asia and many other parts of the world, the establishment and operation of the regional system of fisheries *refugia* provides an opportunity to learn from a regional fishery sector led initiative to collaborate with the environment sector on integrating fisheries and coastal habitat management. It is anticipated that the experience gained in the South China Sea region through this project will be suitable for application in other marine areas such as the Yellow Sea where over-fishing and the use of inappropriate fishing gear are significant impediments to more sustainable exploitation of fisheries resources and the use of coastal habitats.

3. Project Results Framework

- 9) The objective of this project is to operate and expand the network of fisheries *refugia* in the South China Sea and the Gulf of Thailand for the improved management of fisheries and critical marine habitats linkages to achieve the medium and longer-term goals of the fisheries component of the Strategic Action Program for the South China Sea. The project has four components as listed in **Table 2-5** below with associated expected outcomes and outputs.

Table 2: FR Project Results Framework: Component 1.

Component 1:	Outcomes	Targets End of Project
1. Identification and management of fisheries and critical habitat linkages at priority fisheries <i>refugia</i> in the South China Sea and Gulf of Thailand	1. Reduced stress on fish stocks and coastal habitats via improved national management of key anthropogenic threats to fisheries and critical habitat linkages in the South China Sea and Gulf of Thailand	<i>Effective management of key threats to 14 fisheries refugia sites [269,500 ha], including ~50 percent reduction in fishing pressure within sites at times critical to the life-cycles of fished species of transboundary significance</i>
	1.1 Fisheries and critical habitat linkages at 14 priority sites in the South China Sea and Gulf of Thailand safeguarded via the delineation of fisheries <i>refugia</i> boundaries and the setting of priorities for <i>refugia</i> management	Agreement among stakeholders on the boundaries of fisheries <i>refugia</i> , key threats to <i>refugia</i> , and priority management interventions for 14 sites in the South China Sea and Gulf of Thailand

	1.2 Amelioration of key threats to fish stock and critical habitat linkages via the adoption and implementation of community-based <i>refugia</i> management plans at 14 sites	Community-based <i>refugia</i> management plans that are consistent with the FAO and ASEAN-SEAFDEC Guidelines for Responsible Fisheries developed, adopted, and under implementation at 14 fisheries <i>refugia</i> sites
	1.3 Catalysed community action for fisheries <i>refugia</i> management at 14 sites	Networks of management boards and community-based fisheries and habitat management volunteers for <i>refugia</i> management established at 14 fisheries <i>refugia</i> sites
	1.4 Empowered fishing communities, particularly artisanal fishermen and women involved in inshore gleaning and processing, for enforcement of agreed management rules at 14 priority <i>refugia</i> sites in the South China Sea and Gulf of Thailand	Enforcement programmes at 14 fisheries <i>refugia</i> sites, including participatory activities for monitoring, control and surveillance
	1.5 Strengthened civil society and community organisation participation in fisheries <i>refugia</i> management	Operational partnership with the GEF Small Grants Programme to strengthen civil society and community organisation participation in the management of fisheries <i>refugia</i> at 14 sites

10) The component 1 aligns with the GEF theory of change framework via implementing strategies, i.e., application of fisheries *refugia* to significantly reduce stress on fish stocks and coastal habitats. Specifically, component 1 will result in 269,500 ha of fish *refugia* habitat will be conserved/effectively managed as well as a 50% reduction in fishing pressure within sites at times critical to the life-cycles of fished species of transboundary significance.

Table 3: FR Project Results Framework: Component 2.

Component 2:	Outcomes	Targets End of Project
2. Improving the management of critical habitats for fish stocks of transboundary significance via national and regional actions to strengthen the enabling environment and knowledgebase for fisheries <i>refugia</i> management in the South China Sea and Gulf of Thailand	2. Increased institutional capacity in the 6 participating countries for the designation and operational management of fisheries <i>refugia</i> via the transformation of enabling environments and the generation of knowledge for planning	National and regional policy, legal and planning frameworks for demarcating boundaries and managing fisheries <i>refugia</i> , resulting in, inter alia, a 20 percent increase in small-scale fishing vessels using fishing gear and practices designed to safeguard fish stock and critical habitat linkages at priority sites
	2.1 Strengthened enabling environments for the effective management of the effects of fishing on fisheries and critical habitat linkages in the South China Sea and Gulf of Thailand	Measures for the fisheries sector's sustainable use of fish habitats and biodiversity, and based on site-level models of ecosystem carrying capacity, incorporated in the fisheries policies of participating countries
	2.2 Cross-sectorial agreement on national guidelines for the use of fisheries <i>refugia</i> for integrated fisheries and habitat management	National guidelines on the use of fisheries <i>refugia</i> in integrating fisheries and habitat management developed and endorsed by heads of national government departments responsible for fisheries and environment in the participating countries
	2.3 Endorsed policy, legal, and planning frameworks, both and national and regional levels, for the establishment and management of fisheries <i>refugia</i> , including the reduced use of destructive fishing gear and practices in areas of critical habitats	National policy, legal and planning frameworks for demarcating boundaries and managing <i>refugia</i> assessed and required reforms endorsed in the participating countries and reflected in an updated regional action plan

	2.4 Enhanced access to information relating to status and trends in fish stocks and their habitats in waters of the SCS	Annual synthesis reports of new and additional information and data relating to the stocks of priority fish, crustaceans and molluscs and their habitats published in each country and disseminated at national and regional levels
	2.5 Improved national and regional-level management and sharing of information and data on fish early life history in the waters of the SCS	Establishment and population of 6 online national databases, and 1 regional database, of fish egg and larvae distribution and abundance in national waters and the SCS basin
	2.6 Enhanced access to information relating to the locations and status of coastal habitats and management areas in the SCS and GoT	National and regional online Geographical Information Systems on fisheries and marine biodiversity featuring information on locations and management status of coastal habitats, fisheries <i>refugia</i> , MPAs, and critical habitats for threatened and endangered species
	2.7 Strengthened information base for the planning, monitoring and evaluation of management at priority fisheries <i>refugia</i> sites in the South China Sea and GoT.	Fisheries and habitat data collection programmes operational to characterise 14 priority <i>refugia</i> sites in the South China Sea and Gulf of Thailand
	2.8 Improved basin-wide understanding of linkages between ocean circulation patterns, nutrient/chlorophyll concentrations, and sources and sinks of fish larvae in the South China Sea	Modelling system linking oceanographic, biochemical, and fish early life history information developed applied to improve regional understanding of fish early life history and links to critical habitats
	2.9 Regionally and locally appropriate best practices generated to address the effects of trawl and motorised push net ¹ fishing on seagrass habitat, and the capture of juveniles, pre-recruits and fish in spawning condition	Best practice fishing methods and practices to address key threats to fish stock and critical habitat linkages demonstrated at priority <i>refugia</i>

11) The component 2 aligns with the GEF theory of change framework through strengthening institutional capacity via reform of policy, regulatory and planning frameworks aimed at enabling improved integration of fisheries and environmental management. Additionally, the component will lead to considerable stress reduction. Specifically, the demonstrations of best practice fishing methods and practices aimed at addressing key threats to fish stock and critical habitat linkages, and the adoption of supporting laws, will result in a 20% increase in vessels applying improved gear/techniques to safeguard fish stock and critical habitat linkages.

Table 4: FR Project Results Framework: Component 3.

Component 3:	Outcomes	Targets End of Project
3. Information Management and Dissemination in support of national and regional-level implementation of the fisheries <i>refugia</i> concept in the South China Sea	3. Strengthened knowledge management and information sharing and access for enhanced uptake of good practice in integrating fisheries management and biodiversity conservation in the design and implementation of fisheries and environmental management systems, including Marine Spatial Planning	<i>National and regional systems for knowledge management and sharing, including the development of indicator sets and standardized statistics to guide the replication, scaling-up and mainstreaming of good practices in the use of fisheries refugia as a spatial planning tool</i>

and Gulf of Thailand	3.1 Enhanced uptake of best practices in integrating fisheries management and biodiversity conservation, in the design and implementation of fisheries management systems	Best practice approaches and measures for integrated fisheries and habitat management captured, documented and communicated nationally and regionally
	3.2 Improved community acceptance of area based approaches to fisheries and coastal environmental management	Public awareness and outreach programme to promote local social, economic and environmental benefits of fisheries <i>refugia</i> implemented at 14 priority locations in the South China Sea and Gulf of Thailand
	3.3 Knowledge generated and experiences from establishing and operating fisheries <i>refugia</i> , captured and shared nationally, regionally, and globally	National knowledge management systems on the use of fisheries <i>refugia</i> in capture fisheries management established and operational
	3.4 Information and Education Campaigns for small-scale fisherfolk on the links between fisheries, habitats and biodiversity coordinated regionally through a Regional Education and Awareness Centre	Regional Education and Awareness Centre on fisheries and critical habitats established and operating as a facility for the production and sharing of information and education materials for <i>refugia</i> management
	3.5 Standardised methods for collection and analysis of information and data, for use in assessing the impacts of <i>refugia</i> and in the design appropriate indicators for the longer-term operation of the regional system of fisheries <i>refugia</i>	Regional agreement on standardised information and data collection procedures in support of longer-term operation of a regional system of fisheries <i>refugia</i> , including design of stress reduction and environmental state indicators for managed <i>refugia</i>

12) The component 3 aligns with the GEF theory of change framework through knowledge and information activities aimed at improving information sharing and access, awareness raising, skills building, and monitoring and evaluation.

Table 5: FR Project Results Framework: Component 4

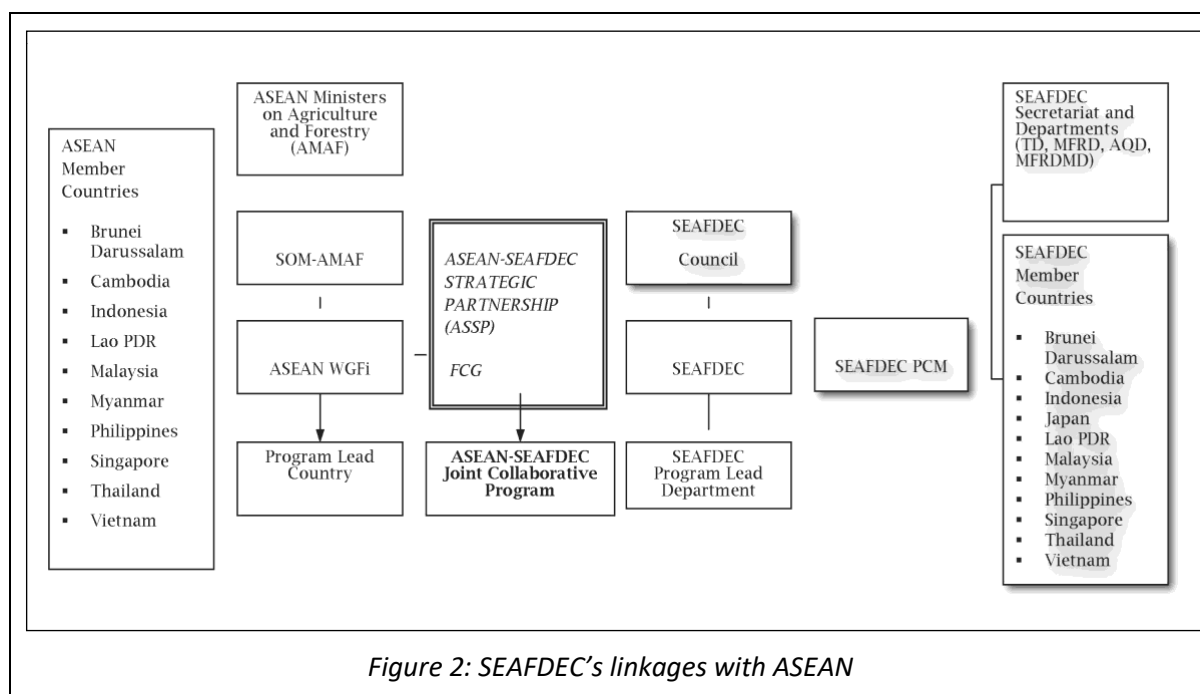
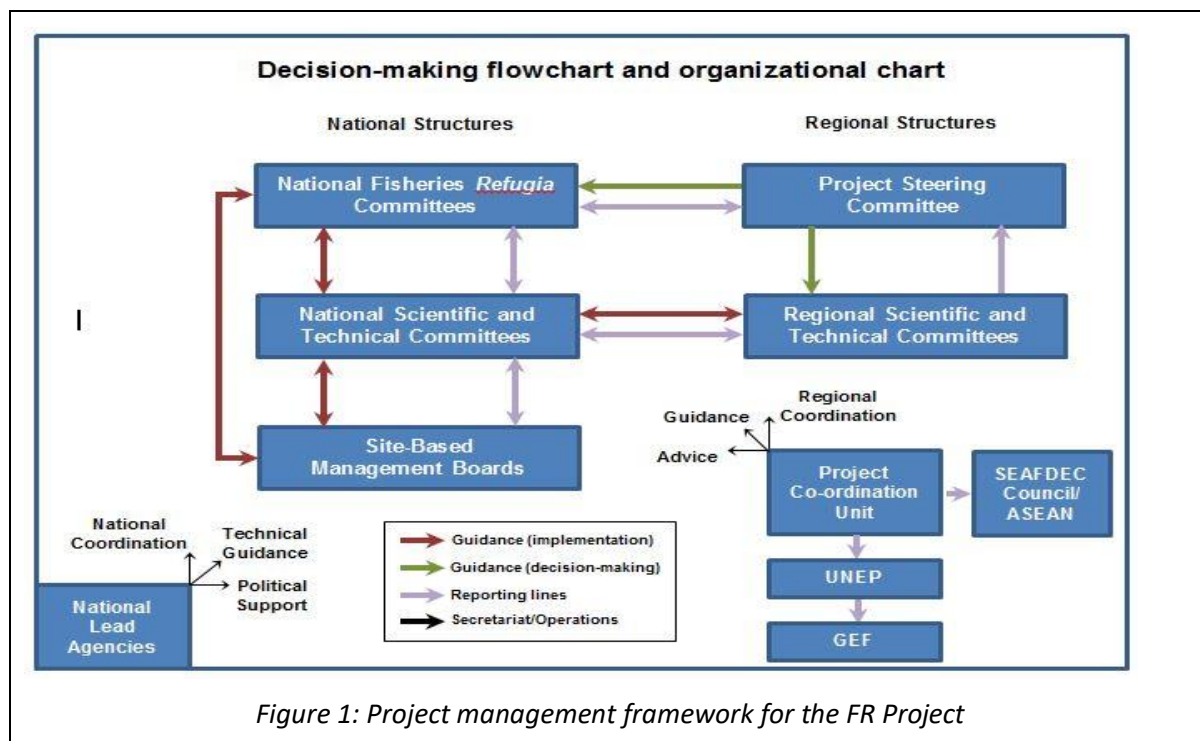
Component 4:	Outcomes	Targets End of Project
4. National and regional cooperation and coordination for integrated fish stock and critical habitat management in the South China Sea and Gulf of Thailand	Cost-effective and efficient coordination of national and regional level cooperation for integrated fisheries and environmental management	Effective multi-lateral and intergovernmental communication and joint decision-making, including the use of a consensual knowledge-base in planning ecologically and cost-effective management actions
	4.1 Strengthened cross-sectorial coordination in the establishment and operation of fisheries <i>refugia</i> in the participating countries	National Fisheries <i>Refugia</i> Committees (NFRC) established in 6 countries, functional and advising national decision-makers and regional <i>fora</i>
	4.2 National scientific and technical expertise and knowledge harnessed to inform policy, legal and institutional reforms for fisheries <i>refugia</i> management in the participating countries	National Technical and Scientific Committees (NTSC) established in 6 countries, functional and advising site-level management boards, the NFRC and the Regional Scientific and Technical Committee
	4.3 Community-led planning of fisheries <i>refugia</i> management at priority locations in the South China Sea and Gulf of Thailand	Local community action catalysed via establishment and operation of site-based management boards for fisheries <i>refugia</i> at 14 locations in the South China Sea and Gulf of Thailand
	4.4 Regional cooperation in the integration of scientific knowledge and research outputs with management and policy making	Regional Scientific and Technical Committee (RSTC) established and functioning as a bridge between the scientific community and decision-makers for operation of a regional

		system of fisheries <i>refugia</i> [biannual meetings]
	4.5 Regional cooperation in the establishment and operation of a regional system of fisheries <i>refugia</i>	Project Steering Committee established and functioning to oversee and act as a principal decision-making body for the project
	4.6 Effective coordination of regional and national-level activities and reporting requirements of UNEP and GEF satisfied	Functioning regional Project Coordinating Unit (PCU) supporting the coordination of regional and national level activities associated with the establishment and operation of regional system of fisheries <i>refugia</i> and meeting reporting requirements of UNEP and the GEF

4. FR Project Executing Arrangements

- 13) UN Environment Programme is the GEF Implementing Agency for the FR project. The project is executed regionally by the Southeast Asian Fisheries Development Center (SEAFDEC) in partnership with the government agencies responsible for fisheries in the six participating countries, namely Cambodia, Indonesia, Malaysia, Philippines, Thailand, and Viet Nam.
- 14) The Project Coordinating Unit (PCU) locates within the Training Department of SEAFDEC in Samut Prakan Province, Thailand.
- 15) The national lead partners are as follows:
- I. Fisheries Administration (FiA), CAMBODIA
 - II. Agency for Marine and Fisheries Research and Human Resources (AMFRHR), Indonesia
 - III. Department of Fisheries (DOF), MALAYSIA
 - IV. National Fisheries Research and Development Institute (NFRDi) in collaboration with Bureau of Fisheries and Aquatic Resources (BFAR), Department of Agriculture (DA), the PHILIPPINES
 - V. Department of Fisheries (DOF), THAILAND
 - VI. Directorate of Fisheries (D-Fish), Ministry of Agriculture and Rural Department (MARD), VIET NAM
- 16) A Project Steering Committee was established and operated to oversee and act as a principal decision-making body for the project. The PSC's role is to provide managerial and governance advice to the project, and to guide the Project Coordination Unit (PCU) of the Southeast Asian Fisheries Development Centre (SEAFDEC) in the implementation and monitoring of the overall regional project.
- 17) At national level, National Fisheries *Refugia* Committees (NFRCs) was established and operated to strengthen cross-sectorial coordination in the establishment and management of fisheries *refugia*. The NFRC's will assume overarching responsibility for the execution of national level activities of the project and will, inter alia: receive, review, and approve reports from the management boards of *refugia* sites; consider advice from the National Scientific and Technical Committees in decision-making.
- 18) A regional Project Co-ordinating Unit (PCU) was established within SEAFDEC and being led by a Project Director with support from SEAFDEC'S policy, technical and financial units. The PCU will be responsible for: overall leadership, management and technical oversight of the fisheries *refugia* project; regional project governance, monitoring and reporting; policy/technical advice and advocacy; regional and national coordination, including the establishment of partnerships and networking; and external communications.

19) The management framework for this project is depicted in Figure 1. SEAFDEC's linkages with ASEAN through the ASEAN-SEAFDEC Strategic Partnership is depicted in Figure 2.



5. Project Cost and Financing

20) The total cost of the FR project planned at \$15,717,850 with co-financing of \$12,717,850 and cost to the GEF Trust Fund of \$3,000,000. Table 6 provides an overview of sources of co-financing and Table 7 of cost per project component.

Table 6: an overview of sources of co-financing

Sources of Co-financing	Name of Co-financier (source)	Type of Co-financing	Co-financing Amount (\$)
National Governments	Ministries responsible for fisheries in Cambodia, Indonesia, Malaysia, Philippines, Malaysia, Thailand, and Vietnam	Cash	1,148,644
National Governments	Ministries responsible for fisheries in Cambodia, Indonesia, Malaysia, Philippines, Malaysia, Thailand, and Vietnam	In-kind	5,036,806
Multilateral Agencies	Southeast Asian Fisheries Development Centre	Cash	3,876,400
Multilateral Agencies	Southeast Asian Fisheries Development Centre	In-kind	2,456,000
GEF Agency	UNEP	In-kind	200,000
Total Co-financing			12,717,850

Table 7: Cost per Project Component

Project Component	Indicative Grant Amount (\$)	Indicative Co Financing (\$)
1. Identification and management of fisheries and critical habitat linkages at priority fisheries <i>refugia</i> in the South China Sea and Gulf of Thailand	1,304,900	3,989,523
2. Improving the management of critical habitats for fish stocks of transboundary significance via national and regional actions to strengthen the enabling environment and knowledgebase for fisheries <i>refugia</i> management in the South China Sea and Gulf of Thailand	746,000	5,313,217
3. Information Management and Dissemination in support of national and regional-level implementation of the fisheries <i>refugia</i> concept in the South China Sea and Gulf of Thailand	299,600	1,792,055
4. National and regional cooperation and coordination for integrated fish stock and critical habitat management in the South China Sea and Gulf of Thailand	499,500	1,423,055
Sub-Total	2,850,000	12,517,850
Project Management Cost (PMC)	150,000	200,000
Total	3,000,000	12,717,850

6. Project Implementation Issues

- 21) Changing of the key government officers create problems on delay submission for work progress and financing report.
- 22) Delay of the project implementation due to the government policy changes in two participating countries affected on achieving the Mid-term evaluation and End of Project Targets. All participating countries, therefore, requested two years of project extension without an extra budget. The Mid-term evaluation and the end of project evaluation will be conducted by the end of 2020 and 2022, respectively.

SECTION 2: OBJECTIVE AND SCOPE OF THE MID-TERM REVIEW

7. Objective of the Mid-Term Review

23) Objective of the Mid-term Review is to determine the progress, performance, and achievement of objectives and outcomes of the project following five years of implementation from 2016-2020.

8. Scope of the Mid-Term Review

24) The scope of the mid-term evaluation will cover all activities undertaken in the framework of the project. The evaluator will compare planned outputs of the project to actual outcomes and assess the actual results to determine their contribution to attaining the project objectives. The evaluation will diagnose problems and suggest any necessary corrections and adjustments. It will evaluate the efficiency of project management, including the delivery of outputs and activities in terms of quality, quantity, timeliness, and cost-efficiency. The evaluation will also determine the project's likely outcomes and impact concerning the project's specified goals and objectives.

SECTION 3: MID-TERM REVIEW APPROACH, METHODS AND DELIVERABLES

9. Approach and Methods

25) The Mid-term Review of the FR projects will be in-depth evaluations using a participatory approach whereby key stakeholders are kept informed and consulted throughout the evaluation process. Both quantitative and qualitative evaluation methods will be used as appropriate to determine project achievements against the expected outputs, outcomes and impacts of the projects. It is highly recommended that the consultant maintains close communication with the project teams and promotes information exchange throughout the evaluation implementation phase in order to increase their (and other stakeholder) ownership of the evaluation findings.

26) The findings of the evaluation will be based on the following:

- i. Desk review of the project document, outputs, monitoring reports (such as quarterly progress reports, mission reports, and the GEF annual Project Implementation Review reports, minutes of meetings, and relevant correspondences.
- ii. Review of specific products including datasets, management, and action plans, publications, and other material and reports.
- iii. Interviews with the Project Director, the Project Task Manager, the Project Participating Countries, the Project Collaborative Partners (if required), and other project staff.
- iv. Consultations with relevant SEAFDEC/SEC and SEAFDEC/TD staff.
- v. Consultations and interviews with relevant stakeholders involved, including government representatives, local communities, NGOs, private sector, donors, and other UN agencies and international /regional organizations.
- vi. Survey, as deemed appropriate of associated agencies of the FR Project
- vii. Country partner and project sites visits, are not deemed likely due to Covid-19 related travel restrictions, but if appropriated.

10. Deliverables

26) Under the overall supervision of the Project Task Manager and the TOR's Committee, SEAFDEC Secretary-General, relevant SEAFDEC/TD Division, and the overall guidance of the Project Director of the SEAFDEC Project Coordinating Unit, the evaluator shall undertake a MTR of the FR project during the period **October 15th, 2021 to 30th January, 2022.**

27) The evaluation will comprise the following elements.

- 27.1 A summary evaluation of the project and its major components are undertaken to date and determine progress towards achieving its overall objectives.
- 27.2 Evaluate project performance with the indicators, assumptions, and risks specified in the logical framework matrix and the Project Document. Determine the usefulness of the indicators defined.
- 27.3 An assessment of the scope, quality, and significance of the project outputs produced to date with expected results.
- 27.4 Analysis of the extent of cooperation engendered and synergy created by the project in each of its component activities, between national and regional level activities, and the nature and extent of commitment among the countries involved.
- 27.5 An assessment of the functionality of the institutional structure established and the role of the Steering Committee, the Regional Scientific and Technical Committee, and national committees and working groups.
- 27.6 Identification and, to the extent possible, quantification of any additional outputs and outcomes beyond those specified in the Project Document.
- 27.7 An evaluation of the timetable of activities and allocating financial resources to project activities, and determining their consistency with the Project Document. Where activities or outputs have been delayed, the cause of the delay should be identified, and where appropriate remedial actions proposed.
- 27.8 Identification of the programmatic, financial variance, and adjustments made during the first five years (2016-2020) project and assessing their conformity with decisions of the Steering Committee Group and their appropriateness in terms of the overall objectives of the project.
- 27.9 An evaluation of project coordination, management, and administration provided by the Project Coordinating Unit. This evaluation should include specific reference to:
 - i. Organizational/institutional arrangements for collaboration among the various agencies and institutions involved in project arrangements and execution;
 - ii. Project management effectiveness in terms of assignment and execution of project activities, and flexibility of management in terms of responsiveness to the need for changes in financial allocations, the timing of activities, or mode of operation;
 - iii. The effectiveness of the monitoring mechanisms currently employed by the Project Coordinating Unit in monitoring on a day-to-day basis, progress in project execution;
 - iv. Administrative, operational, or technical problems and constraints that influenced the effective implementation of the project and present recommendations for any necessary functional changes; and
 - v. Financial management of the project in relation to those on the achievement of substantive outputs.
- 27.10 A qualified assessment of the extent to which project outputs to date have scientific credibility.
- 27.11 Assessment of the extent to which scientific and technical information and knowledge have influenced the execution of the project activities.
- 27.12 An evaluation of the strategy and approaches adopted by the Project Steering Committee and PCU regarding the raising of co-financing support to ensure financial sustainability.
- 27.13 Specification of any deficiencies in project performance, administration, and management that warrant correction with associated recommendations.

27.14 Prognosis of the degree to which the project's overall objectives and expected outcomes are likely to be met (see **Annex 1: Rating project success**).

27.15 Lessons learned during project implementation and Recommendations regarding any necessary corrections and adjustments to the overall project work plan and timetable to enhance project objectives and outcomes.

11 Consultant for Conduct of the Mid-term Review

28) Consultant shall undertake the evaluation working concurrently and in consultation from **October 15th, 2021 to 30th January, 2022** (three and a half months).

29) Consultant qualification for the Mid-Term Review requires at least a Master's Degree in the field of natural resources management/environmental management or related fields, a minimum of 10 years of professional experience with at least five years of experience related to Monitoring and Evaluation in regional/international context. Experience with evaluation of GEF projects and with cross sectoral management of fisheries resources will be considered assets for the consultancy.

30) Consultant shall, at the commencement of the work, agree with SEAFDEC Committee responsible for the conduct of mid-term review, hereafter "TOR's Committee". Members of the Committee shall include the Project Director serve as the Secretary of the TOR's Committee and the Project Task Manager as a member of the TOR's Committee. The procedure for establishment of the TOR's Committee shall follow the SEAFDEC's Guidelines on Procurement of Products and Services including procedure and method of operating to complete all sections of the report. Work plan of the mid-term review will include:

- i. Tentative proposals for the attendance of consultant at parts or all of the meetings convened during the period of the mid-term review.
- ii. Proposals for any country visits that shall be deemed appropriate.
- iii. A delivery schedule for a draft report for comment by the SEAFDEC TOR's Committee, the Project Task Manager, Secretary-General or representatives and the Project Director; and
- iv. a timetable of the periods each Consultant will work from the Project Co-ordinating Unit for Fisheries *Refugia* Project at SEAFDEC/TD in Samut Prakan Province, Thailand.

31) Regarding the last of these requirements, the SEAFDEC/PCU undertakes to provide office space and internet access to the Consultant (s) during the said period.

32) Consultant shall create Workplan constitutes the basis of the agreement between the SEAFDEC and the Consultant.

33) The consultant shall attend, if practical, the Regional Scientific and Technical Committee Meeting and/or Project Steering Committee Meeting to be convened during the conduct of evaluation.

34) Consultant's responsibility to arrange for their visas and immunizations.

12 Reporting Format

35) The Mid-Term Review report shall comprise:

- i. A concise summary, prepared by consultant, not exceeding five pages, including findings and recommendations
- ii. A detailed mid-term review report covers items 27.1 - 27.15 of the Terms of Reference above with attention to lessons learned and recommendations. The detailed report without annexes should not exceed 35 pages.

- iii. Annexes prepared by the consultant on specific topics deemed appropriate by the consultant. The annexes should correspond to and amplify the contents of the sections of the main report.
- 36) The report together with the annexes, shall be written in English and presented electronically in MS Word format (see **Annex 2: Tools, Templates and Guidance Notes for use in the Mid-Term Review**).

13 Schedule of the Mid-term Review

37) The table below presents the tentative schedule for the Mid-term Review.

Table 8. Tentative schedule for the mid-term review

Milestone	Tentative Dates
Mid-term Review Initiation Meeting	Starting from 15 th October 2021
Inception Report	October 2021
E-based interviews, surveys etc.	November 2021
PowerPoint/presentation on preliminary findings and recommendations	TBD
Draft Main MTR Report to SEAFDEC TOR's Committee, Project Task Manager, SEAFDEC Sec-Gen, the Project Director, and other concerned Partners	20 December 2021
Subject to the receipt by the consultant of comments on the draft report from SEAFDEC TOR's Committee, Project Task Manager, SEAFDEC Sec-Gen, the Project Director, and other concerned Partners	15 January 2022
Final Main Mid-term Review Report	30 January 2022

14 Contractual Arrangements

- 38) The Mid-term Review consultant will be selected and recruited by the SEAFDEC under an individual Special Service Agreement (SSA) on a “fees only” basis (see below). By signing the service contract with SEAFDEC, the consultant certifies that he/she has not been associated with the design and implementation of the FR Project in any way which may jeopardize his or her independence and impartiality towards project achievements and project partner performance. In addition, the consultant will not have any future interests (within six months after completion of the contract) with the projects’ executing or implementing units.
- 39) Fees will be paid on an instalment basis, paid on acceptance by the SEAFDEC and Project Task Manager of expected key deliverables. The schedule of payment is as follows:

Schedule of Payment for the Mid-term Review Consultant:

Deliverable	Percentage Payment
Approved FR Inception Report (as per annex 2)	20%
Approved FR Draft Main MTR Report (as per annex 2)	40%
Approved FR Final Main MTR Report	40%

- 40) Fees only contracts: Note that during the COVID-19 pandemic travel remains unlikely and therefore purchase of air tickets and Daily Subsistence Allowance for authorized travel mission are not applied
- 41) In case the consultant is not able to provide the deliverables in accordance with these guidelines, and in line with the expected quality standards by the SEAFDEC and acceptance by Project Task Manager, payment may be withheld at the discretion of the SEAFDEC until the consultant has improved the deliverables to meet UNEP's quality standards.
- 42) If the consultant fails to submit a satisfactory final product to SEAFDEC Committee in a timely manner, i.e., before the end date of his/her contract, the Project Task Manager reserves the right to employ additional human resources to finalize the reports, and to reduce the consultant's fee by an amount equal to the additional costs borne by SEAFDEC to bring the reports up to standard.

15 SEAFDEC and UNEP Contact Persons

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Annex 1: Rating Project Success

- For this rating, the Consultant, may consider the level of implementation of the activity, such as regional and national levels, and the number of countries involved in each component, action, or output.
- The Consultant may also consider the form of the rating used in the International Waters Program Monitoring Questionnaire prepared by the GEF Monitoring and Evaluation Unit.
- The evaluation will rate the project's success on a scale from 1 to 5, with 1 being the highest (most successful) rating and 5 being the lowest. The following items should be considered for rating purposes:
 - Achievement of objectives and planned results
 - Attainment of outputs and activities
 - Cost-effectiveness
 - Impact
 - Sustainability
 - Stakeholders' participation
 - Country ownership
 - Implementation approach
 - Financial planning
 - Replicability
 - Monitoring and evaluation
- Each item should be rated separately with comments and then an overall rating is given. The following rating system is to be applied:

1=Excellent	>>>	90%-100% achievement
2=Very Good	>>>	75%-89%
3=Good	>>>	60%-74%
4=Satisfactory	>>>	50%-59%
5=Unsatisfactory	>>>	49 % and below

Annex 2: Tools, Templates and Guidance Notes for use in the Mid-Term Review

The tools, templates and guidance notes listed in the table below, and available from the SEAFDEC, are intended to help Consultant to produce evaluation products that are consistent with each other, and which can be compiled into a biennial Evaluation Synthesis Report. The biennial summary is used to provide an overview of progress to UN Environment Programme and the UN Environment Assembly.

This suite of documents is also intended to make the evaluation process as transparent as possible so that all those involved in the process can participate on an informed basis. It is recognized that the evaluation needs of projects and portfolio vary and adjustments may be necessary so that the purpose of the evaluation process (broadly, accountability and lesson learning), can be met. Such adjustments should be decided between the SEAFDEC Committee and the Consultant in order to produce mid-term review reports that are both useful to project implementers and that produce credible findings.

ADVICE TO CONSULTANTS: As our tools, templates and guidance notes are updated on a continuous basis, kindly download documents from the link in SharePoint will be shared by the SEAFDEC/PCU during the Inception Phase and use those versions throughout the evaluation.

List of tools, templates and guidance notes available at:

: <https://www.unep.org/about-un-environment-programme/evaluation-office/our-evaluation-approach>

Document	Name
1	Evaluation Process Guidelines for Consultants
2	Evaluation Consultants Team Roles (Principal Evaluator and Evaluation Specialist)
3	List of documents required in the evaluation process
4	Evaluation Criteria (summary of descriptions, as in these terms of reference)
5	Evaluation Ratings Table (only)
6	Matrix Describing Ratings by Criteria
7	Weighting of Ratings (excel)
8	Project Identification Tables
9	Structure and Contents of the Inception Report
10a	Template for the Assessment of the Quality of Project Design (Word template)
10b	Template for the Assessment of the Quality of Project Design (Excel tool)
11	Guidance on Stakeholder Analysis
12	Gender Note for Evaluation Consultants
13	Use of Theory of Change in Project Evaluations
14	Assessment of the Likelihood of Impact Decision Tree (Excel)
15	Possible Evaluation Questions
16	Structure and Contents of the Main Evaluation Report
17	Cover Page, Prelims and Style Sheet for Main Evaluation Report
18	Financial Tables
19	Template for the Assessment of the Quality of the Evaluation Report

ANNEX 8

PROGRESS ON THE PROJECT EXTENSION LOA/MOU BETWEEN SEAFDEC AND PARTICIPATING COUNTRY

During the Forth Project Steering Committee Ad-hoc Meeting under the Project “Establishment and Operation of a Regional System of Fisheries *Refugia* in the South China Sea and Gulf of Thailand” organized by the SEAFDEC Project Coordination Unit (PCU) on 6 October 2020, the Steering Committee agreed on a two-year extension of the Project with no additional funds from the donor, and endorsed the proposed revision of the budget and costed work plan. Subsequently, SEAFDEC and the United Nations Environment Programme (UNEP) has signed an Amendment to the Project Cooperation Agreement in order to extend the Project for 2 years from January 2021 to December 2022. The project extension would enable project partners to complete their activities and deliver the planned outputs.

Simultaneously, the Letter of Agreement (LoA) between SEAFDEC and the national level implementing agencies from 6 participating countries was expired on 31 December 2020. Due to this, SEAFDEC has coordinated with 6 participating countries to have a new LoA to extend the implementation of the national-level activities of the project to 31 December 2021. The progress on the project extension LOA/MOU between SEAFDEC and the participating country as of 31 August 2021 was shown in table 1.

Table 1. The progress on the project extension LOA/MOU between SEAFDEC and the participating country as of 31 August 2021

Country	Progress	Country Coordinator	Challenge
Cambodia	Completed		
Indonesia	In the process of consideration on the draft of the new LoA by AMFRHR	SEAFDEC National Coordinator/ FR-National Focal Point	Due to the COVID-19 situation, The AMFRHR office was lockdown since early July 2021
Malaysia	In the process of consideration to sign a new MoU by the Department of Fisheries Malaysia.	SEAFDEC National Coordinator/ FR-National Focal Point	
Philippine	In the process of amending the new LoA	FR-National Focal Point	
Thailand	In the process of consideration on the draft of the new LoA by the Department of Fisheries Thailand	FR-National Focal Point	
Vietnam	In the process of consideration to sign a new Lol by the Directorate of Fisheries, Viet Nam	FR-National Focal Point	

ANNEX 9

PROGRESS ON ASEAN ENDORSEMENT/SUPPORT OF THE REGIONAL ACTION PLAN FOR MANAGEMENT OF TRANSBOUNDARY SPECIES, INDO-PACIFIC MACKEREL (RASTRELLIGER BRACHYSOMA) IN THE GULF OF THAILAND SUB-REGION²

EXECUTIVE SUMMARY

The Regional Action Plan for Management transboundary species, Indo-pacific Mackerel in the Gulf of Thailand Sub-Region (RAP-mackerel), was drafted through consultation with stakeholders from six Southeast Asian Member Countries surrounding the South China Sea and the Gulf of Thailand in September 2019. The RAP-Mackerel aims to improve the management policy of critical habitats for fish stocks of transboundary significance in the Gulf of Thailand Sub-region. The SEAFDEC Council Director at its Fifty-Second Council Meeting (52CM) in May 2020 approved and endorsed the RAP-mackerel for submission to the ASEAN mechanism for consideration and support. In this connection, the final draft RAP-Mackerel was later endorsed at the Twenty-Second Meeting of the Fisheries Consultative Group of the ASEAN-SEAFDEC Strategic Partnership (22FCG/ASSP) in November 2020 and the Twenty-Eighth Meeting of ASEAN Sectoral Working Group on Fisheries (28ASWGF) in June 2021.

At present, the RAP-Mackerel is scheduled for consideration and support, under the ASEAN Policy Framework, at the Special Senior Official Meeting of the Forty Second ASEAN Ministry of Agriculture and Forestry (SOM-42nd AMAF), which will be held on 23 August 2021. The PCU will update the results from SOM-42nd AMAF at the PSC5.

ACTIONS BY THE PROJECT STEERING COMMITTEE:

- Take notes on the updated status of the ASEAN endorsement and support of the RAP-Mackerel.
- Country is requested to consider and apply the RAP-Mackerel for further development of the national action plan.
- The Committee is also invited to advise to SEAFDEC/PCU for further support the RAP-mackerel implementation.

² Please refers to the Meeting document (PSC5_Ref.3_SP1-2021_RAP_R.brachysoma-fwcp)



Southeast Asian Fisheries
Development Center

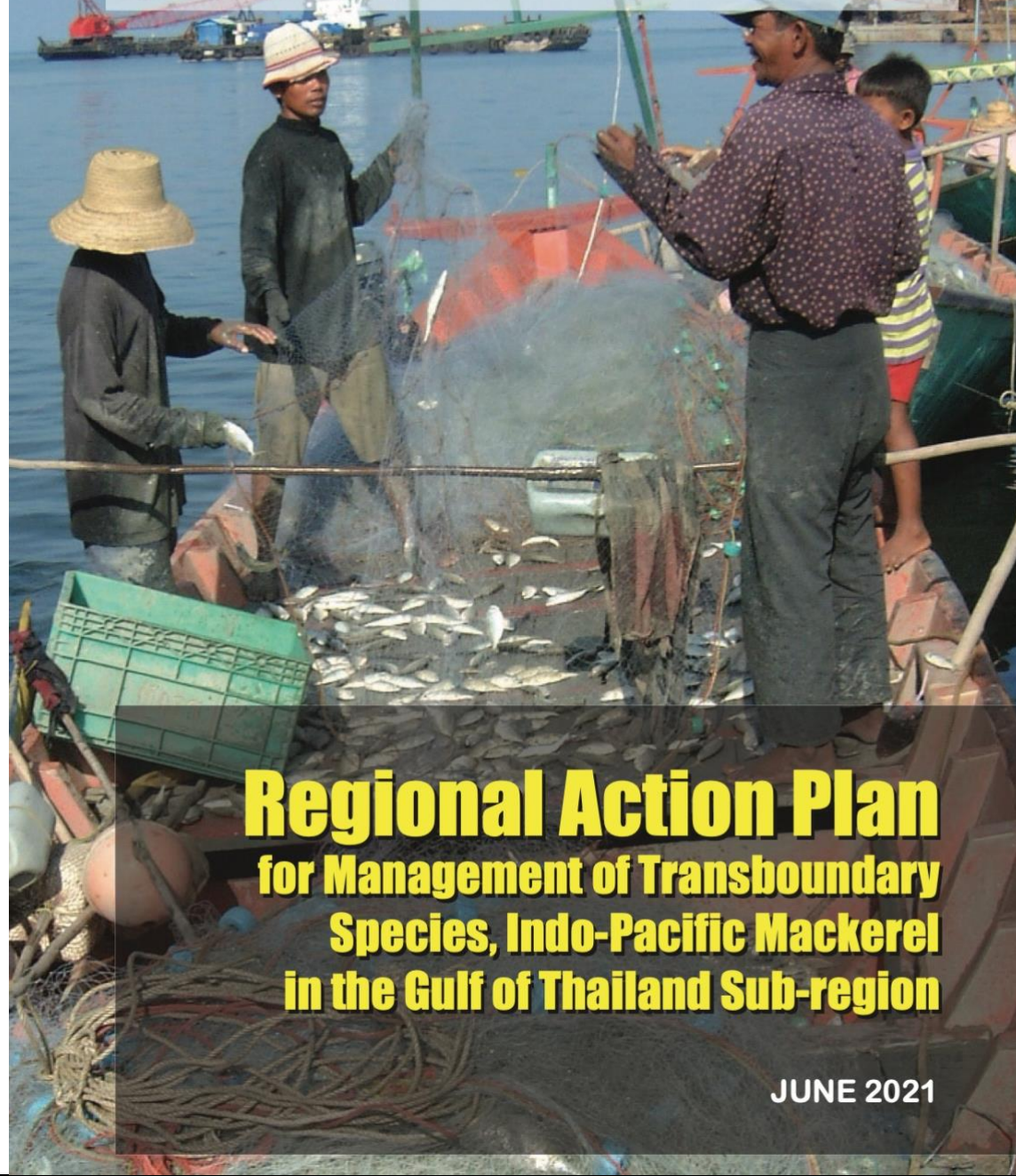


United Nations
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Establishment and Operation of a Regional System of
Fisheries Refugia in the South China Sea and Gulf of Thailand



Regional Action Plan for Management of Transboundary Species, Indo-Pacific Mackerel in the Gulf of Thailand Sub-region

JUNE 2021

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Somboon Siriraksophon

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

REGIONAL ACTION PLAN
FOR
MANAGEMENT OF TRANSBOUNDARY SPECIES,
INDO-PACIFIC MACKEREL (*Rastrelliger brachysoma*)
IN THE GULF OF THAILAND SUB-REGION

SOUTHEAST ASIAN FISHERIES DEVELOPMENT CENTER
TRAINING DEPARTMENT
JUNE 2021

Page 1 of 20

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Table of Contents

CHAPTER-1: INTRODUCTION	4
CHAPTER 2: STOCK STATUS OF INDO-PACIFIC MACKEREL	5
CHAPTER 3: ISSUES, KNOWLEDGE GAPS, AND CHALLENGES.....	6
3.1) DATA AND INFORMATION.....	6
3.2) UNDERSTANDING THE STATUS OF FISH STOCK.....	6
3.3) MANAGEMENT RESPONSES.....	6
3.4) AWARENESS BUILDING	6
3.5) STRENGTHEN REGIONAL COOPERATION.....	6
3.6) STUDY THE ENVIRONMENT IMPACT	7
3.7) ENHANCE CAPACITY BUILDING	7
3.8) INFORM THE AGREED MANAGEMENT MEASURES	7
CHAPTER 4: REQUIRED REGIONAL COOPERATION FOR TRANSBOUNDARY MANAGEMENT.....	8
CHAPTER 5: PROVISIONS OF THE REGIONAL ACTION PLAN	9
5.1) THE GOAL OF REGIONAL ACTION PLAN	10
5.2) EXPECTED OUTCOMES.....	10
5.3) ACTIONS	11
A) GOVERNANCE DIMENSION	11
B) SOCIAL DIMENSION	13
C) ECONOMIC DIMENSION	14
D) ECOSYSTEM DIMENSION.....	15
E) CLIMATE CHANGE DIMENSION	18
REFERENCES:	20

CHAPTER-1: INTRODUCTION

Mackerels (Family Scombridae), particularly the Indo-Pacific mackerel (*Rastrelliger brachysoma*), also known as short mackerel, are among the most economically important small pelagic fishes in the Southeast Asian region, contributing to approximately 38% of the region's total small pelagic fisheries production or 11% of total capture fisheries production in 2010. Comparing mackerel species, in 2016, Indo-Pacific mackerel contributed to 78% of the total mackerel production with an average price of 1,492 USD/MT, decreasing from the production reported in 2015. (SEAFDEC, 2018).

On the production of Indo-Pacific mackerel by countries, Indonesia was the major catcher in the region, reporting the highest production at 283,106 MT in 2016, followed by the Philippines at 38,339 MT (SEAFDEC, 2018). As for Thailand, the mackerel production was not segregated by species, but the total production of all mackerel species was reported to be 81,017 MT in 2016. Nevertheless, the country's total mackerel production had drastically reduced from those of 194,845 MT in 2012. Like Thailand, the Philippines also reported declining trends in its Mackerel production through the period (SEAFDEC, 2018).

The Gulf of Thailand Sub-region (GoT) is one of the critical ecosystems for Indo-Pacific mackerel, where the peak of highest catch using purse seine and the falling net reported in 1996 at 328,955 MT; while the low catch appeared during three periods, in 1999, 2005 and 2010 at 289,285 MT, 283,984 MT, and 259,354.56 MT, respectively. Moreover, the catch has never reached 300,000 MT as recorded in 1996 (SEAFDEC, 2018).

In general, various types of fishing gears were used to harvest Indo-Pacific mackerel in the GoT; and the three significant types recorded in 2008 were purse seines (45%), driftnets (31%), trawls (18%). The landings show declining trends indicating that the Indo-Pacific mackerel stocks in the South China Sea and GoT were overexploited. For instance, in 2016, Thailand reported the catch production of Indo-Pacific mackerel by three main fishing gears, purse seine at 3,008 MT, trap at 691.6 MT, and trawl at 630.3 MT (SEAFDEC, 2018).



Short mackerel is considerable inexpensive but contains high protein, making the species popular for consumption in the Southeast Asia.

CHAPTER 2: STOCK STATUS OF INDO-PACIFIC MACKEREL

Indo-Pacific mackerel is considerably inexpensive but contains high protein, making the species popular for consumption in Southeast Asian countries such as Cambodia, Indonesia, Thailand, and Malaysia. However, with a drastic increase in the production of canned mackerels to replace the decreasing sardines, the catch of Indo-Pacific mackerel has recently been declining due to overfishing and unregulated fishing operations in several countries. Such a situation has become a significant concern by countries in the Southeast Asian region.

Several fish species, including mackerels, were reported to be in the overexploitation state in the Gulf of Thailand (Puthy, 2007). His study using the Schaefer and Fox models indicated that mackerel stocks are both biologically and economically overexploited. However, there were still opportunities to increase the mackerel stocks by reducing fishing efforts, allowing the stocks to recover.

Thailand also reported that the species was under an overexploitation state throughout the past years. The species also had to change population patterns, which could be due to the environmental impacts. Furthermore, the distribution of fish larvae could also be influenced by changes in phytoplankton, water current, and temperature (SEAFDEC, 2017).

In Indonesian waters, over-exploitation of marine fishery resources, including Indo-Pacific mackerel, has been highlighted in the Java Sea and other Indonesian waters. However, the recent population dynamic study by Zamroni, A.& Ernawati, T. (2019) showed that Indo-Pacific mackerels in Northern Coast Java of Indonesia water were still under fully exploitation state, and the recruitment process has not been disturbed. Although the species has yet to reach the heavy exploitation state, the suggestion was made that fishing efforts should be reduced, while fishing permits, such as the number of units, size of the fishing fleet, fishing gear dimensions, and fishing technology pressure, should also be controlled. Nevertheless, due to limited biological information of Indo-Pacific mackerel, genetic diversity study of the species, including in Java Island, was conducted (Indaryanto *et al.* 2015).

Meanwhile, the decline of Indo-Pacific mackerel due to changes in environmental condition and water quality, modification, and loss of critical habitats, has been documented in several countries and reported by the media.



Total weights and values of short mackerel landed in Trat fisheries refugia site (Munprasit *et.al.*2020)

CHAPTER 3: ISSUES, KNOWLEDGE GAPS, AND CHALLENGES

The Scientific and Technical Committee for fisheries refugia project identifies the issues, knowledge gaps, and challenges for sustainable utilization of Indo-Pacific mackerel based on the reviews and inputs from six targeting Southeast Asian countries, namely Cambodia, Indonesia, Malaysia, Philippines, Thailand, and Viet Nam. In response to SEAFDEC questionnaires in September 2019, the issues, knowledge gaps, and challenges are categorized and summarized as follows:

3.1) DATA AND INFORMATION

- Insufficient information on the Indo-Pacific mackerel fishery characteristics
- Insufficient series catch and effort data, series of size data, biological data collection for population and abundance study
- No current information of migratory route, spawning ground, and season for a whole life cycle
- No regular monitor data collection on capture production.

3.2) UNDERSTANDING THE STATUS OF FISH STOCK

- Lack of knowledge on stock structure (need on DNA study)
- Insufficient stock status of *R brachysoma* (distribution and abundance)
- Insufficient information on Population dynamics (Growth parameters, mortalities, and relationship to other regional stock)
- No Actual effort to exploit the resources
- Trans-boundary distributions
- Lack of knowledge on how to assess multi-fishing gears to harvest

3.3) MANAGEMENT RESPONSES

- No Fisheries Management Plan
- No information on existing and effectiveness of regulations
- No co-management schemes/arrangements
- No transboundary management mechanism/plan
- No information on Effects/Loss to IUU fishing
- No reliable database or software for Assessment
- No Traceability system using an electronic logbook
- support the Sustainable management concept, Co-management, and EAFM

3.4) AWARENESS BUILDING

- Educate people and student in fisheries communities
- Distribute brochures or any media to promote fisheries management
- Raise awareness of both small-scale fishers and commercial fishers
- Sharing of the findings to both policy management level and fishermen
- develop consultation among researchers, managers, and stakeholders (EAFM)
- to support the Sustainable management concept, Co-management, and EAFM

3.5) STRENGTHEN REGIONAL COOPERATION

- Standardization on data collection for regional stock assessment
- Data sharing

- Lack of management body
- Develop the transboundary management mechanism/plan

3.6) STUDY THE ENVIRONMENT IMPACT

- Temporary disappear of short mackerel in the Gulf of Thailand
- impact of climate change to fish migration route

3.7) ENHANCE CAPACITY BUILDING

- Strengthen knowledge on research works as follows:
 - Species identification of small size (juvenile) and larval fishes
 - otolith (to know the age of fish)
 - Data collection at landing sites: catch and biological data
 - Data analysis
 - Stock Assessment and modeling for stock assessment
 - Harvest Strategy
- Fishing gear technology
- Fisheries manager
 - Translating scientific advice into management measures and actions
 - Understand various fisheries management tools and used them in the actual implementation

3.8) INFORM THE AGREED MANAGEMENT MEASURES

- Relevant stakeholders including fishers, fishing industry, local community, etc.)
- Ensure its compliance.



Technical Training on Biological Studies of Indo-Pacific Mackerel on 12-14 February 2019
in Koh Kong Province, Cambodia

CHAPTER 4: REQUIRED REGIONAL COOPERATION FOR TRANSBOUNDARY MANAGEMENT

Since 1953, Thailand undertook several management actions for Indo-Pacific mackerel stock. From 1953 to 2015, 13 Notifications were released concerning the closure of fishing areas in the Gulf of Thailand to conserve the spawning grounds and nursery stages of aquatic resources (Saikliang 2016). Thailand also undertook several studies to enhance knowledge on migration patterns of Indo-Pacific mackerel within the country's EEZ in the Gulf of Thailand. The country's efforts for effective fisheries management for Indo-Pacific mackerel have continued up to the present.

Although the information on migration patterns of Indo-Pacific mackerel within the country's EEZ in the Gulf of Thailand sub-region is already available for almost 30 years, however, the recent result from genetic analysis of Indo-Pacific mackerel using the individual assignment and mixed-stock analysis shows the contradictory migratory behavior of the species between the stock in the inner Gulf of Thailand and the stock in the eastern part of the Gulf of Thailand (Kongseng et al., 2020). Additionally, the population from Pattani Province may also migrate across the eastern Gulf of Thailand through the southern part of Viet Nam and Cambodia waters. Such results indicated that Indo-Pacific mackerel is transboundary species, and joint management cooperation at the regional or sub-regional levels among countries that harvested Indo-Pacific mackerel is necessary for sustainable management.



Regional Consultative Meeting on Drafting of the Regional Action Plan for Management of Transboundary Species, Indo-pacific Mackerel was held at Bay Beach Resort, Jomtien, Chonburi Province, Thailand (12th – 13th September 2019).

CHAPTER 5: PROVISIONS OF THE REGIONAL ACTION PLAN

There are a number of international instruments aiming at conservation and management of marine resources, e.g., the 1982 United Nations Convention on the Law of the Sea (UNCLOS), the United Nations Fish Stock Agreement (UNFSA), and the UN Sustainable Development Goal (SDG) 14. These instruments also support initiatives in combating illegal fishing towards sustainable use of seas and marine resources and enhancing the environmental, economic, and social well-being of coastal fishers and communities. At the regional level, the ASEAN-SEAFDEC Resolution and Plan of Action on Sustainable Fisheries for Food Security for the ASEAN Region adopted by the ASEAN-SEAFDEC Member Countries in 2001 and 2011 also specified the importance of establishing and implementing effective fisheries management through ecosystems approach by integrating habitat and fisheries resources and increasing social and economic benefit to all stakeholders and applying knowledge/science-based development and management of fisheries.

It recognizes the need to strengthen cooperative efforts among countries toward sustainable utilization of the marine resources, particularly the Indo-Pacific mackerel, a critical transboundary resource in the Gulf of Thailand. SEAFDEC with the funding support from the Government of Sweden through the SEAFDEC-Sweden Project on “Fisheries and Habitat Management, Climate Change and Social Well-being in Southeast Asia” and the SEAFDEC/UNEP/GEF Project on “Establishment and Operation of a Regional System of Fisheries Refugia in the South China Sea and Gulf of Thailand (Fisheries Refugia)” therefore facilitated discussion among the Gulf of Thailand countries to develop the Regional Action Plan (RAP) for Management of Indo-Pacific mackerel. The RAP contains five Sections, namely:

Section 1: Introduction

Section 2: Stock Status of Indo-Pacific mackerel

Section 3: Issues, Knowledge Gaps, and Challenges

Section 4: Required Regional Cooperation for Management of Transboundary Species

Section 5: Provisions of the RAP including goal, outcomes, objectives, and actions.

The Provisions of RAP were categorized into five dimensions, which are: 1) Governance; 2) Social; 3) Economic, 4) Ecosystem; and 5) Climate Change. These five dimensions were aligned with the concept of the Ecosystem Approach to Fisheries Management (EAFM).

This RAP for Management of Indo-Pacific mackerel is a non-legal binding document meant to serve as a foundation to identify practices and processes that support the implementation of the relevant ASEAN-SEAFDEC Resolution and Plan of Action. It marks an evolutionary step towards a concerted regional approach to support countries’ efforts to manage the transboundary fish stock in the Gulf of Thailand.

5.1) THE GOAL OF REGIONAL ACTION PLAN

The Regional Action Plan is intended to serve as a guide for concerned countries in implementing actions to achieve the goal of

“Sustainable Indo-Pacific mackerel fisheries in the Gulf of Thailand sub-region through science-based management for the shared benefit to the other ASEAN Member States by 2030”

5.2) EXPECTED OUTCOMES

- 1) Healthy Indo-Pacific mackerel resources through the implementation of fishery management plan of the Gulf of Thailand.
- 2) Accurate and comprehensive information on Indo-Pacific mackerel of the Gulf of Thailand.
- 3) Model for development of management plan for Indo-Pacific mackerel that could be applicable to other sub-regions.



Page 10 of 20

5.3) ACTIONS

A) GOVERNANCE DIMENSION

Overall Objective:

Regional/sub-regional fisheries management mechanism is in place building upon national regulations and management scheme.

Specific Objectives

- A1. Fisheries management mechanism developed and approved (including fisheries management plan and arrangement, the effect of regulation)
- A2. The data management system is enhanced and considered regional/sub-regional standardization data management system in place.
- A3. The standard for assessing fishing effort large, medium and small-scale fishery agreed.
- A4. Understandings on national law and management schemes within the sub-regional are communicated and applied.
- A5. Impact of unregulated and unreported fishing assessed.
- A6. Catch documentation system applied as a tool to improve traceability of the short mackerel fishery.

Knowledge Gaps/Issues	Actions	Ref.	Responsibility
Insufficient catch and landing data	Develop the SOP/technical guidance for data collection (including catch data, biological data)	A2	<ul style="list-style-type: none"> • SEAFDEC • University • Government agency • Fishery research institute
	To further develop catch documentation	A2	
	Harmonization/standardized on data collection and develop database system	A2	
Insufficient biological data collection	Conduct capacity building program for data collection to enumerator and scientist, researchers	A3	<ul style="list-style-type: none"> • SEAFDEC • University • Government agency • Fishery research institute
	Conduct time series data collection with standardized method	A3	
Insufficient Fishing effort (include commercial and small scale)	Link to the catch documentation include commercial and small-scale fishery (as available)	A4	<ul style="list-style-type: none"> • Government and Private sector
	Regular monitor data collection on fishing effort capture production (include commercial and small scale)	A4	
Fisheries Management Mechanism (including fisheries management plan and arrangement, the effective of regulation)	Develop fisheries management plan for short mackerel at national and sub-regional level	A1	<ul style="list-style-type: none"> • SEAFDEC • University • Government agency • Fishery research institute • All stakeholder (fishers, others)
	Initiative on development of harvesting strategy		

	Establish regional cooperation on monitoring, control and surveillance	A1	<ul style="list-style-type: none"> Existing national MCS partners/network
	Raise awareness of both small-scale fishers and commercial-scale fishers <ul style="list-style-type: none"> Policy and regulations Management measures Sustainable utilization Involvement the participation, considering gender sensitivity 	A1	<ul style="list-style-type: none"> SEAFDEC University Government agency Fishery research institute All stakeholder
	Promote stakeholder consultation among researchers, managers and stakeholders using EAFM	A1	<ul style="list-style-type: none"> SEAFDEC University Government agency Fishery research institute All stakeholder International organizations (FAO, NOAA, etc)
	Conduct habitat conservation and rehabilitation and conduct stock enhancement programs	A1	<ul style="list-style-type: none"> SEAFDEC University Government agency Fishery research institute All stakeholder
Understanding national law and regulations	Comparative review of national law and regulations, (including local wisdom)	A5	<ul style="list-style-type: none"> Government and resource person
	Disseminate knowledge and information on the conservation and management of Indo-pacific mackerel to fisheries communities and students	A5	<ul style="list-style-type: none"> Government Other stakeholders
Flexibility of regulation to respond to science advise	Encourage periodic evaluation of policy and regulation	A1	<ul style="list-style-type: none"> Government
Management schemes/arrangements including transboundary aspects.	Develop management schemes/arrangements at sub-regional area including transboundary aspects	A1	<ul style="list-style-type: none"> SEAFDEC University Government agency
	Support establishment of regional cooperation/management mechanism (non-legal binding and scientific advisory committee)	A1	<ul style="list-style-type: none"> Fishery research institute All stakeholders
Illegal, Unregulated and Unreported Fishing	Assessing the impact of Illegal, Unregulated and Unreported Fishing	A6	<ul style="list-style-type: none"> Government and resource person
	Strengthen the Monitoring, Control and Surveillance network against the illegal fishing (none legal binding)	A6	<ul style="list-style-type: none"> Inter-agencies coordination
Traceability system for fish and fishery product (using electronic logbook, etc)	Develop the catch documentation that suitable for traceability system e.g. electronic logbook, etc.	A6	<ul style="list-style-type: none"> Government and resource person

B) SOCIAL DIMENSION

Overall Objective:

Social responsibility and involvement in fisheries management achieved

Specific Objectives:

- B1. Understanding the social condition of people involving in the fishery at the local and national level.
- B2. Increase participation and involvement of stakeholders at various levels.
- B3. Resolve conflict on land and resource use
- B4. Build awareness and capacity at all level.

Knowledge Gaps/Issues	Actions	Ref.	Responsibility
Social and economic at local and national level	Conduct a baseline survey based on available information on social and economic at local and national level (S)	B1	<ul style="list-style-type: none"> • Government • University
Traditional fishing (indigenous knowledge and social responsibility)	Improve and disseminate the best practice to other (indigenous people)	B1	<ul style="list-style-type: none"> • Government
People engagement in fishery activity (include small scale fishery and large scale/commercial fishery, processing)	Conduct stakeholder analysis for understanding the important and influence of stakeholder in various level	B2	<ul style="list-style-type: none"> • Government • University
People engagement in policy making (fisherfolk organization, academy, private sector,	Promote Public Private Partnership	B2	<ul style="list-style-type: none"> • Government
	Promote multi stakeholder engagement in policy making	B2	<ul style="list-style-type: none"> • Government and relevant stakeholder
Social structure (community small scale and large scale, gender, migrant labor, and fisher)	Encourage gender equality based on understanding of social structure in community	B2	<ul style="list-style-type: none"> • Government and relevant stakeholder
Conflict on land and resource use	Promote stakeholder consultation	B3	<ul style="list-style-type: none"> • Government and relevant stakeholder
	Promote marine spatial planning and coastal zone management	B3	<ul style="list-style-type: none"> • Government • Resource person • Relevant stakeholder
Awareness Raising	Distribute brochures or any media (e.g. digital media) to promote fisheries management and regulations)	B4	<ul style="list-style-type: none"> • SEAFDEC • Government • Relevant stakeholder
	Capacity building and experts exchange		
	Fishing gear technology for eco-friendly (Reduce bycatch, cost and expenditures		

C) ECONOMIC DIMENSION

Overall Objective:

Equal distribution of economic benefit, economic return, and employment opportunities

Specific Objectives:

- C1. Ensure the national government and private sector commitment for long-term funding and support.
- C2. Understanding the structure and ownership of assets within the fishing industry (large, medium, and small scale).
- C3. Maximized economic benefit return for management response and reduced unequal distribution.

Knowledge Gaps/Issues	Actions	Ref.	Responsibility
Funding	To ensure the national government commitment for long-term funding and support	C1	<ul style="list-style-type: none"> • Government • Private sector • Funding agency/donor
	Explore various potential donor	C1	
	Promote capital access through micro finance scheme	C1	
	Promote corporate social responsibility	C1	
Structure and ownership of asset within the fishing industry (large and small scale)	Review structure and ownership of asset within the fishing industry (large, medium and small scale) for management responses	C2	<ul style="list-style-type: none"> • Government • Resource person
Benefit and economic return and unequal distribution	Assess benefit and economic return throughout the value chain	C3	<ul style="list-style-type: none"> • Government • Resource person
Increase of cost (fuel and other inputs)	To ensure the fuel and other input exist for local fishermen	C3	<ul style="list-style-type: none"> • Government
Fisheries employment revenue	To create the alternative work	C3	<ul style="list-style-type: none"> • Government • Private Sector • Relevant stakeholder
	Require the contract among people engage in fishing		

D) ECOSYSTEM DIMENSION

Overall Objective:

Maintain a healthy ecosystem for the wellbeing of short mackerel resources

Specific Objectives:

D1. Understand current status and improve the knowledge of short mackerel resources for scientific-based management

D2. Understand various habitats of short mackerel throughout its life cycle

Knowledge Gaps/Issues	Actions	Ref.	Responsibility
Migratory route	Update, further define and confirm the migratory route at national, sub-regional or regional area	D2	<ul style="list-style-type: none"> • Fisheries Agencies, • National Research Institutions, • Regional Institutions
	Conduct tagging program, e-DNA, DNA	D1	<ul style="list-style-type: none"> • Fisheries Agencies, • Research Institutions
Spawning and nursery grounds (including dispersion and distribution of fish larvae)	Conduct comprehensive larvae survey (e.g. ichthyoplankton)	D1	<ul style="list-style-type: none"> • Fisheries Agencies, • Research Institutions
	Study on critical habitats	D2	<ul style="list-style-type: none"> • Fisheries Agencies, • Research Institutions,
Seasonal changes	Conduct comprehensive larvae survey (e.g. ichthyoplankton)	D1	<ul style="list-style-type: none"> • Fisheries Agencies, • Research Institutions, • SEAFDEC
	Conduct reproductive biology study	D1	<ul style="list-style-type: none"> • Fisheries Agencies, • Research Institutions, • SEAFDEC
Physical and chemical oceanographic conditions and ocean circulation	Conduct oceanography survey	D2	<ul style="list-style-type: none"> • Fisheries Agencies, • Research Institutions, • SEAFDEC
	Develop oceanographic modelling	D2	<ul style="list-style-type: none"> • Fisheries Agencies,

			<ul style="list-style-type: none"> • Research Institutions, IOC/WESTPAC
	Conduct satellite imagery (GIS, remote sensing) analysis	D2	<ul style="list-style-type: none"> • Fisheries Agencies, • Research Institutions
Stock structure	Conduct DNA study, otolith, tagging, etc.	D1	<ul style="list-style-type: none"> • Fisheries Agencies, • Research Institutions, • SEAFDEC
Stock status at national and regional of <i>R. brachysoma</i> (distribution and abundance)	Conduct stock assessment at national, sub-regional or regional level	D1	<ul style="list-style-type: none"> • Fisheries Agencies, • Research Institutions, • SEAFDEC
	Share data, information and findings from scientific research to relevant stakeholders	D1	<ul style="list-style-type: none"> • Fisheries Agencies, • Research Institutions, • SEAFDEC
	Standardized data collection for regional stock assessment	D1	<ul style="list-style-type: none"> • Fisheries Agencies, • Research Institutions, • SEAFDEC
	Develop modeling for stock assessment	D1	<ul style="list-style-type: none"> • Fisheries Agencies, • Research Institutions, • SEAFDEC, • FAO
Species Identification	Provide capacity building on species identification of small size (juvenile) and larval fishes	D1	<ul style="list-style-type: none"> • Fisheries Agencies, • Research Institutions, • SEAFDEC
Status and Trends	Investigate the trend of short mackerel catch at national, sub-regional levels	D1	<ul style="list-style-type: none"> • Fisheries Agencies, • Research Institutions, • SEAFDEC
Population dynamics (Growth parameters, mortalities etc.	Conduct survey on fisheries biology	D1	<ul style="list-style-type: none"> • Fisheries Agencies, • Research Institutions
Impact of fishing effort on stock structure (Multi-fishing gears to harvest)	Conduct study on impact of fishing effort on stock structure (Multi-fishing gears to harvest) to improve the fishery management	D1	<ul style="list-style-type: none"> • Fisheries Agencies, • Research Institutions, • SEAFDEC

	Enhance Fishing gear technology for eco-friendly (Reduce bycatch, cost and expenditures)	D2	<ul style="list-style-type: none"> • Fisheries Agencies, • Research Institutions, • SEAFDEC
Stock assessment and distributions for transboundary species	Enhance the cooperation for information sharing among the bordering countries	D1	<ul style="list-style-type: none"> • Fisheries Agencies, • SEAFDEC
Capacity building and experts exchange	Training, workshop, conference and experts exchange	D1,2	<ul style="list-style-type: none"> • Fisheries Agencies, • Research Institutions, • SEAFDEC, FAO, UNEP-GEF

E) CLIMATE CHANGE DIMENSION

Overall Objective:

Adaptive management based on understanding the impact of climate change and disaster

Specific Objectives:

- E1. adaptive management measures **in place** in response to the impact of climate change and disaster on short mackerel fisheries and habitats
- E2. mitigation and precautionary measures **adopted** to compensate for the effects of climate change

Knowledge Gaps/Issues	Actions	Ref.	Responsibility
Impact of climate change to fish migration route	Assess the impact of climate change/disaster/anthropogenic activities to fish migration route, habitat and behavior	E1	<ul style="list-style-type: none"> • Fisheries and Environmental Agencies, • Research Institutions, • SEAFDEC, UNEP-GEF, UNDP, FAO
	Study effect of environmental changes on the migratory pattern and spawning patterns based on climate change	E1	<ul style="list-style-type: none"> • Fisheries and Environmental Agencies, • Research Institutions, • SEAFDEC, UNEP-GEF, UNDP, FAO
	Share information from the findings of scientific research to both fisheries managers and fishers	E2	<ul style="list-style-type: none"> • Fisheries and Environmental Agencies, • Research Institutions, • SEAFDEC, UNEP-GEF, UNDP, FAO
Sensitivity of species on critical habitats and environment impact to ecosystem (pollution, climate change, etc)	Conduct study on sensitivity of species on environment change (pollution, climate change, etc) to support the management response	E1	<ul style="list-style-type: none"> • Fisheries and Environmental Agencies, • Research Institutions, • SEAFDEC, UNEP-GEF, UNDP, FAO
	Study on the critical habitats (spawning and grounds)	E1	<ul style="list-style-type: none"> • Fisheries and Environmental Agencies, • Research Institutions,

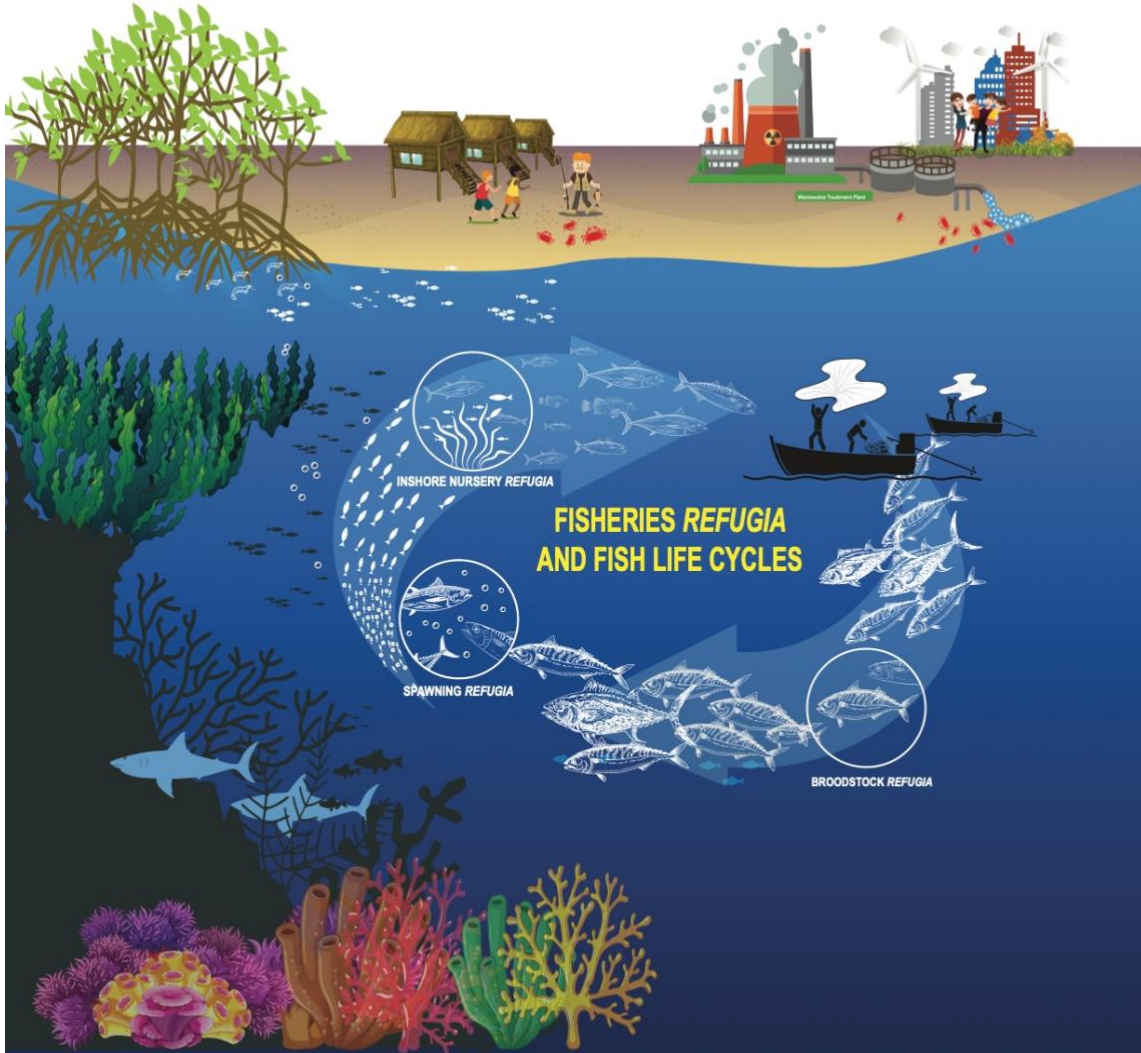
			<ul style="list-style-type: none"> • SEAFDEC, UNEP-GEF, UNDP, FAO
	Study effect of environmental changes on the migratory pattern and spawning patterns	E1	<ul style="list-style-type: none"> • Fisheries and Environmental Agencies, • Research Institutions, • SEAFDEC, UNEP-GEF, UNDP, FAO
	Data sharing (assign focal person to share information)	E1	<ul style="list-style-type: none"> • Fisheries and Environmental Agencies, • Research Institutions, • SEAFDEC, UNEP-GEF, UNDP, FAO
Capacity building and experts exchange	Training, workshop, conference and experts exchange on CC impacts	E1 E2	<ul style="list-style-type: none"> • Fisheries and Environmental Agencies, • Research Institutions, • SEAFDEC, UNEP-GEF, UNDP, FAO

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The Establishment and Operation of A Regional System of Fisheries *Refugia* in the South China Sea and Gulf of Thailand is a part of Strategic Action Programme for the South China Sea



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ANNEX 10A
PROJECT EXPENDITURES AS OF 30 JUNE 2021
AND CONSIDERATION THE NEXT BUDGET REVISION

I. INTRODUCTION

The working paper presents the expenditures incurred by country partners and the SEAFDEC PCU for national and regional programs from 2016 until 30 June 2021. The starting year for implementation is depended upon the year that the partner signed the contract for project initiation. The expenditure report consists of five categories budget lines, namely: 10-Project Personnel; 20-Sub-contract Component; 30-Training Component; 40-Equipment & Premises Component; and 50-Miscellaneous Component. The PCU addresses this issue to inform the overall budget status in each budget line for consideration by the project Steering Committee. In addition, the PCU requests the 3rd Budget Revision process by the end of 2021 for consideration and support by the Committee.

II. OVERALL EXPENDITURES AS OF 30 JUNE 2021

The actual expenditures reported from six country partners and the SEAFDEC PCU as of 30 June 2021 are presented in Table 1.

Table 1: A total budget allocation based on the 2nd Budget Revision as of 30 June 2020, cumulative expenditures as of 30 June 2021, and the budget balance from 1 July 2021.

Code	Description	Budget Revision as at 30 JUN 2020	ALL Expenditures by Partners (6 Countries + PCU)							Cumulative Expenditures as of 30 JUN 2021	Balance as at 1 July 2021
			2016	2017	2018	2019	2020	2021	2022		
10	PROJECT PERSONNEL COMPONENT	(A)	Audit	Audit	Audit	Audit	Not yet Audit	Q1 + Q2	(B)	(A-B)	
1100	Project Personnel w/m	238,997.23		7,268.00	27,761.00	38,318.00	50,207.82	17,179.62	-	140,734.44	98,262.79
1200	Consultants w/m	1,315,005.25	62,328.00	165,607.00	147,937.00	179,307.00	208,145.96	37,627.98		800,952.94	514,052.31
1600	Travel on official business (above staff)	273,779.05	8,306.00	51,774.00	49,042.00	97,395.00	24,888.45	4,608.50		236,013.95	37,765.10
1999	Component Total	1,827,781.53	70,634.00	224,649.00	224,740.00	315,020.00	283,242.23	59,416.10		1,177,701.33	650,080.20
20	SUB-CONTRACT COMPONENT										
2100	Sub-contracts (MoU's/LA's for UN cooperating agencies)	-	-	-	-	-	-	-	-	-	-
2200	Sub-contracts (MoU's/LA's for non-profit supporting organizations)	274,063.49	5,730.00	9,819.00	2,426.00	14,440.00	51,709.41	4,100.00		88,224.41	185,839.08
2300	Sub-contracts (commercial purposes)	81,129.28	22.00	-	15,689.00	10,073.00	10,928.99	1,269.28		37,982.27	43,147.01
2999	Component Total	355,192.77	5,752.00	9,819.00	18,115.00	24,513.00	62,638.40	5,369.28		126,206.68	228,986.09
30	TRAINING COMPONENT										
3200	Group training (study tours, field trips, workshops, seminars, etc)	293,417.77		10,224.00	14,947.00	66,001.00	40,176.79	8,042.44		139,391.23	154,026.54
3300	Meetings/conferences (give title)	316,330.18	19,286.00	2,074.00	42,134.00	63,138.00	30,554.19	5,501.04		162,687.23	153,642.95
3999	Component Total	609,747.95	19,286.00	12,298.00	57,081.00	129,139.00	70,730.98	13,543.48		302,078.46	307,669.49
40	EQUIPMENT & PREMISES COMPONENT										
4100	Expendable equipment (items under \$1,500 each, for example)	5,336.12		109.00	490.00	1,794.00	424.90	306.93		3,124.83	2,211.29
4200	Non-expendable equipment (computers, office equip, etc)	43,760.99	9,226.00	11,753.00	3,869.00	3,388.00	10,179.23	5,068.60		43,483.83	277.16
4300	Premises (office rent, maintenance of premises, etc)	18,585.28		-	5,376.00	7,496.00	894.00	-		13,766.00	4,819.28
4999	Component Total	67,682.39	9,226.00	11,862.00	9,735.00	12,678.00	11,498.13	5,375.53		60,374.66	7,307.73
50	MISCELLANEOUS COMPONENT										
5100	Operation and maintenance of equip.	876.60		-	-	142.00	292.00	115.00		549.00	327.60
5200	Reporting costs (publications, maps, newsletters, printing, etc)	30,489.29		2,859.00	240.00	542.00	3,580.87	1,485.20		8,707.07	21,782.21
5300	Sundry (communications, postage, freight, clearance charges, etc)	8,229.49		757.00	532.00	2,832.00	1,744.07	406.16		6,271.23	1,958.26
5400	Hospitality and entertainment	-		-	-	-	-	-		-	-
5500	Evaluation (consultants fees ETC)	100,000.00		-	-	-	-	-		-	100,000.00
5999	Component Total	139,595.38		3,616.00	772.00	3,516.00	5,616.94	2,006.36		15,527.30	124,068.07
99	9999 GRAND TOTAL	3,000,000.01	104,898.00	262,244.00	310,443.00	484,866.00	433,726.68	85,710.75		1,681,888.43	1,318,111.58

These expenditures in 2016, 2017, 2018, and 2019 are adjusted and aligned with the Consolidated Audit Report of Financial Statement. For 2020 and 2021 of Q1 and Q2 expenditures are yet consolidated. Cumulative expenditures as of 30 June 2021 is about 1.68 million USD, while the Balance from 1 July 2021 to the project end retains USD 1.32 million. The expenditure in each budget line does not show overspent.

III. REGIONAL PROGRAM EXPENDITURES AS OF 30 JUNE 2021

After the 2nd Budget Revision as of 30 June 2020, the overall budget allocation for SEAFDEC/PCU to implement Regional Programs is amount USD1.49 million. The cumulative expenditures as of 30 June 2021 are about USD1.00 million, as shown in **Table 2**.

Table 2: the actual expenditures of the regional program as of 30 June 2021.

Code	Description	Budget Revision as at 30 JUN 2020	Expenditures of Regional Program (PCU)							Cumulative Expenditures as of 30 JUN 2021	Balance as at 1 July 2021
			2016*	2017	2018	2019	2020	2021	2022		
10	PROJECT PERSONNEL COMPONENT	(A)	Audit	Audit	Audit	Audit	Not yet Audit	Q1 + Q2	(B)	(A-B)	
1100	Project Personnel w/m	-	-	-	-	-	-	-	-	-	
1200	Consultants w/m	982,350.00	62,328.00	165,607.00	139,409.02	148,662.54	163,557.70	6,685.69	686,249.95	296,100.05	
1600	Travel on official business (above staff)	90,093.00	8,306.00	33,460.06	22,933.33	23,725.11	1,067.74	559.25	90,051.49	41.51	
1999	Component Total	1,072,443.00	70,634.00	199,067.06	162,342.35	172,387.65	164,625.44	7,244.94	776,301.44	296,141.56	
20	SUB-CONTRACT COMPONENT										
2100	Sub-contracts (MoU's/LA's for UN cooperating agencies)	-	-	-	-	-	-	-	-	-	
2200	Sub-contracts (MoU's/LA's for non-profit supporting organizations)	32,291.87	5,730.00	9,819.00	2,426.00	8,320.35	6,153.85	-	32,449.20	157.33	
2300	Sub-contracts (commercial purposes)	65,630.14	22.00	-	15,689.00	10,073.00	10,928.99	1,269.28	37,982.27	27,647.87	
2999	Component Total	92,286.14	5,752.00	9,819.00	18,115.00	18,393.35	17,082.84	1,269.28	70,431.47	27,490.54	
30	TRAINING COMPONENT										
3200	Group training (study tours, field trips, workshops, seminars, etc)	10,537.99	-	-	-	-	-	-	-	10,537.99	
3300	Meetings/conferences (give title)	161,520.00	19,286.00	-	28,110.12	49,132.31	16,626.61	-	113,155.04	48,364.96	
3999	Component Total	177,693.86	19,286.00	-	28,110.12	49,132.31	16,626.61	-	113,155.04	58,902.95	
40	EQUIPMENT & PREMISES COMPONENT										
4100	Expendable equipment (items under \$1,500 each, for example)	2,349.52	-	-	-	1,349.52	193.90	251.43	1,794.85	554.67	
4200	Non-expendable equipment (computers, office equip, etc)	34,320.03	9,226.00	8,408.14	3,297.73	3,388.00	9,779.23	-	34,099.10	220.93	
4300	Premises (office rent, maintenance of premises, etc)	-	-	-	-	-	-	-	-	-	
4999	Component Total	36,669.55	9,226.00	8,408.14	3,297.73	4,737.52	9,973.13	251.43	35,893.95	775.60	
50	MISCELLANEOUS COMPONENT										
5100	Operation and maintenance of equip.	500.00	-	-	-	-	-	-	-	500.00	
5200	Reporting costs (publications, maps, newsletters, printing, etc)	8,066.80	-	2,742.28	-	-	2,551.15	-	5,293.43	2,773.37	
5300	Sundry (communications, postage, freight, clearance charges, etc)	5,091.13	-	651.18	532.00	1,505.88	961.80	204.75	3,855.61	1,235.52	
5400	Hospitality and entertainment	-	-	-	-	-	-	-	-	-	
5500	Evaluation (consultants fees ETC)	100,000.00	-	-	-	-	-	-	-	100,000.00	
5999	Component Total	113,657.93	-	3,393.46	532.00	1,505.88	3,512.95	204.75	9,149.04	104,508.89	
99	9999 GRAND TOTAL	1,492,750.48	104,898.00	220,687.66	212,397.20	246,156.71	211,820.97	8,970.40	1,004,930.94	487,819.54	

Please be informed that since March 2021, the PCU hired a full-time finance officer and project officer to support the project management. In addition, SEAFDEC, as an executing agency of both the Fisheries *Refugia* Project and the SCS-SAP Implementation project, plans to continue hiring two officers to support both projects on finance and technical works. The budget for hiring two officers will be shared among two projects in 2021 and will be 100% paid by the SCS-SAP Implementation project in 2022 until the project end. In this connection, the PCU would like to seek support and approval from the committee to hire two officers to support the project management under the shared cost between *Refugia* Project and the SCS-SAP Implementation Project.

IV. NATIONAL PROGRAM EXPENDITURES AS OF 30 JUNE 2021

The cumulative expenditures by six country partners as of 30 June 2021 is USD 676,957, or about 44.91% of the total budget allocation after the 2nd budget revision. The budget Balance for national activities from 1 July 2021 until the project end is USD830,292 or about 55.09% as shown in **Table 3**.

Table 3: The cumulative expenditures from six countries for national programs as of 30 June 2021.

Code	Description	Budget Revision as at 30 JUN 2020	National Program (6 Country Partners)							Cumulative Expenditures as of 30 JUN 2021	Balance as at 1 July 2021
			2016	2017	2018	2019	2020	2021	###		
10	PROJECT PERSONNEL COMPONENT	(A)	Audit	Audit	Audit	Audit	Not yet Audit	Q1 + Q2	(B)	(A-B)	
1100	Project Personnel w/m	240,274.07	-	7,268.00	27,761.00	38,318.00	50,207.82	17,179.62	140,734.44	99,539.63	
1200	Consultants w/m	325,927.68	-	-	8,527.98	30,644.46	44,588.26	30,942.29	114,702.99	211,224.69	
1600	Travel on official business (above staff)	179,700.07	-	18,313.94	26,108.67	73,669.89	23,820.71	4,049.25	145,962.46	33,737.61	
1999	Component Total	745,901.82	-	25,581.94	62,397.65	142,632.35	118,616.79	52,171.16	401,399.89	344,501.93	
20	SUB-CONTRACT COMPONENT										
2100	Sub-contracts (MoU's/LA's for UN cooperating agencies)	-	-	-	-	-	-	-	-	-	
2200	Sub-contracts (MoU's/LA's for non-profit supporting organizations)	249,780.51	-	-	-	6,119.65	45,555.56	4,100.00	55,775.21	194,005.30	
2300	Sub-contracts (commercial purposes)	20,000.00	-	-	-	-	-	-	-	20,000.00	
2999	Component Total	269,780.51	-	-	-	6,119.65	45,555.56	4,100.00	55,775.21	214,005.30	
30	TRAINING COMPONENT										
3200	Group training (study tours, field trips, workshops, seminars, etc)	257,247.53	-	10,224.00	14,947.00	66,001.00	40,176.79	8,042.44	139,391.23	117,856.30	
3300	Meetings/conferences (give title)	176,822.95	-	2,074.00	14,023.88	14,005.69	13,927.58	5,501.04	49,532.19	127,290.76	
3999	Component Total	434,070.48	-	12,298.00	28,970.88	80,006.69	54,104.37	13,543.48	188,923.42	245,147.06	
40	EQUIPMENT & PREMISES COMPONENT										
4100	Expendable equipment (items under \$1,500 each, for example)	2,286.64	-	109.00	490.00	444.48	231.00	55.50	1,329.98	956.66	
4200	Non-expendable equipment (computers, office equip, etc)	9,519.00	-	3,344.86	571.27	-	400.00	5,068.60	9,384.73	134.27	
4300	Premises (office rent, maintenance of premises, etc)	18,585.28	-	-	5,376.00	7,496.00	894.00	-	13,766.00	4,819.28	
4999	Component Total	30,390.92	-	3,453.86	6,437.27	7,940.48	1,525.00	5,124.10	24,480.71	5,910.21	
50	MISCELLANEOUS COMPONENT										
5100	Operation and maintenance of equip.	1,031.10	-	-	-	142.00	292.00	115.00	549.00	482.10	
5200	Reporting costs (publications, maps, newsletters, printing, etc)	21,809.80	-	116.72	240.00	542.00	1,029.72	1,485.20	3,413.64	18,396.16	
5300	Sundry (communications, postage, freight, clearance charges, etc)	4,264.89	-	105.82	-	1,326.12	782.27	201.41	2,415.62	1,849.27	
5400	Hospitality and entertainment	-	-	-	-	-	-	-	-	-	
5500	Evaluation (consultants fees ETC)	-	-	-	-	-	-	-	-	-	
5999	Component Total	27,105.79	-	222.54	240.00	2,010.12	2,103.99	1,801.61	6,378.26	20,727.53	
99	9999 GRAND TOTAL	1,507,249.52	-	41,556.34	98,045.80	238,709.29	221,905.71	76,740.35	676,957.49	830,292.03	

V. CONSIDERATION THE NEXT BUDGET REVISION NEEDS

Refers to the 2nd Budget Revision as of 30 June 2020, and the present Balance from 1 July 2021 for both the regional program and national activities shows it overspent in some budget lines. In addition, the actual expenditures are lower than the proposed budget in Q3-Q4/2020 and Q1-Q2/2021. The PCU, therefore, requests for consideration for the 3rd Budget Revision before the end of 2021, so the revised budget can be applied in the 1st quarter of 2022.

ANNEX 10B



AGENDA 7.1

PROJECT EXPENDITURES AS OF 30 JUNE 2021 AND CONSIDERATION THE NEXT BUDGET REVISION

Presented by : PCU

PSC5 Refers to: PSC5_WP05_Expenditures As of 30 JUN 2021 and 3rd Budget Rev 1



The 5th Meeting of the Project Steering Committee for the SEAFDEC/UNEP/GEF Project on Establishment and Operation of a Regional System of Fisheries Refugia in the South China Sea and Gulf of Thailand, 3 Sep. 2021 (VIRTUAL Meeting)



Code	Description	Budget Revision as at 30 JUN 2020	ALL Expenditures by Partners (6 Countries + PCU)							Cumulative Expenditures as of 30 JUN 2021	Balance as at 1 July 2021
			2016	2017	2018	2019	2020	2021	###		
10	PROJECT PERSONNEL COMPONENT	(A)	Audit	Audit	Audit	Audit	Not yet Audit	Q1 + Q2	(B)	(A-B)	
1100	Project Personnel w/m	238,997.23	-	7,268.00	27,761.00	38,318.00	50,207.82	17,179.62	-	140,734.44	98,262.79
1200	Consultants w/m	1,315,005.25	62,328.00	165,607.00	147,937.00	179,307.00	208,145.96	37,627.98	-	800,952.94	514,052.31
1600	Travel on official business (above staff)	273,779.05	8,306.00	51,774.00	49,042.00	97,395.00	24,888.45	4,608.50	-	236,013.95	37,765.10
1999	Component Total	1,827,781.53	70,634.00	224,649.00	224,740.00	315,020.00	283,242.23	59,416.10	-	1,177,701.33	650,080.20
20	SUB-CONTRACT COMPONENT	-	-	-	-	-	-	-	-	-	-
2100	Sub-contracts (MoU's/LA's for UN cooperating agencies)	-	-	-	-	-	-	-	-	-	-
2200	Sub-contracts (MoU's/LA's for non-profit supporting organizations)	274,063.49	5,730.00	9,819.00	2,426.00	14,440.00	51,709.41	4,100.00	-	88,224.41	185,839.08
2300	Sub-contracts (commercial purposes)	81,129.28	22.00	-	15,689.00	10,073.00	10,928.99	1,269.28	-	37,982.27	43,147.01
2999	Component Total	355,192.77	5,752.00	9,819.00	18,115.00	24,513.00	62,638.40	5,369.28	-	126,206.68	228,986.09
30	TRAINING COMPONENT	-	-	-	-	-	-	-	-	-	-
3200	Group training (study tours, field trips, workshops, seminars, etc)	293,417.77	-	10,224.00	14,947.00	66,001.00	40,176.79	8,042.44	-	139,391.23	154,026.54
3300	Meetings/conferences (give title)	316,330.18	19,286.00	2,074.00	42,134.00	63,138.00	30,554.19	5,501.04	-	162,687.23	153,642.95
3999	Component Total	609,747.95	19,286.00	12,298.00	57,081.00	129,139.00	70,730.98	13,543.48	-	302,078.46	307,669.49
40	EQUIPMENT & PREMISES COMPONENT	-	-	-	-	-	-	-	-	-	-
4100	Expendable equipment (items under \$1,500 each, for example)	5,336.12	-	109.00	490.00	1,794.00	424.90	306.93	-	3,124.83	2,211.29
4200	Non-expendable equipment (computers, office equip, etc)	43,760.99	9,226.00	11,753.00	3,869.00	3,388.00	10,179.23	5,068.60	-	43,483.83	277.16
4300	Premises (office rent, maintenance of premises, etc)	18,585.28	-	5,376.00	7,496.00	894.00	-	-	-	13,766.00	4,819.28
4999	Component Total	67,682.39	9,226.00	11,862.00	9,735.00	12,678.00	11,498.13	5,375.53	-	60,374.66	7,307.73
50	MISCELLANEOUS COMPONENT	-	-	-	-	-	-	-	-	-	-
5100	Operation and maintenance of equip.	876.60	-	-	-	142.00	292.00	115.00	-	549.00	327.60
5200	Reporting costs (publications, maps, newsletters, printing, etc)	30,489.29	-	2,859.00	240.00	542.00	3,580.87	1,485.20	-	8,707.07	21,782.21
5300	Sundry (communications, postage, freight, clearance charges, etc)	8,229.49	-	757.00	532.00	2,832.00	1,744.07	406.16	-	6,271.23	1,958.26
5400	Hospitality and entertainment	-	-	-	-	-	-	-	-	-	-
5500	Evaluation (consultants fees ETC)	100,000.00	-	-	-	-	-	-	-	-	100,000.00
5999	Component Total	139,595.38	-	3,616.00	772.00	3,516.00	5,616.94	2,006.36	-	15,527.30	124,068.07
99 9999	GRAND TOTAL	3,000,000.01	104,898.00	262,244.00	310,443.00	484,866.00	433,726.68	85,710.75	-	1,681,888.43	1,318,111.58

PSC5 Overall Expenditures as of 30 June 2021



The 5th Meeting of the Project Steering Committee for the SEAFDEC/UNEP/GEF Project on Establishment and Operation of a Regional System of Fisheries Refugia in the South China Sea and Gulf of Thailand, 3 Sep. 2021 (VIRTUAL Meeting)



Code	Description	Budget Revision as at 30 JUN 2020	Expenditures of Regional Program (PCU)							Cumulative Expenditures as of 30 JUN 2021	Balance as at 1 July 2021
			2016*	2017	2018	2019	2020	2021	2022		
10	PROJECT PERSONNEL COMPONENT	(A)	Audit	Audit	Audit	Audit	Not yet Audit	Q1 + Q2	(B)	(A-B)	
1100	Project Personnel w/m	-	-	-	-	-	-	-	-	-	
1200	Consultants w/m	982,350.00	62,328.00	165,607.00	139,409.02	148,662.54	163,557.70	6,685.69	-	686,249.95	296,100.05
1600	Travel on official business (above staff)	90,093.00	8,306.00	33,460.06	22,933.33	23,725.11	1,067.74	559.25	-	90,051.49	41.51
1999	Component Total	1,072,443.00	70,634.00	199,067.06	162,342.35	172,387.65	164,625.44	7,244.94	-	776,301.44	296,141.56
20	SUB-CONTRACT COMPONENT	-	-	-	-	-	-	-	-	-	-
2100	Sub-contracts (MoU's/LA's for UN cooperating agencies)	-	-	-	-	-	-	-	-	-	-
2200	Sub-contracts (MoU's/LA's for non-profit supporting organizations)	32,291.87	5,730.00	9,819.00	2,426.00	8,320.35	6,153.85	-	-	32,449.20	157.33
2300	Sub-contracts (commercial purposes)	65,630.14	22.00	-	15,689.00	10,073.00	10,928.99	1,269.28	-	37,982.27	27,647.87
2999	Component Total	92,286.14	5,752.00	9,819.00	18,115.00	18,393.35	17,082.84	1,269.28	-	70,431.47	27,490.54
30	TRAINING COMPONENT	-	-	-	-	-	-	-	-	-	-
3200	Group training (study tours, field trips, workshops, seminars, etc)	10,537.99	-	-	-	-	-	-	-	-	10,537.99
3300	Meetings/conferences (give title)	161,520.00	19,286.00	-	28,110.12	49,132.31	16,626.61	-	-	113,155.04	48,364.96
3999	Component Total	177,693.86	19,286.00	-	28,110.12	49,132.31	16,626.61	-	-	113,155.04	58,902.95
40	EQUIPMENT & PREMISES COMPONENT	-	-	-	-	-	-	-	-	-	-
4100	Expendable equipment (items under \$1,500 each, for example)	2,349.52	-	-	-	1,349.52	193.90	251.43	-	1,794.85	554.67
4200	Non-expendable equipment (computers, office equip, etc)	34,320.03	9,226.00	8,408.14	3,297.73	3,388.00	9,779.23	-	-	34,099.10	220.93
4300	Premises (office rent, maintenance of premises, etc)	-	-	-	-	-	-	-	-	-	-
4999	Component Total	36,669.55	9,226.00	8,408.14	3,297.73	4,737.52	9,973.13	251.43	-	35,893.95	775.60
50	MISCELLANEOUS COMPONENT	-	-	-	-	-	-	-	-	-	-
5100	Operation and maintenance of equip.	500.00	-	-	-	-	-	-	-	-	500.00
5200	Reporting costs (publications, maps, newsletters, printing, etc)	8,066.80	-	2,742.28	-	-	2,551.15	-	-	5,293.43	2,773.37
5300	Sundry (communications, postage, freight, clearance charges, etc)	5,091.13	-	651.18	532.00	1,505.88	961.80	204.75	-	3,855.61	1,235.52
5400	Hospitality and entertainment	-	-	-	-	-	-	-	-	-	-
5500	Evaluation (consultants fees ETC)	100,000.00	-	-	-	-	-	-	-	-	100,000.00
5999	Component Total	113,657.93	-	3,393.46	532.00	1,505.88	3,512.95	204.75	-	9,149.04	104,508.89
99 9999	GRAND TOTAL	1,492,750.48	104,898.00	220,687.66	212,397.20	246,156.71	211,820.97	8,970.40	-	1,004,930.94	487,819.54

PSC5 Regional Program Expenditures as of 30 June 2021 3

The SEAFDEC/PCU-FR hired two full-time officer to support:
 one Finance
 one Technical-Administration

March - December 2021 (original Plan/FR+SCS-SAP funds)



January - December 2022 (Extended Plan*/ SCS-SAP funds)

PSC5

4

Code	Description	Budget Revision as at 30 JUN 2020	National Program (6 Country Partners)							Cumulative Expenditures as of 30 JUN 2021	Balance as at 1 July 2021
			2016	2017	2018	2019	2020	2021	###		
10	PROJECT PERSONNEL COMPONENT	(A)	Audit	Audit	Audit	Audit	Not yet Audit	Q3 + Q2	(B)	(A-B)	
1100	Project Personnel w/m	240,274.07	7,268.00	27,761.00	38,318.00	50,207.82	17,179.62	140,734.44	99,539.63		
1200	Consultants w/m	325,927.68	-	8,527.98	30,644.46	44,588.26	30,942.29	114,702.99	211,224.69		
1600	Travel on official business (above staff)	179,700.07	18,313.94	26,108.67	73,669.89	23,820.71	4,049.25	145,962.46	33,737.61		
1999	Component Total	745,901.82	25,581.94	62,397.65	142,632.35	118,616.79	52,171.16	401,399.89	344,501.93		
20	SUB-CONTRACT COMPONENT										
2100	Sub-contracts (MoU/LAs for UN cooperating agencies)	-	-	-	-	-	-	-	-	-	
2200	Sub-contracts (MoU/LAs for non-profit supporting organizations)	249,780.51	-	-	6,119.65	45,555.56	4,100.00	55,775.21	194,005.30		
2300	Sub-contracts (commercial purposes)	20,000.00	-	-	-	-	-	-	20,000.00		
2999	Component Total	269,780.51	-	-	6,119.65	45,555.56	4,100.00	55,775.21	214,005.30		
30	TRAINING COMPONENT										
3200	Group training (study tours, field trips, workshops, seminars, etc)	257,247.53	10,224.00	14,947.00	66,001.00	40,176.79	8,042.44	139,391.23	117,856.30		
3300	Meetings/conferences (give title)	176,822.95	2,074.00	14,023.88	14,005.69	13,927.58	5,501.04	49,532.19	127,290.76		
3999	Component Total	434,070.48	12,298.00	28,970.88	80,006.69	54,104.37	13,543.48	188,923.42	245,147.06		
40	EQUIPMENT & PREMISES COMPONENT										
4100	Expendable equipment (items under \$1,500 each, for example)	2,286.64	109.00	490.00	444.48	231.00	55.50	1,329.98	956.66		
4200	Non-expendable equipment (computers, office equip, etc)	9,519.00	3,344.86	571.27	-	400.00	5,068.60	9,384.73	134.27		
4300	Premises (office rent, maintenance of premises, etc)	18,585.28	-	5,376.00	7,496.00	894.00	-	13,766.00	4,819.28		
4999	Component Total	30,390.92	3,453.86	6,437.27	7,940.48	1,525.00	5,124.10	24,480.71	5,910.21		
50	MISCELLANEOUS COMPONENT										
5100	Operation and maintenance of equip.	1,031.10	-	-	142.00	292.00	115.00	549.00	482.10		
5200	Reporting costs (publications, maps, newsletters, printing, etc)	21,809.80	116.72	240.00	542.00	1,029.72	1,485.20	3,413.64	18,396.16		
5300	Sundry (communications, postage, freight, clearance charges, etc)	4,264.89	105.82	-	1,326.12	782.27	201.41	2,415.62	1,849.27		
5400	Hospitality and entertainment	-	-	-	-	-	-	-	-		
5500	Evaluation (consultants fees ETC)	-	-	-	-	-	-	-	-		
5999	Component Total	27,105.79	222.54	240.00	2,010.12	2,103.99	1,801.61	6,378.26	20,727.53		
99 9999	GRAND TOTAL	1,507,249.52	41,556.34	98,045.80	238,709.29	221,905.71	76,740.35	676,957.49	830,292.03		

PSC5

National Program Expenditures as of 30 June 2021 5

NEED BUDGET REVISION FOR REGIONAL PROGRAM

- Regional Budget line 1200: For Consultant
 Budget Balance as of 30 JUN 2021 = USD 296,100.00
 Expected budget needs till 30 JUN 2023. = USD 256,100.00
 Exceed budget requirement = **USD 40,000.00**
- Regional Budget line 2200: Sub-contracts (for non-profit supporting organizations)
 Overspent as of 30 JUNE 2021 = **USD 157.33**
 Adjust Budget = USD 5,000.00.
- Regional Budget line 3200 (Group training/WS on Larval Fish Identification)
 Prepared Budget as of 30 JUN 2023 = **USD 10,537.99**
 Adjusted Budget based on 15 Participants = USD~2xxxxx.00
- Regional Budget line 3300 (Regional Meeting, PSC, RSTC, Conference)
 Balance Budget as of 30 JUN 2023 = **USD 48,364.96**
 Adjusted Budget by end of 31 December 2022 = USD~5xxxxxxx
- Regional Budget line 5200 (Publications and Map, Printing)
 Balance Budget as of 30 JUN 2023 = **USD 2,773.37**
 Adjusted Budget by end of 31 December 2022 = USD~xxxxxxx

PSC5

6

ANNEX 11: FINANCING AS OF 30 JUNE 2021

Executive Summary

The PCU presents the overall co-financing to the project from six country partners and the SEAFDEC/PCU as of 30 June 2021 as **Appendix 1**. Refers to a total co-finance committed by all partners is 12.45 million USD consists of In-kind co-finance of 7.49 million USD and cash co-finance of 4.96 million USD. As of 30 June 2021, the partners presented their co-finance in a total of 10.13 million USD, which is about 81.37%.

The overall cumulative co-financing between the committed value and actual values as of 30 June 2021, the cumulative in-kind co-finance is about 7% higher than the set value. However, the overall actual cash co-finance is about 42.3% of the committed values.

Appendix 1

COFINANCE REPORT AS OF 30 JUN 2021 (Q2/2021)										
		CAMBODIA	INDONESIA*	MALAYSIA	PHILIPPINES	THAILAND	VIET NAM*	ALL COUNTRY	SEAFDEC	TOTAL
Co-finance COMMITTED (A)	In-kind	1,473,235	609,107	443,424	647,300	783,888	1,079,852	5,036,806	2,456,000	7,492,806
	Cash	65,488	581,776	92,500	203,880	129,800	7,520	1,080,964	3,876,400	4,957,364
	Sub-Total (A)	1,538,723	1,190,883	535,924	851,180	913,688	1,087,372	6,117,770	6,332,400	12,450,170
2017 Actual Co-finance	In-kind	253,632	-	160,736	199,392	98,016	-	711,776	209,344	
	Cash	1,850	-	32,500	7,326	22,922	-	64,598	122,360	
	Sub-Total (B1)	255,482		193,236	206,718	120,938		776,374	331,704	
2018 Actual Co-finance	In-kind	247,392	-	412,192	191,712	200,512	-	1,051,808	668,096	
	Cash	1,248	-	79,423	19,119	132,050	-	231,840	425,075	
	Sub-Total (B2)	248,640		491,615	210,831	332,562		1,283,648	1,093,171	
2019 Q1-Q2 Actual Co-finance	In-kind	161,920	-	183,296	218,656	108,096	-	671,968	99,968	
	Cash	5,320	-	41,474	5,947	-	-	52,741	48,706	
	Sub-Total (B2)	167,240		224,770	224,603	108,096		724,709	148,674	
2019 Q3-Q4 Actual Co-finance	In-kind	174,496	115,936	162,576	434,656	99,296	-	986,960	242,528	
	Cash	890	-	66,487	53,045	95,804	-	216,226	192,118	
	Sub-Total (B2)	175,386	115,936	229,063	487,701	195,100		1,203,186	434,646	
2020 Q1+Q2 Actual Co-finance	In-kind	140,096	85,536	94,816	338,496	101,376	-	760,320	80,288	
	Cash	3,800	-	5,802	3,430	-	-	13,032	21,600	
	Sub-Total (B2)	143,896	85,536	100,618	341,926	101,376		773,352	101,888	
2020 Q3 Actual Co-finance	In-kind	140,528	120,528	51,618	144,048	127,728	-	584,450	50,784	
	Cash	1,950	-	-	4,563	-	-	6,513	14,500	
	Sub-Total (B2)	142,478	120,528	51,618	148,611	127,728		590,963	65,284	
2020 Q4 Actual Co-finance	In-kind	101,168	48,208	66,618	144,848	65,488	42,768	469,098	281,184	
	Cash	1,500	-	41,914	4,563	-	500,000	547,976	99,600	
	Sub-Total (B2)	102,668	48,208	108,532	149,411	65,488	542,768	1,017,074	380,784	
2021 Q1 Actual Co-finance	In-kind	95,568	57,488	45,618	42,768	122,288	42,768	406,498	140,464	
	Cash	1,950	-	1,816	-	-	-	3,766	16,092	
	Sub-Total (B2)	97,518	57,488	47,434	42,768	122,288	42,768	410,264	156,556	
2021 Q1 Actual Co-finance	In-kind	95,248	47,888	46,768	217,968	60,528	42,768	511,168	107,744	
	Cash	1,100	-	1,848	10,096	-	-	13,044	8,807	
	Sub-Total (B2)	96,348	47,888	48,616	228,064	60,528	42,768	524,212	116,551	640,763
Total Co-finance as of 30 March 2021	In-kind (US\$)	1,410,048	475,584	1,224,238	1,932,544	983,328	128,304	6,154,046	1,880,400	8,034,446
	Cash (US\$)	19,608	-	271,264	108,088	250,776	500,000	1,149,736	948,858	2,098,594
Grand Total Co-finance as of 31 March 2021		1,429,656	475,584	1,495,502	2,040,632	1,234,104	628,304	7,303,782	2,829,258	10,133,040

ANNEX 12: FINANCIAL AUDIT

Executive Summary

The PCU updates the status of the 2020 Financial Audit report from six country partners and the consolidated Audit report of the financial statements by the SEAFDEC/PCU as follows:

Executing Partners	Date of Received	Progress	Note
Malaysia	5 April 2021	Final Audit Report completed	
Cambodia	15 July 2021	Final Audit Report completed	
Philippines	29 July 2021	Final Audit Report completed	
Viet Nam	23 August 2021	Confirmed Bank Statement	No 2020 Audit Report
Indonesia	23 August 2021	Final Draft Audit Report	Finalizing process
Thailand	By Mid-September 2021	DOF/TH Internal audit completed, External Audit is scheduled on 7-9 Sept. 2021	
SEAFDEC/PCU	Expected by the end of September 2021	In progress	For Consolidated Audit Report

It is expected that the Consolidated Financial Audit of Fisheries *Refugia* Project for 2020 will be completed by the end of September 2021 for further submission to UNEP for consideration.

Referring to the approved two years project extension for 2021 and 2022, the PCU would like to consult with the Project Steering Committee on submission of the Financial Audit Report for 2021 and 2022 by 31 March on the following year, as mentioned in the Agreement between SEAFDEC and country.

The list of the Audit Firm provided their services of project financial auditing in each country and the PCU during 2016-2020 are as follows:

Partners	Name of Audit Firm
Cambodia	Fides Services Cambodia
Indonesia	KAP DR. Bambang Sudaryono dan Rekan
Malaysia	Adib Azhar & Co
Philippines	Commission on Audit (COA)

Thailand	P&A AUDIT COMPANY LIMITED
Viet Nam	NA
PCU for Consolidated Audit	P&A AUDIT COMPANY LIMITED

Regarding this, the PCU would like to receive the confirmation from NFP of the selected Firm for conducting the financial audit report of 2021 and 2022 together with the Proposal or TORs for Audit Service and Fees by the end of November 2021 for further consideration and approval (see the timeline as bellow).

Activity	2021			2022									2023								
	Q4			Q1			Q2			Q3			Q4			Q1			Q2		
	10	11	12	1	2	3	4	5	6	7	8	9	10	11	12	1	2	3	4	5	6
Confirm and submit Proposal/TORs for Audit Service of 2021 and 2022*		Yellow																			
Approved Proposal/TORs			Red																		
Conduct the financial Audit				Yellow	Yellow	Yellow															
Submit 2021 Audit Report							Red														
Audit for financial Statements							Yellow	Yellow	Yellow												
Submit 2021 Consolidated Audit Report								Red													
Confirm and submit Proposal/TORs for Audit Service of 2022 **													Yellow								
Approved Proposal/TORs														Red							
Conduct the financial Audit															Yellow	Yellow	Yellow				
Submit 2022 Audit Report																	Red				
Conduct the Consolidated Audit for financial Statements																		Yellow	Yellow	Yellow	
Submit 2022 Consolidated Audit Report																					Red

* based on the past practices, some country submit the proposal covering the whole two-years period

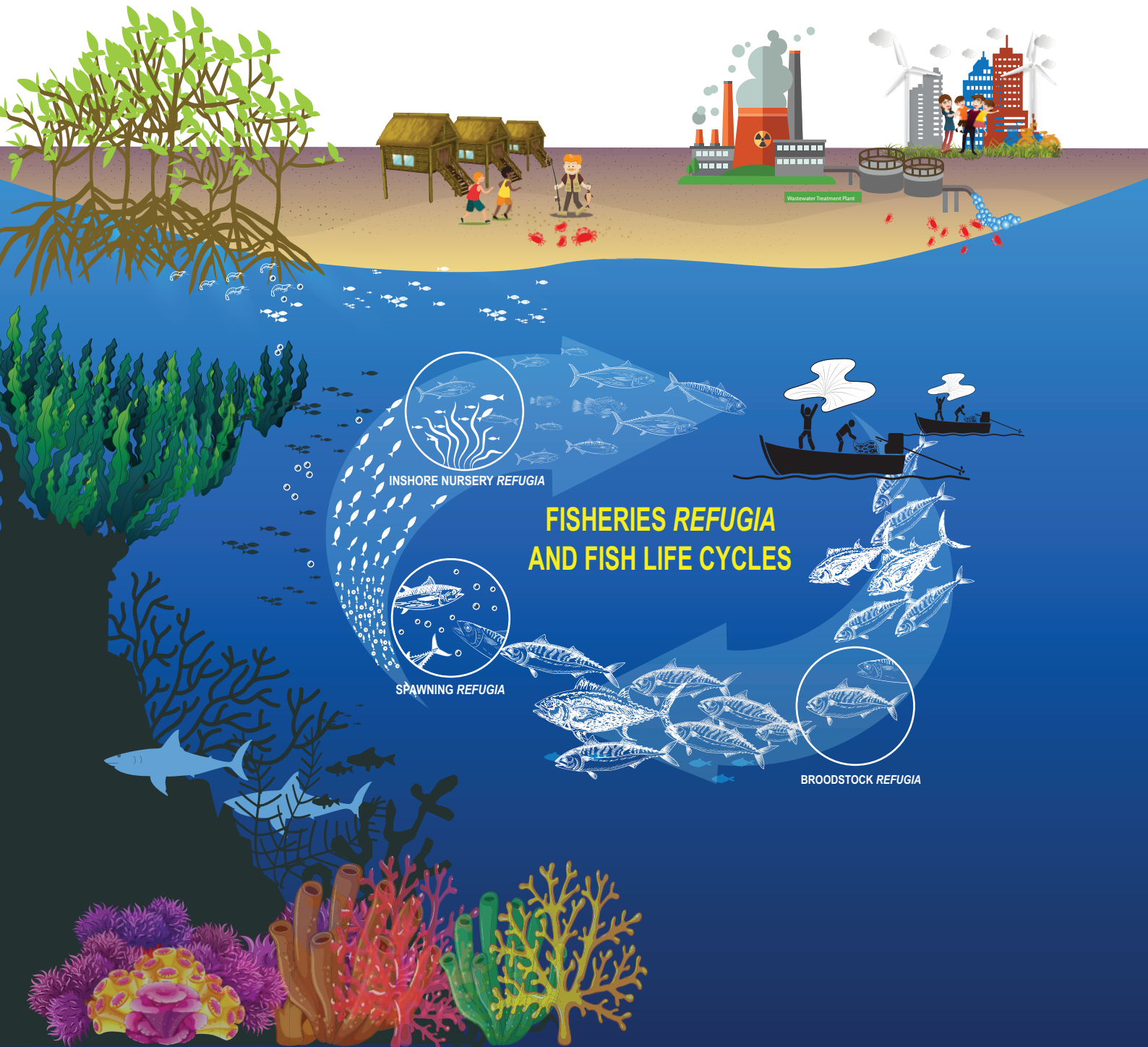
** for some country that submit the proposal annually for conducting the Audit Report

ANNEX 13
SEAFDEC PROGRAMS IN SUPPORTING IMPLEMENTATION OF THE FISHERIES REGUFIA
PROJECT (AS OF 2 SEPTEMBER 2021)

Sharing Issues/objectives	Approaches and Outcomes	Outputs
Recovering fish stock and critical habitats: integrate fisheries management and biodiversity conservation	Promoting establishment of local, national, and regional EAFM groups / experts / national core team	<ul style="list-style-type: none"> - a set of training materials, manuals, data collection/survey, based-line data/information, good practices for sustainable development of fisheries communities - design and implementation of coastal area management plans: local, provincial, national, sub-regional
	Introducing standard and methodology to define sustainable level of fisheries resources	<ul style="list-style-type: none"> - collaborative arrangement/mechanism among relevant agencies, etc. - SOPs, manuals, guidelines, handbooks - national and regional data collection system and mechanism (improved and developed), data set and database on fisheries resource utilizations
	Applying best practices for reducing impacts from fishing to coastal and marine environments:	<ul style="list-style-type: none"> - manuals, technical guidelines, regional policy, best practices, data/information - design of and promotion plan for responsible fishing gears and best practices
Area-based approach: joint efforts in managing transboundary species	Science-based knowledge and data/information to support management of transboundary species	<ul style="list-style-type: none"> - manual/handbooks, technical papers (stock and risk assessment, etc.) - human resources and institutional capacity development - platform at sub-regional level (GOT, Andaman Sea, regional policy documents (ASEAN))
	Established bilateral dialogue and sub-regional platforms within same and cross-sectoral departments/ministers	<ul style="list-style-type: none"> - joint action plans, regional and sub-regional management action plans, etc.



The Establishment and Operation of A Regional System of Fisheries *Refugia* in the South China Sea and Gulf of Thailand is a part of Strategic Action Programme for the South China Sea



OUR KEY PARTNERS



FIA
CAMBODIA



MMAF
INDONESIA



DOF
MALAYSIA



NFRDI
PHILIPPINES



DOF
THAILAND



D-FISH
VIET NAM