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The Oceans and Fisheries Partnership (USAID Oceans)

2nd ANNUAL REGIONAL TECHNICAL WORKING GROUP PLANNING WORKSHOP

Meeting Report | 12-14 July 2017, Bangkok, Thailand

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ACRONYMS AND ABBREVIATIONS

ACDS	ASEAN Catch Documentation Scheme
AFS-GAF	Asian Fisheries Society-Gender in Aquaculture and Fisheries
AMS	ASEAN Member State
AP2HI	Asosiasi Perikanan Pole and Line dan Handline Indonesia (Indonesian Pole and Line and Handline Fisheries Association)
APFIC	Asia-Pacific Fisheries Commission
ARD	Associates in Rural Development (Tetra Tech)
ASEAN	Association of Southeast Asian Nations
ASFIS	Aquatic Sciences and Fisheries Information System
ASIC	Asian Seafood Improvement Collaborative
ASWG	ASEAN Sectoral Working Group
BAC	Bureau Administrative Circular
BFAR	Bureau of Fisheries and Aquatic Resources
B_{MSY}	biomass at maximum sustainable yield
BSC	Blue swimming crab
CCAMLR	Convention for the Conservation of Antarctic Marine Living Resources
CD	Catch Declaration
CDS	Catch documentation Scheme
CDT	Catch Documentation and Traceability
CDT 101	Fisheries Catch Documentation and Traceability in Southeast Asia: A Conceptual Overview
CDT 201	Fisheries Catch Documentation and Traceability in Southeast Asia: Technical Concept and Specifications
CDTS	Catch Documentation and Traceability System
COC	chain of custody
CPUE	catch per unit effort
CSIRO	Commonwealth Scientific and Industrial Research Organisation
CT	Coral Triangle
CTC	Coral Triangle Center
CTE	critical tracking event
CTI-CFF	Coral Triangle Initiative on Coral Reefs, Fisheries and Food Security
CTIP	USAID Countering Trafficking in Persons (CTIP)
DOF	Department of Fisheries
DOI	Department of the Interior
eACDS	Electronic ASEAN Catch Documentation Scheme
EAFM	Ecosystem Approach to Fisheries Management
EC	European Commission
e-CDTS	Electronic Catch Documentation and Traceability System
ECOFISH	Ecosystems Improved for Sustainable Fisheries Project (USAID)
ERP	enterprise resource planning
ETP	endangered, threatened and protected (species)
EU	European Union
FAME	Futuristic Aviation and Maritime Enterprise, Inc.
FAO	Food and Agriculture Organization
FGD	focus group discussion
FIMC	Fisheries Information Management Center
FIP	Fisheries Improvement Project
FIS	Fisheries Information System
FMA	Fisheries Management Area
FMO	Fish Marketing Organization
FMP	Fisheries Management Plan

F_{MSY}	fishing mortality exceeding the level that would provide MSY
GAD	Gender and Development
GAF	Gender in Aquaculture and Fisheries
GEF	Global Environment Facility
GFTC	Global Food Technology Center
GI	gross income
GRVCA	Gender-Responsive Value Chain Analysis
ICCTA	Indonesian Coastal Tuna Traceability Alliance
IFT	Institute of Food Technologists
IPNLF	International Pole and Line Foundation
ISSF	International Seafood Sustainability Foundation
IUU	illegal, unreported, and unregulated (fishing)
JTF	Japan Trust Fund
KDE	Key Data Element
KII	key informant interview
Lao PDR	Lao People's Democratic Republic
LGU	Local Government Unit
LRP	limit reference point
MCPD	Marine Catch Purchasing Document
MCS	Monitoring, Control and Surveillance
MDPI	Yayasan Masyarakat dan Perikanan Indonesia
M-EAFM	Mainstreaming Ecosystem Approach to Fisheries Management
MLS	minimum landing size
MMAF	Ministry of Maritime Affairs and Fisheries
MOU	Memorandum of Understanding
MSC	Marine Stewardship Council
MSG	Multi-Stakeholder Group
MSY	maximum sustainable yield
NCC	National Coordinating Committee (CTI-CFF)
NGA	national government agency
NGO	non-governmental organization
NOAA	National Oceanic and Atmospheric Administration
NOAA Fisheries	National Oceanic Atmospheric Administration – National Marine Fisheries Service
ODK	Open Data Kit
PGN	Practical Gender Needs
PNG	Papua New Guinea
PORTLEX	FAO Database on Port State Measures
PPP	public-private partnership
PSA	productivity and susceptibility analysis
PSA	Philippine Statistical Society; productivity and susceptibility analysis
PSP	phyto-sanitary provisions
RAFMS	Rapid Appraisal of Fisheries Management System
RFMO	Regional Fisheries Management Organisation
RPOA-IUU	Regional Plan of Action to Promote Responsible Fishing Practices including Combating Illegal, Unreported and Unregulated Fishing in the Region
SAG	Scientific Advisory Group
SDP	Statistical Document Programme
SEA	Indonesia Sustainable Ecosystems Advanced Project (USAID
SEAFDEC	Southeast Asian Fisheries Development Center
SFFAII	SOCCSKSARGEN Federation of Fisheries and Allied Industries, Inc.
SFMP	Sustainable Fisheries Management Plan
SGN	strategic gender needs
SOCCSKSARGEN	South Cotabato, Cotabato, Sultan Kudarat, Sarangani, General Santos City

SPR	spawning potential ratio
SSME	Sulu-Sulawesi Marine Ecoregion
SWAM/Sweden	Sweden Agency for Marine and Aquatic Environment
SWAT	Seafood Watch® Assessment Tool
TAG	Technical Advisory Group
TBD	to be decided
TNC	The Nature Conservancy
TRP	target reference point
TWG	Technical Working Group
U.S.	United States
U.S. SIMP	United States Seafood Import Monitoring Program
UNEP	United Nations Environment Programme
UNSRAT	Universitas Sam Ratulangi
USAID	United States Agency for International Development
USAID Oceans	USAID Oceans and Fisheries Partnership
USG	United States Government
VCA	value chain analysis
VMS	vessel monitoring system
WID	Women in Development
WinFish	National Network on Women in Fisheries in the Philippines
WLF	Women Leaders' Forum
WOC	World Ocean Council
WWF	World Wide Fund for Nature

EXECUTIVE SUMMARY

The Oceans and Fisheries Partnership (USAID Oceans) successfully conducted on 12-14 July 2017 the 2nd Annual Technical Working Group (TWG) Planning Workshop at Amari Watergate Hotel, Bangkok.

The event was attended by a total of 103 participants that included, primarily, members of the USAID Oceans Regional Technical Working Group (TWG) representing Southeast Asian Fisheries Development Center (SEAFDEC) and Coral Triangle Initiative on Coral Reefs, Fisheries and Food Security (CTI-CFF) member countries and technical leads SEAFDEC, along with the USAID Oceans core team and various program partners.

Objectives

The 2nd TWG Planning Workshop was designed mainly to take stock of the past year and discuss activities for Fiscal Year 2017 (Program Year) with the involvement of members of the Regional TWG. The specific objectives were:

1. Provide updates on the progress of program work;
2. Present results of studies conducted in the Learning Sites, including rapid appraisals of fisheries management systems, value chain analyses, gender analyses and labor studies;
3. Share experiences and lessons on relevant methodologies; and
4. Review with TWG members USAID Oceans' component work plan and relevant site/country activities for Year 3.

Summary of Proceedings

The workshop consisted of a total of 13 substantive sessions, all except two of which were plenary sessions. Not counting workshop overview, recaps, and report-outs from the breakout sessions, there were a total of 16 plenary presentations interspersed with open forum discussions.

Day 1

Day 1 was an all-plenary session event that started with an opening program attended by Mr. Chul Sinchaipanich, Director of the Fisheries Foreign Affairs Division of the Department of Fisheries-Thailand; SEAFDEC Secretary-General Dr. Kom Silapajarn; Ms. Cristina Velez-Srinivasan of the USAID Regional Development Mission for Asia (RDMA); and USAID Oceans Chief of Party, Mr. Geronimo Silvestre.

The speakers all spoke to the importance of the work that USAID Oceans and the countries participating in the program are doing. Said Dr. Silapajarn: "Any lessons we can learn and share from our experiences will strengthen regional cooperation to combat IUU (illegal, unreported and unregulated) fishing, promote sustainable fisheries and conserve marine biodiversity in Asia-Pacific."

Acknowledging that IUU fishing is "one of the biggest problems facing the fishing industry today," Mr. Sinchaipanich lauded the progress of USAID Oceans, adding this would promote the possibility of a sustainable catch documentation and traceability system that would help ensure that "in the future, fishery resources are legally caught and properly labelled throughout the region."

The main focus of Day 1 was on "stock-taking," to provide updates on the USAID Oceans program implementation, with several sessions dedicated to presenting the progress of activities across five workstreams that are the focus of USAID Oceans' work, namely, (1) catch documentation and traceability (CDT); (2)

ecosystem approach to fisheries management (EAFM); (3) human welfare; (4) public-private partnerships (PPP); and (5) communications and outreach.

Kicking off the discussion was a presentation by Mr. Silvestre that provided an overall picture of the implementation status of the USAID Oceans Year 2 work plan covering the Fiscal Year 1 October 2016-30 September 2017. Mr. Silvestre explained what USAID Oceans is all about and what it is hoping to accomplish, before presenting his progress report on the USAID Oceans Year 2 work plan implementation.

Then the five workstreams made their presentations, covering the following topics and highlights:

1. **CDT and Electronic ASEAN Catch Documentation Scheme (eACDS) –** This workstream contributes directly to the USAID Oceans' core objective to develop "a financially sustainable regional CDTS to help combat IUU fishing and seafood fraud." Much of its work in Year 2 focused on the development of the CDTS and gaps analyses in two "Learning Sites" (General Santos City, Philippines and Bitung, Indonesia). A non-technical document providing a conceptual overview of the proposed CDTS has been completed and released; a follow-up document containing the technical concept and specifications is nearing completion.
2. **EAFM –** This workstream contributes significantly to the overall USAID Oceans endgame objective because "for us to be able to implement CDT and achieve sustainability, we should have a working fisheries management framework." The approach is non-prescriptive and aligns with existing policies frameworks in each country. Progress highlights for Year 2 included the conduct of rapid appraisals of fisheries management systems (RAFMS) and the development of sustainable fisheries management plans (SFMPs) in the Learning Sites.
3. **PPP and Industry Engagement –** The PPP workstream uses a systems approach in partnership development, and this is reflected in the partnerships they have developed with diverse organizations that range from technology companies like Inmarsat, and Globe, to non-profits like Yayasan Masyarakat dan Perikanan Indonesia (MDPI), Future of Fish, Oceans 5 and Packard Foundation, to fisheries associations. An important initiative of this workstream in Year 2 was the conduct of value chain analyses in the Learning Sites, which highlighted opportunities through CDT to build partnerships between the private sector, government and fisheries stakeholders.
4. **Human Welfare –** This workstream is cross-cutting, and integrates into and supports the EAFM, CDT and PPP workstreams in order to ensure that management interventions are able to identify and address issues affecting vulnerable and otherwise "invisible" sectors, including women, children, indigenous peoples, and marginalized sectors. In Year 2, the workstream made headway in integrating human welfare considerations across the USAID Oceans program at all levels that may already have resulted in efforts to recommend policy changes. Gender and labor analyses conducted the Learning Sites contributed to awareness of human welfare issues and helped to inform management actions.
5. **Communications and Outreach –** This is a cross-cutting workstream that supports the other workstreams. Highlights from Year 2 included the establishment of new communication platforms and the development of new communication materials to support information, communications, advocacy and outreach needs across USAID Oceans.

Also featured on Day 1 were initiatives relevant to USAID Oceans' work involving program partners from the U.S. Government, namely, Department of the Interior (DOI) and National Oceanic and Atmospheric Administration's National Marine Fisheries Service (NOAA Fisheries).

US DOI is supporting the USAID Oceans program through grants to SEAFDEC and the Coral Triangle Initiative on Coral Reefs, Fisheries and Food Security (CTI-CFF). CTI-CFF, a multilateral partnership involving Indonesia,

Malaysia, Papua New Guinea (PNG), Philippines, Solomon Islands and Timor-Leste, only recently signed the requisite memorandum of understanding (MOU) for a USD250,000 USAID DOI grant and is planning an inception workshop on September 25-26, 2017. SEAFDEC, meanwhile, has started implementing a similar grant for the same amount.

The presentation from NOAA Fisheries drew particular attention from the countries because it provided updates on a new regulation on U.S. seafood imports called the "U.S. Seafood Import Monitoring Program" (U.S. SIMP). The regulation, which becomes mandatory from 1 January 2018, requires U.S. importers of record to provide and report key data on an initial list of imported fish and fish products identified as particularly vulnerable to IUU fishing and/or seafood fraud.

Day 2

Day 2 was all about "sharing and learning," with a mix of plenary and breakout sessions mostly about different methodologies with applications across the USAID Oceans workstreams. All plenary sessions were held in the morning, and all breakout sessions were in the afternoon.

The morning (plenary) sessions included five presentations, as follows:

1. **Fisheries Value Chain Analysis (VCA) –** The Economics in Fish Supply Chain – This described the VCA methodology completing the Rapid Appraisals for Fisheries Management used to assess the status of the capture fisheries subsector in the southern Philippines region encompassing South Cotabato, Cotabato, Sultan Kudarat, Sarangani, and the USAID Oceans Learning Site of General Santos City. The methodology extends RAFMS by using the approach within a value chain context. RAFMS is a diagnostic tool designed to quickly document and evaluate operating fisheries management systems at the community level. The presentation explained the VCA aspect of the extended methodology using three case studies (i.e., small-scale fisheries, tuna handline fishing and ringnet/purse seine fisheries) from research work conducted in early 2017 under USAID Oceans.
2. **Gender-Responsive Value Chain Mapping –** This was a presentation on the methodology employed for a gender anlysis on Philippine fisheries focusing on the port of General Santos City. The so-called "gender-responsive value chain analysis" (GRVCA) or mapping is useful in terms of determining the gender differentials in roles, activities, needs, opportunities, and constraints along the fisheries value chain, identifying the gender issues along the value chain, and generating recommendations for gender equality and empowerment as these relate to EAFM issues such as, for example, IUU fishing.
3. **FishPath (A Decision Support Tool for Fisheries Management) –** FishPath is a web-based decision-support tool that is aimed towards identifying approaches that can be taken to improve fisheries management through an adaptive approach. It provides context-specific advice by identifying appropriate monitoring, assessment and control measures for a specific fishery.
4. **Monterey Bay Aquarium's Seafood Watch® Program –** This presentation was focused on the assessments and standards that go into the Seafood Watch® list, and how they might be applied to Southeast Asian fisheries as illustrated by assessments of the Philippine Blue swimming crab (BSC). Seafood Watch® provides consumers over 1,500 recommendations on individual seafood items, whether wild caught or farmed. In addition, it works closely with businesses, and more and more with the producers themselves to identify how producers can improve the quality of their seafood from an environmental point of view.
5. **Regional and International CDT and Fisheries Management Initiatives of the Food and Agriculture Organization (FAO) –** This was an oral presentation to bring participants up to speed

with some of FAO's initiatives related to USAID Oceans work. One title that came out recently that is particularly relevant to the CDT Workstream is called "Design Options for Tuna Catch Documentation Schemes." FAO has also produced the Voluntary Guidelines for Catch Documentation Schemes.

The afternoon session consisted of five simultaneous breakout sessions corresponding to the five USAID Oceans Workstreams. Their focus was to deepen the learning and exchange of knowledge, particularly in regard to Workstream methodologies.

Day 3

Breakout group reports from Day 2 sessions were presented in plenary session on Day 3. Some highlights are as follows:

1. **CDT/eACDS and Gaps Analysis –** The discussion raised challenges (and some solutions) in CDTS development. The group pointed out, for example, that there is a potential for CDT to become a burden especially to small-scale fisheries stakeholders, unless the system is integrated into the business process or facilitated by some form of technology. There was also some concern about the possibility of duplication and redundancy between the USAID Oceans CDTS and SEAFDEC's eACDS, but the technical team assured this would not be the case. USAID Oceans' CDTS is intended to include not only traceability but also considerations of EAFM and human welfare, so the system is "broader" than the SEAFDEC ACDS product, which is concerned about traceability only. Also, the USAID Oceans' system can be adapted to a country's individual context to develop their own CDTS that can potentially include eACDS.
2. **EAFM/RAFMS –** Two key points that came up during the discussions were (1) different countries have different frameworks for fisheries management but there is ample experience in the region from which to draw lessons, and evidence that suggests that EAFM is doable; and (2) there remains a need for technical guidelines for operationalizing, implementing and mainstreaming EAFM given the national/local fisheries context.
3. **PPP/Partnership Prioritization –** One topic that stood out for participants was the new U.S. regulation on seafood imports. The group discussed what the countries need to do to prepare for the time when the regulation becomes mandatory (1 January 2018). They made a push for the countries to be provided assistance in developing an action plan (to be completed in the next two years) for improving trade with the U.S. market, and ensuring that it does not translate to additional burden for fishers and other industry players.
4. **Human Welfare –** The group highlighted some important considerations in addressing issues related to gender, including community participation in data collection and validation, gender differentials (who has access to resources, who has the time and space, and who has the power of decision making), and issues related to labor, including workers' documentation, issues on child labor, discipline and grievance handling mechanism, rights of workers in advocating freedom of association, wages, and benefits.
5. **Communications and Outreach –** Of particular interest to the group was guidance on photographing and interviewing vulnerable populations and children, including using USAID Oceans consent guidance and release forms across the TWG groups. Aside from communications production skills, the group felt they needed guidance on photography ethics, particularly with respect to photo subjects that involve vulnerable populations. The group also said they would like to widen their network, and plan to work together to develop a prototype material that the different countries can adapt to their own needs and translate to their own respective languages.

The rest of the sessions were largely about looking forward, as participants shifted their focus to planning. Mr. Silvestre set the stage with a presentation that provided the context and an overview of the key elements of the Draft USAID Oceans Work Plan for Year 3.

Mr. Silvestre explained that the Year 3 plan covers Program Year 2018 that runs from 1 October 2017 to 30 September 2018 based on the U.S. fiscal year cycle. The draft presented in this workshop had gone through a development and review process that started in May 2017 and would go through more refinements before it is submitted to USAID in September 2017, and then to the SEAFDEC Program Committee for approval and presentation to the SEAFDEC Council. He said, "USAID Oceans will continue in Year 3 to invest in activities in the Learning Sites, provide proof of concept for the CDTS, and then expand implementation first to Malaysia and Thailand, and from there to Expansion Sites in the rest of the member-states of the Association of Southeast Asian Nations (ASEAN)."

Before ending his presentation, Mr. Silvestre asked the TWG to consider the following as they discussed the Work Plan:

- The activities that have been identified in the Draft Year 3 Work Plan should be viewed against the end-of-project outcomes that USAID Oceans is expected to produce, available resources, and the individual capacities of project implementers.
- The TWG sessions are encouraged to consider the finiteness of program resources and devote resources to activities that will have the greatest impact and bring USAID Oceans closer to the end-of-project outcomes in Year 5 that all partners and the countries would like to reach.
- Investments in the Learning Sites should be viewed as regional investments rather than country investments because they support regional learning that benefits all of the ASEAN Member-States (AMS). In addition to the CDTS that will be tested in these Learning Sites to support CDT development by the other countries based on their own individual contexts and needs, USAID Oceans will be organizing tours to Learning Sites in both the Philippines and Indonesia to promote extension of knowledge, best practices and lessons learned to the rest of the region.

The planning session was made up of five simultaneous breakout sessions, with participants divided up into five groups, as follows: Group 1 – Philippines; Group 2 – Indonesia (with CTI-CFF as an observer); Group 3 – Malaysia and Thailand; Group 4 – Cambodia, Lao PDR and Myanmar; and Group 5 – Singapore and Vietnam. No plenary presentations of the discussion results were scheduled during the workshop, but the results were to be submitted before the closing session.

The closing session included remarks from the delegations, and closing statements from Dr. Yuttana Theparoonrat, representing SEAFDEC; USAID/RDMA's Ms Velez-Srinivasan; and USAID Oceans' Mr. Silvestre.

Dr. Theparoonrat and Ms Velez-Srinivasan offered assurance of their organizations' commitment to moving forward the USAID Oceans' agenda.

Ms Velez-Srinivasan said: "The implementation of the ACDS and the introduction of the U.S. regulation on seafood traceability are opportunities to engage with each other and learn from each and every one of you about what's happening with each of your countries' implementation and approach. That's why we need you all here, it is very important that we hear from you, [and] I would like to stress again that the USG is committed to support the region's effort in combatting IUU and increase sustainability. We do hear your concerns."

Outcomes

The workshop outcomes were as follows:

1. Program implementation updates, as outlined under Summary of Proceedings and detailed in the Activity Report;
2. Sharing of findings, lessons and knowledge, based on the Activity Report describing the overall positive feedback from the delegations; and
3. Draft USAID Oceans Year 3 Work Plan aligned with country priorities, as detailed in the work plans that came out of the planning sessions.

1. INTRODUCTION

The 2nd Annual National Technical Working Group (TWG) Planning Workshop of the Oceans and Fisheries Partnership (USAID Oceans) was held in Bangkok, Thailand on 12-14 July 2017. It followed a similar planning workshop that took place one year previously on the same dates, also in Bangkok. USAID Oceans and the Southeast Asian Fisheries Development Center (SEAFDEC) were co-organizers.

USAID Oceans is a five-year program, May 2015 – May 2020, working in partnership with SEAFDEC, the Coral Triangle Initiative on Coral Reefs, Fisheries and Food Security (CTI-CFF) end USAID's Regional Development Mission for Asia (USAID/RDMA). Regional collaboration is facilitated through the USAID Oceans National TWG, a network of individual members appointed at the regional, national and local levels. Since 2016, a TWG has been established for each SEAFDEC and Coral Triangle member country and for SEAFDEC's technical leads, with the teams coming together to work collectively to further regional engagement and implementation.

Program implementation is undertaken by three "implementing partners," namely, Tetra Tech ARD, the prime contractor for USAID Oceans; SSG Advisors; and the global non-profit Verité, along with a network of partners that include, among others, the Food and Agriculture Organization (FAO) of the United Nations (UN), FishWise, The Government of Sweden, the Government of Japan through the Japan Trust Fund (JTF), the International Seafood Sustainability Foundation (ISSF), the Marine Stewardship Council (MSC), Yayasan Masyarakat dan Perikanan Indonesia (MDPI), ADM Capital, Future of Fish, Institute of Food Technologists (IFT)-Global Food Technology Center (GFTC), International Pole and Line Foundation (IPNLF), Monterey Bay Aquarium's Seafood Watch®, Thai Union, and the World Ocean Council (WOC).

USAID Oceans coordinates closely with U.S. Government agencies, specifically, the National Oceanic and Atmospheric Administration (NOAA), Department of the Interior (DOI), and Department of State.

Figure 1. Participants at the 2nd Annual USAID Oceans National TWG Planning Workshop (Photo Credit: USAID Oceans)

Held at Bangkok's Amari Watergate Hotel, the three-day Workshop was attended by 103 participants that included representatives from all of the TWG member countries except Brunei-Darussalam, SEAFDEC, CTI-CFF, USAID/RDMA, FAO, NOAA, the USAID Counter-Trafficking in Persons (CTIP) program, Seafood Watch®, WorldFish, National Network on Women in the Fisheries in the Philippines (WinFish), and Universitas Sam Ratulangi (UNSRAT).

1.1 CONTEXT

There are 10 AMSs, namely, Brunei-Darussalam, Cambodia, Indonesia, Lao People's Democratic Republic (PDR), Malaysia, Myanmar, Philippines, Singapore, Thailand, and Vietnam. Three of these countries – Indonesia, Malaysia and the Philippines – are also members of the six-country CTI-CFF, which also includes Papua New Guinea (PNG), Solomon Islands and Timor-Leste. These 13 countries, which together have a combined population of about 650 million people, sit in a region of the world that accounts for more than 50% of the world's marine capture production,[1] and more than 80% of all people employed in fisheries and aquaculture worldwide.[2] Although the region boasts some of the world's richest fishing grounds, many of its economically important fish stocks have become overfished as a result of a host of factors, including (arguably most significantly) illegal, unreported and unregulated (IUU) fishing. In 2000-2003, annual losses to IUU fishing in the Pacific region were estimated at 3.4-8.1 million tons of fish (about 7-16% of the reported 48 million tons of catch from the Pacific Ocean in recent years) valued at between USD3.1 billion and USD7.3 billion per year.[3, 2] This poses a serious threat to food security and the livelihoods and well-being of hundreds of millions of people, creating the imperative for regional and global initiatives to address IUU fishing in the region.

USAID Oceans aims to contribute to strengthening the region's capacity to combat IUU fishing and seafood fraud, promote sustainable fisheries and conserve marine biodiversity in the region. Using a multi-pronged strategy that includes five workstreams – namely, catch documentation and traceability (CDT); ecosystem approach to fisheries

[1] FAO, 2017. FAO Global Capture Production database updated to 2015 - Summary information.
[2] FAO. 2016. The State of World Fisheries and Aquaculture 2016. Contributing to food security and nutrition for all. Rome. 200 pp.
[3] Agnew DJ, Pearce J, Pramod G, Peatman T, Watson R, et al. (2009) Estimating the Worldwide Extent of Illegal Fishing. PLoS ONE 4(2): e4570. doi:10.1371/journal.pone.0004570

management (EAFM); human welfare; public-private partnerships (PPP); and communications and outreach – USAID Oceans intends to:

1. Develop a financially sustainable regional Catch Documentation and Traceability System (CDTS) to help combat IUU fishing and seafood fraud in areas where sustainable fisheries management plans (SFMPs) are being applied;
2. Expand use of the CDTS to priority biodiversity areas in the Asia-Pacific region.
3. Strengthen human and institutional capacity of regional organizations to conserve marine biodiversity through CDT and SFMPs, including actions to combat IUU fishing and seafood fraud.
4. Enhance PPPs to conserve biodiversity, promote sustainable fisheries management, and combat IUU fishing and seafood fraud.

USAID Oceans has taken a tiered approach to achieving these objectives, starting with a first tier of two "Learning Sites" (General Santos City in the Philippines and Bitung in Indonesia) from which it aims to build on lessons learned to expand to Songkhla, Thailand, and Kelantan, Malaysia ("Expansion Sites 1") and then to the rest of the AMSs – i.e., Vietnam, Cambodia, Myanmar, Brunei Darussalam, Singapore, and Lao PDR – and the three Pacific members of the CTI-CFF, namely, PNG, Solomon Islands and Timor-Leste ("Expansion Sites 2").

Since the 1st TWG Workshop held in July 2016, a number of activities have been conducted by USAID Oceans together with the TWG members. These activities have mainly focused on the two Learning Sites to establish the CDTS and complementary activities for regional learning. TWG members also had opportunities to meet during regional meetings organized by SEAFDEC and other organizations, and during visits of USAID Oceans to member-countries for further discussions on activities relevant to the program.

1.2 WORKSHOP OBJECTIVES AND EXPECTED RESULTS

The 2nd National TWG Planning Workshop was convened to update participating countries on progress towards the program objectives and, drawing lessons from program implementation thus far and inputs from partners, align the USAID Oceans Year 3 work plan with country priorities. Specifically, the Workshop was designed to:

1. Provide updates on the progress of work of USAID Oceans;
2. Present results of studies conducted in the Learning Sites, including rapid appraisals of fisheries management systems (RAFMS), value chain analyses (VCA), gender analyses and labor studies;
3. Share experiences and lessons on relevant methodologies; and
4. Review USAID Oceans' component work plan and relevant site/country activities with TWG members for Year 3.

The Workshop was expected to produce the following outcomes:

1. Program implementation updates;
2. Sharing of findings, lessons and knowledge; and
3. Draft USAID Oceans Year 3 Work Plan aligned with country priorities.

2. PROCEEDINGS

The overall conduct of the workshop was facilitated by Ms. Lily Ann Lando of WorldFish.

A total of 13 substantive sessions were scheduled for the workshop, and 13 sessions were conducted, although not entirely according to the published agenda. A discussion session on "USAID/SEAFDEC USAID Oceans and Fisheries

Partnership" that was scheduled for Day 1 was omitted and instead integrated into the overall program design to allow for more time to discuss specific program workstreams. And, on Day 2, a session was added on FAO's regional and international initiatives in fisheries management and CDT. This proceedings report reflects this agenda change, with the sessions renumbered as conducted in Annex II.

All sessions except for Session 10 and Session 12 were plenary sessions. Not counting the workshop overview and recaps and the report-outs from the breakout sessions, there were a total of 16 plenary presentations interspersed with open forum discussions.

The plenary proceedings are reported below as they transpired, edited with reasonable interpretation where needed for clarity or concision. Reports from the breakout sessions that were not presented in plenary are included as annexes if available.

2.1 DAY 1 PROCEEDINGS

Day 1 consisted of entirely plenary sessions focused primarily on providing updates on the USAID Oceans program implementation, and relevant updates from development partners. Not counting the workshop overview session, there were a total of six sessions that included nine presentations.

Agenda:

- Opening Session
- Introduction of Participants
- Session 1: Introduction to the TWG Planning Workshop and Expectations
- Session 2: The USAID Oceans and Fisheries Partnership: Where are we now?
- Session 3(A-E): Progress of Activity Workstreams
- Session 4: NOAA Updates on US Regulations, Seafood Imports Monitoring Program (SIMP)
- Session 5: USAID DOI Support to USAID Oceans Partners
    - Session 5A: Advancing the Development and Implementation of a Fisheries Catch Documentation and Traceability System in Southeast Asia through Support to SEAFDEC
    - Session 5B: Strengthening CTI-CFF's Organizational and Administrative Capacity for Improved Fisheries Management

2.1.1 Opening Session and Introduction of Participants

The workshop opened with a panel of remarks by Mr. Geronimo Silvestre, USAID Oceans Chief of Party; Dr. Kom Silapajarn, Secretary-General of SEAFDEC; Ms. Cristina Velez Srinivasan, USAID/RDMA Contracting Office Representative; and Mr. Chul Sinchaipanich, representing the Director-General of Thailand's Department of Fisheries.

Introductory Remarks: Geronimo Silvestre, Chief of Party, USAID Oceans

Mr. Silvestre noted that although this was only the 2nd planning workshop involving the TWG, for the USAID Oceans program team, it was actually the third such planning activity since the program's inception in May 2015. "Those of you who have been with us since the start of the journey for USAID Oceans are aware that we had an inception planning workshop in September 2015 to develop the USAID Oceans Life of Project and Year 1 work plans," he said. "Subsequently, we met again for our second planning workshop in July 2016, and here we are now

for the third round to discuss our progress so far, bring our teams up to par with the technical challenges of the USAID Oceans work program, and look at our Draft Year 3 work plan and try to finalize it."

Welcome Remarks: Kom Silapajarn, Secretary-General, SEAFDEC

Dr. Silapajarn explained that USAID Oceans is an offshoot of a 2014 agreement between SEAFDEC and USAID to work together in the areas of food security and marine biodiversity conservation in the Southeast Asian region. "USAID agreed to support SEAFDEC in our activities on the sustainable utilization of fishery resources, especially in combatting IUU fishing in Southeast Asian waters," he said. "Specifically, USAID would enhance the capability of SEAFDEC and the AMSs in the application of a traceability system for fish and fishery products from the region to enhance their competitiveness in the world market."

With support from USAID through U.S. DOI, SEAFDEC is working alongside the USAID Oceans team across all of the five program workstreams, as well as in information and communication technology, to enhance the capability of the AMSs to help ensure that their fisheries are managed effectively and produce fish and fishery products that are traceable from the point of catch to the consumers' plates in compliance with regional and international market requirements.

Dr. Silapajarn underscored the workshop's objectives for participants "to understand more and be updated about the progress of USAID Oceans, and to be informed about its work plan so that alignment with country-specific priorities and strategies can be discussed." He said this will help ensure that the plan "will be efficiently and effectively implemented by the AMSs."

Dr. Silapajarn concluded, specifically addressing the country delegates: "Any lessons we can learn and share from our experiences will strengthen regional cooperation to combat IUU fishing, promote sustainable fisheries and conserve marine biodiversity in Asia-Pacific. I hope that you will all be actively involved in this planning workshop and contribute to its success, and that through your participation, your respective countries could gain the utmost benefits from this partnership."

Welcome Remarks: Cristina Vélez Srinivasan, Contracting Office Representative, USAID/RDMA

Ms Srinivasan also specifically addressed the country delegates in her remarks, thanking them for "all of your engagement and support for the USAID Oceans Partnership activity and for your commitment to working together to enhance the region's marine ecosystems and combat IUU fishing." She added, "As you all know, 90% of the world's fish stocks are at or near unsustainable levels, with IUU fishing perpetuating this trend. IUU fishing is estimated to account for up to 30% of annual global catch with economic losses of USD23 billion each year. The good news is that there is a global movement happening to improve the ocean's health and enhance the sustainability of fisheries by increasing accountability throughout the seafood supply chain, and you're all at the frontlines of this movement."

Ms Srinivasan then congratulated everyone in the room "for the progress you've made on traceability efforts." She remarked, "In the past 2 years, we've watched the terrific progress being made in Southeast Asia for traceability. SEAFDEC's ACDS has grown immensely with an ongoing pilot now in Brunei. USAID Oceans has proven to be an outstanding model for inclusive, efficient and sustainable development and the regional platform that has been developed through the TWGs, CTI-CFF and SEAFDEC, has opened many doors for the program and has enabled a truly regional reach through partnerships. In addition to partnering with the national governments, USAID Oceans has also made wonderful progress in engaging with the private sector, such as our work with Thai Union, which is something to advance traceability efforts, and we're currently working to finalize

a partnership with Inmarsat, a leading communications technology provider that will help support pilots in both Indonesia and Thailand."

Citing the U.S. Government's regional activities through USAID/RDMA, U.S. DOI and NOAA, and complementary bilateral initiatives by the USAID country missions in the region, Ms. Srinivasan reiterated the U.S. Government's commitment to improve the ocean's health and support the AMSs. "Combatting Illegal fishing is a recent priority of the U.S. Government, and both USAID and U.S. DOI have been working extensively this past year to provide grant funding to both SEAFDEC and the CTI-CFF Regional Secretariat to allow their continued engagement with the USAID Oceans activities and provide opportunities for learning through regional workshops and continued technical assistance," she explained. "In addition to the USAID Oceans activities to combat illegal fishing through fishing industry transparency, we have other activities in the region designed to enhance marine ecosystems, including USAID Indonesia's Sustainable Ecosystems Advanced (SEA) Project, which works to enhance conservation and sustainable use of marine resources, and USAID-Philippines' Ecosystems Improved for Sustainable Fisheries (ECOFISH) Project. Furthermore, USAID/RDMA also supports CTIP activities that address human welfare issues in the fisheries sector."

Opening Remarks: Chul Sinchaipanich, Director, Fisheries Foreign Affairs Division, Department of Fisheries Thailand

Mr. Sinchaipanich acknowledged that IUU fishing is "one of the biggest problems facing the fishing industry today," adding: "In recent years, governments and relevant international organizations around the world have recognized the gravity of this problem and stepped up efforts to fight it as a high priority issue."

Mr. Sinchaipanich commended the progress of USAID Oceans in its two Learning Sites that "will support the development, implementation and testing of the CDTS with both small- and large-scale fishers and serve as a hub for regional knowledge sharing." He said this would promote the possibility of a sustainable CDTS that would help ensure that "in the future, fishery resources are legally caught and properly labelled throughout the region."

Mr. Sinchaipanich concluded his remarks by formally declaring open the 2nd National TWG Annual Planning Workshop.

Mr. Sinchaipanich, Director of Fisheries Foreign Affairs Division, provides opening remarks at the 2nd Annual Technical Working Group Planning Meeting.

Introduction of Participants

Noting that "there are more than 100 people here," Dr. Yuttana Theparoonrat (SEAFDEC) led the introductions around the room by asking a member of each delegation to do the individual introductions for his or her group.

2.1.2 Session 1: Introduction to the TWG Planning Workshop and Expectations

This session kicked off the workshop proper, with the Lead Facilitator, Ms. Lando, presenting an overview of the workshop. To introduce the topic, Ms. Lando presented a schematic background of USAID Oceans (Figure 2) to explain broadly how this planning workshop intended to draw from and feed into the program workstreams and partner activities, while keeping in view the program's overall strategic program objectives of combatting IUU fishing, sustainably managing fisheries, and conserving marine biodiversity.

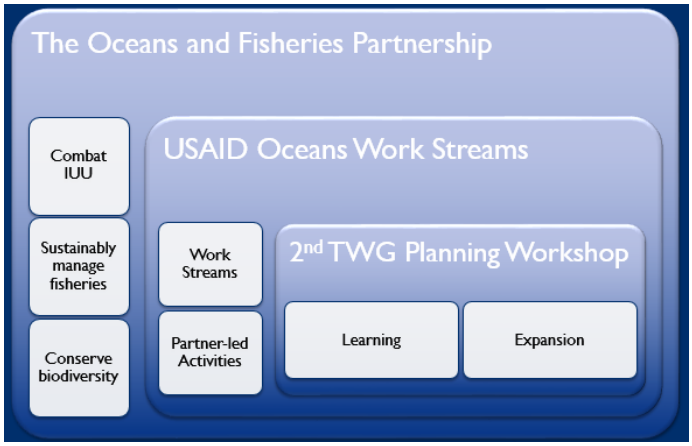


Figure 2. Schematic background of the USAID Oceans program

Ms. Lando then explained the general objectives of the workshop, and how the workshop was organized according to the objectives to be achieved in each of the different sessions: On Day 1, the sessions would focus on "stock-taking," i.e., reporting on the progress achieved so far by the five program workstreams and other partner activities, understanding how that stacked up against the program objectives, and generally answering the question, "Where are we now?"

Day 2 would be all about "knowledge sharing and learning," highlighting the lessons learned and knowledge gained from the fisheries value chain studies undertaken under USAID Oceans, methodologies employed by the different program workstreams, and related work by partners.

And, on Day 3, the discussions would be all about the USAID Oceans Year 3 work plan, looking in particular at aligning the work plan with country priorities and examining the way forward for the Partnership as a whole.

Before the session ended, participants were given blue and pink cards on which to note down their expectations from the workshop, as follows:

> Blue Card: What do I expect to learn? What can you expect from me?
> Pink Card: What outcome do I expect from this workshop? What will be the indicator of success?

Participant responses were collected and briefly presented during the morning of Day 2.

2.1.3 Session 2: The USAID Oceans and Fisheries Partnership – Where are we now?

This session consisted of a single presentation that provided a general picture of the implementation status of the USAID Oceans Year 2 work plan, which covers the Fiscal Year 1 October 2016-30 September 2017. The presentation (by USAID Oceans Chief of Party Geronimo Silvestre) was divided into two parts: The first part explained broadly what USAID Oceans is all about and what it is hoping to accomplish, while the second part comprised the main progress report on the USAID Oceans Year 2 work plan implementation.

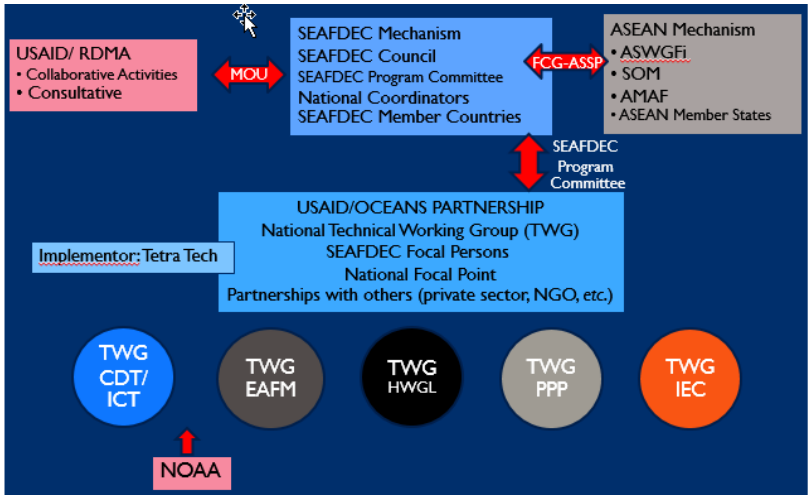
➢ *About USAID Oceans*

USAID Oceans is a five-year (May 2015-May 2020), USAID-funded USD19.95-million program that engages the ASEAN and Coral Triangle countries in a mission to help strengthen regional capacity to combat IUU fishing and seafood fraud, promote sustainable fisheries, and help conserve marine biodiversity. This mission is embodied in four main objectives:

- **Objective 1:** Develop a financially sustainable regional CDTS to help combat IUU fishing and seafood fraud in areas where sustainable fisheries management plans (SFMPs) are being applied.
- **Objective 2:** Expand use of the CDTS to priority biodiversity areas in the Asia-Pacific region.
- **Objective 3:** Strengthen human and institutional capacity of regional organizations to conserve marine biodiversity through CDT and the SFMPs, including actions to combat IUU fishing and seafood fraud.
- **Objective 4:** Enhance PPPs to conserve biodiversity, promote sustainable fisheries management, and combat IUU fishing and seafood fraud.

Mr. Silvestre reviewed the structure of the Oceans and Fisheries Partnership, including its partnership with SEAFDEC, guidance from its Program Committee and its working relationships with the TWG network (Figure 3).

Figure 3. Working Structure between USAID Oceans and SEAFDEC



The CDT workstream forms the core of USAID Oceans' work, along with four support workstreams: (1) EAFM, which provides the context and framework for the application of CDT as a tool to combat IUU fishing; (2) Human Welfare, which brings out and addresses human rights and welfare, gender and labor issues that have become increasingly important considerations for a growing consumer movement concerned about the sustainability and traceability of the food they buy; (3) PPP, which harnesses the financial and technological strengths of the private sector to work with the public sector towards developing CDT as an effective tool against IUU fishing; and (4) Communications and Outreach, which supports program implementation overall and across the workstreams by promoting knowledge, information and participation in program activities in an integrated manner.

Together these workstreams cover the following six broad activities identified during the September 2015 inception planning workshop for implementation over the life of USAID Oceans:

- Develop ACDS/CDTS guidelines and roadmap for regional implementation
- Develop and test core CDT application and implement supporting technology devices (i.e., satellite devices)
- Develop CDT within larger framework of EAFM, incorporating human welfare considerations
- Develop and implement regional PPP/Industry engagement strategy
- Develop the USAID Oceans TWG network and engage them in the work of USAID Oceans through trainings and workshops
- Produce communications & outreach materials to support the program workstreams/components and implementation

It was agreed at the inception planning workshop that the CDT application would be tested first in two Learning Sites, namely, Bitung, Indonesia (at FMA 716) and General Santos City, Philippines. Subsequently, the program

would be brought to "Expansion Sites 1" in Kelantan, Malaysia and Songkhla, Thailand, and from there the USAID Oceans team plans to work with the rest of the countries to expand the application of CDT and other applications to the rest of the AMSs, as well as the three Pacific countries of the CTI-CFF comprising "Expansion Sites 2."

The timeline for implementation is as follows:

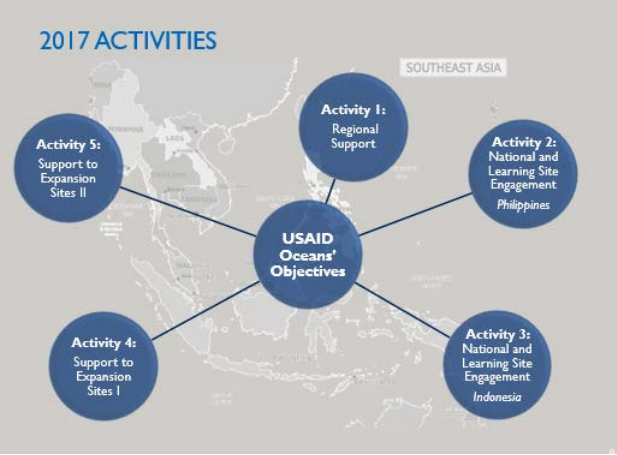
- **Year 1-2:** Design CDTS and develop regional network to develop and implement system; implement and test CDTS and strengthen SFMPS in the Learning Sites
- **Year 2-3:** Implement CDT and SFMPs in the Learning Sites, learn from the experience, elaborate the standards, and come up with a set of concepts and a minimum viable product that is applicable and suitable for the region's use; engage "Expansion Site" countries and strengthen them preparatory to the expanded implementation of the CDTS and SFM planning.
- **Year 4-5:** Expand implementation of CDT and SFM planning regionally across Asia Pacific.

➢ *Status of Year 2 Work Plan Implementation*

The USAID Oceans Year 2 Work Plan includes activities at three levels comprising regional support, national engagement and learning site support. (Figure 4)

Below are the highlights and status of implementation of these Year 2 activities. (Note: Activities planned for or expected to be completed during the remainder of Year 2 are marked "Upcoming" and compiled in Section 2.1.4.2.5)

Figure 4. Year 2 Activities



Regional Support

1. **Capacity building and coordination**
    - Provided regional expertise and support – A key highlight was successfully applying for a waiver to fund and support activities in Malaysia and Thailand. These two countries with advanced developing economies are not qualified for direct USAID funding, so the program needed the waiver to work in its Expansion Sites-1 at Kelantan, Malaysia and Songkhla, Thailand.
    - Grants provided through USAID/DOI to SEAFDEC, CTI-CFF and the Coral Triangle Center (CTC) – Most of the funding of SEAFDEC and CTI-CFF, in particular, is restricted funding, so it has been a challenge for them to be able to join many of the USAID Oceans activities. Grants provided by USAID through DOI are now operational in SEAFDEC and will soon be operational under CTI-CFF, which should enhance regional collaboration further. Inception workshop with CTI-CFF is being planned in Indonesia (Upcoming).
    - Conducted 2nd National TWG Planning Workshop

2. **CDT**
    - Convened and consulted with Technical Advisory Group (TAG) for CDT – The TAG provides inputs to USAID Oceans on best practices in CDT.
    - Developed two key guiding documents for CDT implementation (CDT 101 and 201) – CDT 101, a layman's, non-technical conceptual overview of the proposed CDT component of USAID Oceans, has been completed and released. CDT 201, which provides detailed technical specifications and standards pertaining to CDT, is in final editing.
    - Established Key Data Elements (KDEs) to be used by the CDTS, and developed in-depth information on KDEs – The USAID Oceans Communications Team is finalizing the KDE Manual.

3. **EAFM**
    - Provided regional technical expertise support
    - Planned Regional EAFM Implementation Planning Workshop – The workshop, scheduled for 23-25 August 2017, is co-organized by USAID Oceans and SEAFDEC. It aims to further the development of Regional Sustainable Fisheries Management Plans for the Sulu-Sulawesi Marine Ecoregion (SSME), Andaman Sea, and the Gulf of Thailand, which are all areas of concern for USAID Oceans.

4. **Human Welfare**
    - Planned Regional Gender Workshop (August 2017) – As well as discussions and presentations on USAID Oceans' gender work, some capacity building is also being planned (Upcoming).
    - Integrated human welfare considerations throughout program workstreams, including in the KDEs covered by the CDTS

5. **PPP**
    - Developed and implemented regional PPP and Industry engagement strategy
    - Industry, buyer, and regional alliances engaged – To-date there are eight partnerships that are mostly operational or close to being underway. USAID Oceans has leveraged around USD400,000 in direct funds from these partnerships, not counting indirect contributions that have not yet been quantified. The USAID Oceans team is in the process of quantifying the indirect contributions, over and above the direct financial contributions of the organizations involved in these partnerships.

6. **Communications and Outreach**
    - Produced informational materials to support workstreams
    - Launched SEAFDEC/USAID Oceans web portal – This web portal is designed to facilitate communications across the larger USAID team, who work across 10 countries, two regional organizations and various collaborators in the U.S., Europe and Japan, so that they are in sync as far as program implementation is concerned.
    - Distributed first issue of program eNewsletter – The eNewsletter summarizes key achievements for each quarter, and what USAID Oceans stakeholders can expect in the near future.

Philippines National Engagement and Learning Site Support

1. **Capacity building and coordination**
    - Conducted trainings for CDT/EAFM/Human Welfare (planned M-EAFM (Mainstreaming EAFM) Planning Process in Oct 2017)
    - Developed Site Profile
    - Held Stakeholder Consultation Workshop in General Santos City, February 2017
    - Participation in the upcoming 19th Tuna Congress in General Santos City, Philippines (September 2017), with plans to hold stakeholder trainings and meetings during the Congress (Upcoming)
2. **CDT**
    - CDTS Data Exchange design and development in progress with BFAR, SOCCSKSARGEN Federation of Fisheries and Allied Industries, Inc. (SFFAII) and local partners in General Santos City – Working with partners, the USAID Oceans team has built what they call the first mile implementation of the CDTS. SFFAII has been given a grant to support CDT, which has been signed and will be implemented soon (Upcoming).
    - Delivered training for CDTS development and coding with BFAR team – At the site level in General Santos City, the team is building the first mile generation and transmission of KDEs through the supply chain, and has also started working with the national system through BFAR's National Fisheries Information and Management Center so that they have a system in place to replicate the CDTS that is being piloted in General Santos City across other regions in the Philippines.
3. **EAFM**
    - Conducted RAFMS in Sarangani Bay – Assessment results inputted into the development of SMFPs for Sarangani Bay and the Bureau of Fisheries and Aquatic Resources (BFAR) in Region 12.
    - Developed SMFPs – Draft SFMPs have been produced for the Sarangani Bay Area and BFAR Region 12. These two site plans will be linked to the national SFMP and subsequently to the larger SSME framework.
4. **Human welfare**
    - Conducted gender and labor analyses, final reports in production – The analyses were done through a subcontract to WinFish. Key results have been presented, including issues and opportunities for the management of fisheries in General Santos City that will inform the design of the program's CDTS and supporting program interventions.
    - Integrated fair labor and gender considerations throughout all program activities
5. **PPP**
    - Conducted value chain assessments (VCAs) from point of catch to the main export markets
    - Developed partnerships to support CDTS implementation and sustainability
    - Planned launch of partnerships with "First Mover" companies in the Philippines to support of the CDTS development process (Upcoming)
    - Planned launch of grants with fishing organizations/associations in the Philippines to support roll out of CDTS technology (Upcoming)

6. Communications and Outreach

- Produced informational materials to support workstreams and CDTS implementation, including site profile, country briefings, and technical research summaries for the studies (RAFMS, VCAs, and gender and labor analyses) that provided inputs to the fisheries management planning process in General Santos City.

Indonesia National Engagement and Learning Site Support

1. **Capacity building and coordination**
    - Signed MOU with MMAF, February 2017 – There were some discussions about whether Bitung was the right place to proceed, and whether the ministry would like to USAID Oceans to work in another site. This delayed implementation but ultimately the choice of Bitung was finalized, and the MOU was signed in Feb 2017 for site implementation to proceed.
    - Conducted trainings for CDT/EAFM/human welfare
    - Developed site profile for Bitung
    - Held stakeholder consultation workshop (Manado, June 2017) – The workshop identified key problems, opportunities and KDEs pertinent to fisheries management.
2. **CDT**
    - Furthered design and development of national CDTS data exchange with the Ministry of Marine Affairs and Fisheries (MMAF), MDPI and other national and local partners (MDPI is independent Indonesian foundation that is focused on achieving sustainable and responsible fisheries activities in Indonesia by supporting the development of the fishing communities and supply chains related to small-scale, artisanal fisheries)
3. **EAFM**
    - Conducted RAFMS in Bitung focusing on tuna and small pelagic species
    - Furthered development of SFMP (Draft SFMP for North Sulawesi and WPP 716)
4. **Human welfare**
    - Conducted gender and labor analyses, final reports in production – To support gender and labor analyses, USAID Oceans formed a partnership with UNSRAT, who conducted the analyses. The final reports are in production.
    - Integrated fair labor and gender considerations throughout all program activities
    - Nomination of local women's and labor organizations for human welfare interventions planned (Upcoming)
5. **PPP**
    - Conducted VCA
    - Developed partnership to support CDTS implementation and sustainability
    - Planned launch of partnerships with "First Mover" companies in Indonesia to support of the CDTS development process (Upcoming)
    - Planned launch of grants with fishing organizations/associations in Indonesia to support roll out of CDTS technology (Upcoming)
6. **Communications and Outreach**
    - Produced informational materials to support site profiling, management planning and the rest of the workstreams at the Bitung site level

Support for Expansion I and II Sites

1. **Capacity building and coordination**
    - Participation of TWG representatives in national/site level workshops and capacity building activities – Following the approval of waiver for Thailand and Malaysia, the USAID Oceans was able to engage with these Expansion-1 countries, as well as the Expansion-2 countries, more efficiently and productively.
    - Integrated Stakeholder Consultation Workshop is planned for August 2017 in Songkhla, Thailand (Upcoming)
2. **CDT**
    - CDT initiative support provided through mentoring and networking – The team is finalizing gaps assessment in Thailand, and expects to start assessment in Malaysia in collaboration with the Department of Fisheries in Kelantan, Malaysia.
    - SEAFDEC ACDS implementation activities supported to complement CDTS testing – USAID Oceans has been working closely with SEAFDEC in the implementation of support activities related to the testing of ACDS that they are doing in Brunei, which they hope to replicate with DOF-Kelantan.
3. **EAFM**
    - Technical support for EAFM planning has been provided to Thailand, and plans to provide the same support to Malaysia and Vietnam may be pursued in the near future.
4. **Human welfare**
    - Working to identify network of women leaders recognized and networking facilitated
    - Learning site gender and labor right analyses results shared for regional learning
5. **PPP**
    - Capacity building support for partnership development to support national initiatives (included in this workshop)
6. **Information and communications**
    - Working to identify network of women leaders recognized and networking facilitated
    - Informational materials produced to support regional adoption of CDT, EAFM, and human welfare practices

Key Activities and Events for Remainder Year 2

1. Regional EAFM Workshop, Bangkok, Thailand (August 2017)
2. Regional Gender Workshop, Bangkok, Thailand (August 2017)
3. Integrated Stakeholder Consultation Workshop, Songkhla, Thailand (August 2017)
4. 19th Tuna Congress, General Santos City, Philippines (Sept 2017 with accompanying stakeholder trainings and meetings)
5. Inception Workshop with CTI-CFF, Indonesia
6. Launch of partnerships with "First Mover" companies in the Philippines and Indonesia, in support of CDTS technology

7. Launch of grants with fishing organizations/associations in Philippines and Indonesia to support roll out of CDTS technology
8. Nomination of local women's and labor organizations for human welfare interventions in Philippines, Indonesia

2.1.4Session 3: Progress of Activity Workstreams

This session comprised six presentations in five sub-sessions corresponding to the five workstreams, and included time for an open forum at the end of each sub-session.

3A: Catch Documentation and Traceability (CDT) and the electronic system of the ASEAN Catch Documentation Scheme (eACDS)

There were two presentations in this sub-session. The first session, on the overall USAID Oceans CDT workstream, was presented by Mr. Farid Maruf, USAID Oceans Regional CDT Specialist. The second sub-session was focused on SEAFDEC's electronic ACDS (eACDS), which was presented by Dr. Somboon Siriraksophon, SEAFDEC Policy and Program Coordinator.

➢ *Presentation – Workstream Updates*

Mr. Maruf presented an overview of the Partnership's Year 2 activities by location, which included:

Objectives: • Fully functioning electronic CDTS/ACDS demonstrated at the two Learning Sites and implemented through the complete supply chain from catch to import • Integration of CDTS node with national Fisheries Information Systems (FIS) demonstrated • ACDS/CDTS guidelines developed and applied, including KDEs, CDTS electronic structure, and a roadmap for implementation • Concrete PPPs, with at least eight partnerships formed and USD 4 million leveraged from private sector • Incorporation of labor and gender considerations into the CDTS to capture KDEs, as appropriate for each country • TWG network developed to support regional cooperation	
Regional Activities	• *Fisheries Catch Documentation and Traceability in Southeast Asia: A Conceptual Overview* – Known for short as *CDT 101*, this non-technical publication provides a conceptual overview of the USAID Oceans proposed CDT component. This document has been finalized and released. • *Fisheries Catch Documentation and Traceability in Southeast Asia: Technical Concepts and Specifications, or "CDT 201"* – Now nearing finalization, this document includes detailed technical specifications and project details to support harmonization of CDT data and standards, interoperability between systems, and the implementation and sustainability of traceability systems over time. • *Data Requirements for Catch Documentation and Traceability in Southeast Asia: CTE-KDE Framework and Glossary ("KDE Manual")* – This document compiles and harmonizes the KDE requirements for compliance with the global traceability standards for fish and

	fishery products that are applicable to the USAID Oceans countries, and provides guidance on how the data will be collected at critical tracking events (CTEs) across the supply chain.
Learning Site Activities - Philippines	• Established collaboration framework with BFAR – This helped crystallize how the Team would work with the government to support the development of CDT in the Philippines. • Supported BFAR's Fisheries Information Management Center (FIMC) capability to develop an electronic CDTS based on BFAR Administrative Circular (BAC) 251 series of 2014 – BAC 251 was issued in 2014 to provide information and guidance on traceability for the fishery industry in the Philippines, but there was no system to support it, so implementation was a challenge. The CDT Team helped to develop BFAR's capacity to build a CDT app, with a target launch date in September 2017 at the 19th National Tuna Congress in General Santos City. • Established partnership framework with private sectors through collaboration with the SOCSKSARGEN Federation of Fishing and Allied Services (SFFAII), involving training, socialization, capacity building, and recruitment of technology service providers: o Technology service providers recruited (FAME and Globe) – Globe is one of the biggest telcos in the Philippines, so the Team worked with them to make sure they could support the program, because the CDTS relies on telecommunications to function efficiently. FAME (Futuristic Aviation and Maritime Enterprise, Inc.), on the other hand, is a homegrown tech startup that has developed a technology that can be applied to track small maritime vessels. The technology includes capability to send a short text report, which could be a driver for user engagement as it allows fishers to communicate with their family even in areas that are outside cell coverage. The company is also trying to build into the system geolocation capability with useful applications for fishers, for example, as a warning system for restricted or prohibited areas, or emergency events. o Early movers company recruited o Grant developed for two-year support to SFFAII implementing CDTS • Conducted system and gaps analysis on the Philippines' CDTS
Learning Site Activities - Indonesia	• Established collaboration framework with MMAF – As in the Philippines, USAID Oceans is working closely with the government to develop the CDTS. • Supported MMAF to develop and implement downstream traceability – The CDT Team is supporting MMAF's effort to establish downstream traceability, using US SIMP as the initial driver. Testing is slated for the end of July 2017. • Supported NOAA's SIMP socialization with industry players • Established collaboration framework with industry players: • MDPI for small scale fisheries, and the Indonesian Pole and Line and Handline Fisheries Association (AP2HI) and International Pole and Line Foundation (IPNLF) for pole and line tuna fisheries; • Inmarsat collaboration to support VMS (vessel monitoring system) and sea data capture – These are two separate projects funded by the UK Space Agency looking at using VMS as a tool for fisheries management, catch monitoring and reporting, etc. USAID Oceans, Inmarsat and MMAF have agreed to collaborate on this effort, with signing scheduled for end-July 2017. • Activity synchronization and consolidation with sister project USAID - SEA

Expansion Sites	• Supported the Thai Union CDTS implementation in collaboration with Inmarsat – Thai Union, a private sector organization, first took the initiative to establish traceability and is currently working on eLogbook, crew communication and fleet management using Inmarsat technology • Conducted system and gaps analysis on the CDTS of Department of Fisheries-Thailand • Started preparations for system and gaps analysis for Malaysia

From the Year 2 activities, Mr. Maruf noted several key insights that were gained throughout the region, as summarized below.

Regional

1. This year dubbed as the "Year of Traceability," with the interest in CDT high and growing.
2. The CDT 101 and CDT 201 have guided the conversation on CDT, but may evolve throughout the program as technology evolves very fast.
3. Many players and service providers are providing CDT solutions. USAID Oceans does not intend to create a new solution, but to enable as many players to participate as possible – whether they are from government or private sector, either on the supply or market side – because any one of them could have a strong value proposition to make. The CDT Team's aims to support each country to improve the compliance and functionality of the system they may already have, or come up with a new system that works with their existing infrastructure (or even building an entirely new infrastructure, if necessary).
4. Data requirements vary across countries. Some regional countries actually require more data than those required by the global standards and EU, U.S. regulations. Furthermore, the Team saw variations in data requirements dictated by business drivers based on business relationships, e.g., if a buyer requires Marine Stewardship Council (MSC) certification, then this would be another KDE that the seller will have to comply with. Because of this, it may be necessary to review the KDEs periodically to ensure they are up-to-date with the current requirements of relevant markets.

Indonesia

1. Indonesia is ahead of many countries in certain aspects of CDT. They already have in place, for example, a catch certification system, VMS, and fisheries registration systems.
2. Many of these systems grew organically and are not necessarily linked to each other, so the challenge is to make sure that these existing systems and any new system to be developed can connect to and form part of a single, coherent CDTS.

Philippines

1. The Philippines offers best practices and lessons in CDT that should be shared for the other countries to learn from.
2. Many of the technologies relevant to CDT are heavily regulated; consultation with government is essential to ensure that the technology is not prohibited (e.g., devices that operate on frequencies that are not allowed), and will actually work.

Expansion Sites

Thailand is an advanced example of CDT, with end-to-end traceability, from landing all the way to export, in one system, which they spent two years developing. The CDT Team observed part of the system in action in June 2017 when they did a port in-port study in Songkhla, where they noted:

- Inspection is done round-the-clock.
- At port-in, an inspection team composed of representatives from different departments inspects the vessel, checks the crew's IDs and onboard working conditions and living conditions, and collects landing data. Initial recording is paper-based, but photos of documents are taken and submitted online to a central system, and

landing data are entered into an electronic Marine Catch Purchasing Document (MCPD) and uploaded to the system.

- At port-out, the inspection team does the required paperwork, filling out paper forms and taking photos of the crew, and then using a tablet, enters the data into the system.
- Buyers are not connected to the system, so purchase data are collected using paper-based forms. This is one area where the CDT Team could work with their counterparts in DOF-Thailand to develop a solution for connecting the buyers to the system.

Mr. Maruf closed by providing an overview of upcoming activities in Year 3, as summarized below.

Regional Activities	Finalization of a design interoperability tool for connecting all subsystems – The Team is looking at streamlining the traceability process by connecting the different subsystems based on a consideration of compliance and data privacy and sharing issues.
Learning Site Activities	• Launching and testing of BFAR's e-CDTS (Philippines, September 2017) – The plan is to showcase a demonstration of the system at the 19th National Tuna Congress in General Santos City. • Capacity building for early mover companies to implement BFAR's e-CDTS when the system is ready (Philippines) • Piloting of MMAF's downstream traceability (Indonesia, early August) • Implementing through Inmarsat at-sea catch reporting for medium and large vessels using two-way VMS through eLogbook integration (Indonesia) • Testing/piloting of small maritime vessel tracking and catch reporting (Indonesia and Philippines, October 2017) – The technology that will be tested is an in-country innovation for the Philippines, so the Team expects to move there quickly on testing it and getting feedback from users towards helping improve the technology before it is fully implemented. • Testing of small-scale at-point-of-landing data capture application (Indonesia and Philippines) – To ensure that data from the first sales transaction are captured, the Team is looking at relevant regulations and building them into the app. For example, in the Philippines, the government requires the issuance of an auxiliary invoice to transport fish and fishery products. This process, which can take 1-2 days, can be shortened by integrating it into the app. Some buyers have also suggested including bookkeeping features in the app, but the Team is focusing on developing and testing the minimum viable product to make sure it works before adding additional features. • Implement Tally (an internal Enterprise Resource Planning (ERP)/traceability app) in processing companies (Indonesia and Philippines) – Many processing companies are using paper-based ERP systems, which makes internal traceability a challenge. To address this, the CDT Team is promoting an open source app that will allow the companies to easily track a product from batch-in to product-out.
Expansion Sites	• Sharing of knowledge from the field study in Songkhla on DOF-Thailand's CDTS • System and gaps analysis study on CDT and development of roadmap for the implementation of eCDTS (Vietnam and Malaysia)

➢ *Presentation – Electronic ASEAN Catch Documentation Scheme (eACDS) as a Tool to Prevent the Entry of IUU Fish and Fishery Products into the Supply Chain*

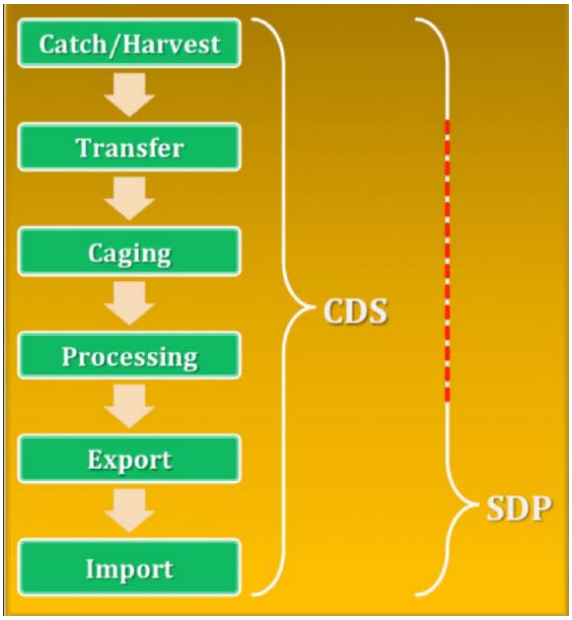
The development of the ACDS began in 2014 when the AMSs directed SEAFDEC to develop a system that would help them respond to the compliance requirements of the EC Catch Certification Scheme (CCS), promote intra-regional trade, and serve as a tool for ensuring that fish and fishery products from the region are not derived from IUU fishing activities.

The ACDS is based on the Catch Documentation Scheme (CDS), a system that monitors fish from point of catch through to its final destination. It differs from the Statistical Document Programme (SDP) framework that has been adopted by many countries in that it covers all parts of the supply chain (Figure 5), thus providing a unified framework to enhance the traceability of fish and fishery products for effective marine fisheries management in the AMSs, to improve the "credibility" of such products for intra-regional and international trade and, more importantly, to prevent the entry of IUU fish and fishery products into the supply chain of the AMSs.

In 2015, following concerns from some AMSs, the SEAFDEC Council issued the following guidance on the further development and subsequent implementation of the ACDS:

1. The format, standards and information should be aligned with the importing countries' requirements;
2. The system should be simplified for small-scale fisheries
3. The system should not create unnecessary burden to the exporters or importers in terms of cost or process.

Figure 5. CDS vs SDP



This guidance provided the impetus for the development of the eACDS that was subsequently endorsed by the 25th meeting of the ASEAN Sectoral Working Group (ASWG) in June 2017. SEAFDEC worked with the Fish Marketing Organization (FMO) to develop the system, looking at and learning from the experience of several organizations, including:

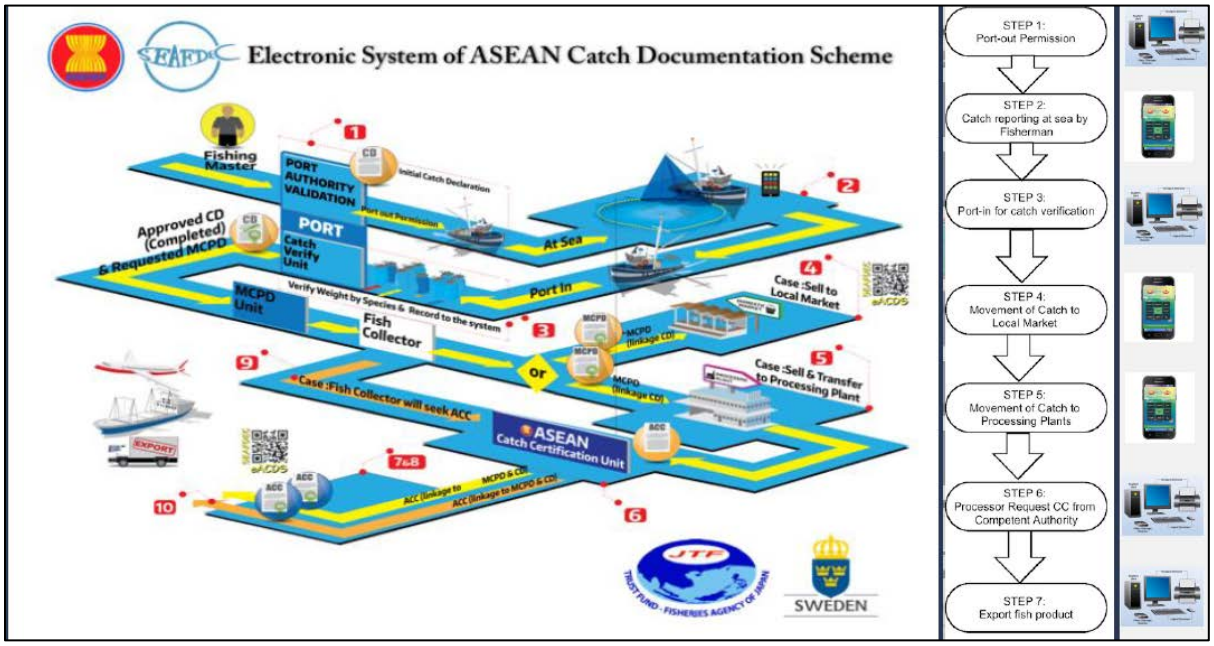
- Convention for the Conservation of Antarctic Marine Living Resources (CCAMLR)/CDS for toothfish
- Sweden Agency for Marine and Aquatic Environment (SwAM/Sweden)/EU system
- MAFF-Indonesia (CDS based on the EU system
- FMO's MCPD system

To ensure alignment with importing countries' requirements, SEAFDEC also considered EU and U.S. traceability requirements and standards, verification of data at landing and along the supply chain, and the technical requirements and specifications of electronic systems. Given these, the resulting system covers the entire supply chain from port-out to the export of the product (Figure 6).

The eADCS system covers CTEs in the supply chain involving the use of Web-based and mobile apps that are linked to a database server so that whatever device is used, all data will be included in the database.

1. Before the boat leaves port (port-out), the Master Fisher requests for port-out permission from the Port Authority, which initiates a catch declaration (CD) by filling out a CD form, which has a QR code that can be traced through the system;
2. At sea, the Master Fisher, using a mobile device, sends catch data to the system;
3. The boat returns to port (port-in), where Competent Authority verifies the catch by weight and species, records data to the system and approves CD;
4. Fish collector requests processing of Marine Catch Purchasing Document (MCPD) and, through the MCPD Unit, certifies purchase of product; MCPD document is issued and entered into the system;
5. If product is sold to the local market, the MCPD and CD are required to establish traceability;
6. If product is sold to processing plant, the MCPD, CD and additional Processing Statement/s (PS) provide traceability;
7. If product is for export, product traceability is provided by the MCPD, CD and additional ASEAN Catch Certification (ACC) that is linked to the CD and MCPD (8-10) and ties in together the data collected at the various CTEs, including logistics information (how the product is transported, exported, etc.).

Figure 6. The eADCS system



The eADCS app, which is freely available at the Android-based Play Store (no iOS version has been developed), is intended to be user-friendly, one that all fishers would be happy to use. But more than the app, key to a functioning CDS is the database, which makes up the core of the system. The eACDS database includes KDEs from the following sources: (1) fishing boat, (2) boat owner/company; (3) fishing port; (4) fishing master; (5) fishing license; (6) fish species; (7) fish buyers; (8) processors; (9) importer/exporter; and (10) logistics and other information. The database is searchable by keyboard, providing ease of use and minimizing burden to stakeholders. The KDEs are shown in Table 1 below.

In compliance with international requirements, the ACDS uses the Aquatic Sciences and Fisheries Information System (ASFIS) 3-alpha codes and taxonomic codes (http://www.fao.org/fishery/collection/asfis/en) assigned to fish species, in addition to their scientific, common and local names.

Documents will be available in electronically but can be printed out on paper. SEAFDEC is currently coordinating with relevant stakeholders, including exporters, importers and others that have the logistic data so that catch certification can also be made available electronically. This will make it much easier for the competent authority to issue catch certification to those who require it.

Table 1. ACDS KDEs

	1) Catch Landing Point
1	Scientific Name (species)
2	Common Market Name and Local Name
3	ASFIS Code Number, 3-Alphabet Fish Code
4	Estimated Weight (kg)
5	Verified Weight (kg) or Volume (quantity)
6	Location of Catch
7	Catch Description
8	Date of Departure
9	Date and Time of Catch
10	Type of Gear/Method Used
11	Name of Fisher(s)
12	Name of Captain/Fishing Master
13	Names and Nationality(ies) of Fishers/Crew
14	Fishing Company Name
15	Fishing Vessel Owner Name
16	Company Address contacts
17	Name of Fishing Vessel
18	Unique Vessel ID/Registration Number
19	VMS Unit Number
20	Vessel Type/Tonnage (MT)
21	Fishing License Number and Validation Date
22	Validation date for fishing license
23	Flag State of Vessel
24	Date of Port-out and Landing Port Name
25	Date of Port-in and Landing Port Name
26	Date, Time, Location of Trans-shipment; Name of Vessel ID of Receiver
27	Call Sign Number
28	Name of approved fishing authority at Port
29	Address of approved fishing authority at Port
30	Stamp of approved fishing authority at Port

	2) Buyers and Receivers
1	Name of Buyer/Receiver/Company
2	Address of Buyer/Receiver/Company
3	Name of Company Owner
4	Buyer/Receiver business registration number
5	Description of purchased catch by buyer or receiver
6	Verified total weight (kg) of purchased catch by species (3A code)
7	Barcode for Movement Document
8	Date of Purchasing

	3) Processors
1	Name of Processing Company
2	Address of Purchasing Company/Plant
3	Registration/License No.
4	Batch No.
5	Description of Seafood Processed
6	Validation Date (of Processing)
7	Total Weight (kg) of Processed Fishery Product
8	Gov. catch certificate
9	Gov. health certificate

	4) Sellers (Broker/Wholesale)
1	Name of Seller (broker/wholesale)
2	Address of Seller (broker/wholesale)
3	Seller register/License No.
4	Date of purchase (by seller/broker)
5	Product Code
6	Verified Weight (kg)
7	Name of Buyer
8	Buyer Registration No.
9	Date of Sale (to buyer)

➢ *Open Forum Discussion*

Q: Sammy Malvas (Philippines) – I see a lot of very good improvements from the version that was presented at the ASWG, but I have two concerns: (1) The presentation stated that one of the considerations in the development of the ACDS is to avoid unnecessary burden to exporters and importers, which seems to suggest that this system is designed to favor this segment of the value chain. I think the system should not cause unnecessary burden to all players, and not just the exporters and importers. And (2) We are talking of two systems here – the ACDS which is more or less in its final stage of development, and the USAID Oceans CDTS that still needs to be developed. I would like to see that there is clearer alignment of these two systems to ensure we are not developing two different systems and creating unnecessary burden to the AMSs.

S. Siriraksophon – The particular guidance that specified the importers and exporters came from the SEAFDEC Council, but in the development of the ACDS, our objective was to reduce the compliance burden across the entire supply chain. Much of the burden tends to be from paperwork, so our focus has been to develop a strong database system design that will reduce the amount of paperwork needed to provide, for example, catch certification. On the second point, there will be no duplication. The ACDS is voluntary, so it is up to the countries to decide if they want to use eACDS or adopt some other system. The idea is to provide a viable system for the AMSs, especially for those countries that do not have the resources to develop their own traceability system. Thailand has spent between USD20-30 million to develop their CDTS. The eACDS is free.

F. Maruf – I agree and, as I said in my presentation, we do not claim to have the only solution. Our purpose is not to duplicate, but to support, complement and enhance what the countries already have. We are partial to technology that can be adapted to local conditions, because different countries have different requirements, processes and systems. We are looking at how we can support our regional partners with their compliance requirements, particularly for EU regulations and the U.S. SIMP. Our intention is to work with SEAFDEC to develop an end-to-end solution that will help underwrite the technology cost for the countries, enhance connectivity, and facilitate piloting. And for countries that have not started, the ACDS is a great out-of-the-box solution.

G. Silvestre – USAID Oceans' and SEAFDEC's efforts are synchronized and at the end of our work, we will be coming out with a recommendation on KDEs, key system architecture and standards appropriate to the variable information technology, communications, institutional development and regulatory frameworks of the AMSs. We consider the work we are doing as looking at developing universal standards applicable to the region. We are piloting a viable minimum system or elements of it in our Learning Sites in Bitung and General Santos City and, based on our experience there, we will put forward recommendations for best practices, guidelines and a roadmap for the development and interoperability of CDT systems.

Q: Chris Rogers (NOAA) – Are there concerns about the interoperability of the different platforms used for data transmission?

S. Siriraksophon – In Brunei, there was a problem with one of the vessels that didn't have VMS. Our suggestion was for them to enter the data into the app 1-2 hours before they reach port, so competent authorities can verify the data at port-in.

F. Maruf – There may be a problem with cellular coverage in some places, which is why we are testing the small maritime vessel monitoring technology, as well as looking at incorporating the capability to collect data from areas without Internet connection. This Internet connectivity problem is not unique to the ocean sectors; the forestry sector faces the same problem and has come up with solutions.

Q: Muhammad Lukman (CTI-CFF) – There are many apps for data collection; my concern is about data validation. Could you clarify what the expectations from government are with regard to ensuring data quality? Is there any intention to create a data clearinghouse that provides accurate information for decision-making in fisheries management? On the eACDS, I think it is a good app, but is it applicable to small-scale fisheries that account for the bigger portion of fisheries production in the region?

F. Maruf – Your concern about government's role in data validation is shared by the competent authorities we've talked to, especially with respect to the U.S. SIMP. Unlike the EU system, the U.S. SIMP does not specifically require certification by competent authorities in the country of origin, so they ask: Do we fill out the information and six months later they will come back to us and ask us to validate? I think this is a question we should address to NOAA, but my understanding of the U.S. SIMP design is that the exporting countries are

expected to regulate and ensure data quality, which is what we are doing now. There is a plan for the CDTS to incorporate certification for all catch, including catch that is not intended for export. If we can do that, then we can integrate data validation into the system so that, once captured, data are automatically validated.

C. Rogers – It's true that the U.S. SIMP does not require a catch certificate to be presented on imports to the U.S., but if we are doing an audit on the importer and we have information derived from a catch certificate by a competent authority in the country of origin, then that's good because then we don't have to go back to the competent authority. On the other hand, if the information comes from a fishery or situation where no such certification exists, then we will reach out to the competent authority with the information that was reported to us about the origin of the fish to verify the legality of the product.

S. Siriraksophon – In answer to the question on the applicability of eACDS to small-scale fisheries, this is something we are still trying to sort out. I don't think we want to cover the whole country, but if we can identify which small-scale fisheries are linked to species that are targeted for export, it will not be difficult to apply eACDS to those fisheries. In one sense, it may actually be easier to apply eACDS to small-scale fisheries. Small-scale fishers normally operate very near the shore and can use mobile phones to input their catch data, so data capture will not require expensive VMS equipment. The key is to know how they are linked to the export segment of the market chain.

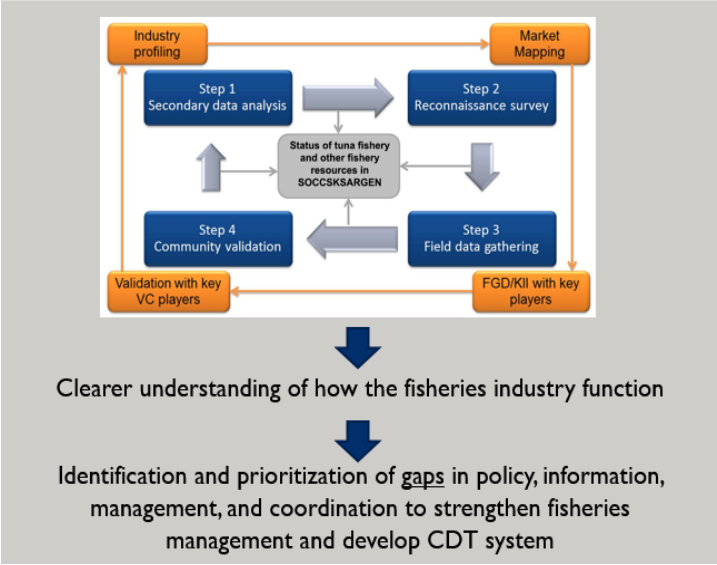
3B: Ecosystem Approach to Fisheries Management (EAFM)

In this session, USAID Oceans Fisheries Management Specialist Len Garces presented the Year 2 updates on the EAFM workstream activities, as well as presided over the open forum.

➢ *Presentation – Workstream Updates*

If CDT is to serve its purpose of providing assurance that seafood production comes from sustainable fisheries, then it must be developed within or alongside a larger fisheries management framework. This is the driving motivation for the EAFM workstream, which undertakes activities to support three of the four USAID Oceans objectives (Section 1.1).

Figure 7. RAFMS/Value Chain Analysis approach used for Learning Site assessments and studies



In particular, the workstream is directly responsible for developing a sub-regional EAFM framework for the Sulu-Sulawesi Marine Ecoregion, EAFM framework plans for Andaman Sea and the Gulf of Thailand, and, in the two Learning Sites, SFMPs or EAFM plans that incorporate CDT interventions and considerations of human welfare and are linked to the national fisheries management system, which then links site-level management to the sub-regional or regional system. The expected life-of-project outputs from workstream strategies implemented at these three levels are listed in Table 2.

Table 2. Expected life-of-project outputs from the EAFM workstream at regional, national and Learning Site level

Strategy	Outputs
Regional • Strengthen regional capacity to conduct training and support EAFM in the region	• EAFM training and training-of-trainers (TOT) modules developed and capacity to conduct training by SEAFDEC and CTI-CFF, as well as contextualizing CDTS within a broader EAFM framework • SSME Plan completed • Regional replication & expansion strategy for CTI Pacific countries • Lessons and experiences informed and strengthened Regional Plan of Action to Promote Responsible Fishing Practices including Combating Illegal, Unreported and Unregulated Fishing in the Region (RPOA-IUU) and other platforms
National • Develop and build capacity to use CDTS to inform fisheries management	• EAFM/CDTS lessons learned, guidelines and communications materials developed, as well as contextualizing CDTS within a broader EAFM framework • National replication and expansion strategy • Capacity of national champions from Expansion Sites strengthened through cross-training
Learning Site • Strengthen capacity to develop and implement SFMP that incorporates CDTS/FIS and human welfare considerations	• SFMP developed and implemented in learning sites. • EAFM training at two or more sites • Capacity of local champions from Expansion Sites strengthened through cross-training

Mr. Garces presented an overview of the Partnership's Year 2 activities by location, summarized below.

Regional Activities	• Engagement with CTI, SEAFDEC and regional fisheries organizations started and in progress – Collaboration with FAO to be expanded, with plans to coordinate on the next Asia-Pacific Fisheries Commission (APFIC) meeting to be held in May 2018 in the Philippines • SSME EAFM regional planning/workshop planned, 23 - 25 August 2017 in Bangkok – builds on the June 2015 CTI/NOAA report with CTI-CFF and SEAFDEC and Draft Sulawesi Sea EAFM plan. Discussions on this workshop started during a meeting with CTI-CFF in March 2016 on the US-DOI grant. The initial plan was for the workshop to focus on the Sulu-Sulawesi Marine Ecoregion, but in January 2017, upon the advice of SEAFDEC, the coverage was expanded to include Andaman Sea and the Gulf of Thailand. The workshop, to be called "Southeast Asia Regional Fisheries Planning Workshop: Taking the Sub-regional Approach" which aims to determine the status of fisheries management implementation modalities in the Southeast Asia region (national/sub-regional/regional initiatives); develop/revisit/finalize regional fisheries management plan for Sulu-Sulawesi and agree on sub-regional regional fisheries management framework and modalities for Gulf of Thailand and Andaman Sea; and strengthen human and institutional capacity of regional organizations to conserve marine biodiversity, including actions to combat IUU fishing. The workshop will result in an updated sub-regional fisheries framework plan for Sulu Sulawesi Seas (with support from CTI-CFF countries) and a first draft sub regional fisheries framework plan on Gulf of Thailand and Andaman Sea. • Planning for development of SFMP/EAFM Training Modules (SEAFDEC, national partners, others)

Learning Site Activities	• In-depth rapid appraisals, value chain analysis, gender analysis and labor studies conducted to inform planning, site assessments and studies were done using an approach that complements RAFMS with the application of value chain analysis across the entire fisheries value chain to then also guide CDT development (Figure 7). This approach will be documented and shared on for possible application in the Expansion Sites. • EAFM Plans/SMFPs developed in both sites – The approach has been deliberately non-prescriptive as to the framework to use because there are several fisheries management frameworks already in place in both countries. In the Philippines, where the focus is on mainstreaming the EAFM planning process, the framework is based on the CTI-CFF-developed EAFM planning process. Indonesia, on the other hand, has adopted the FAO framework that sets goals and objectives based on a consideration of the scope of the fisheries and fishery issues to be managed. The main parameter set was that the EAFM plan should support CDT and incorporate human welfare elements. • For the General Santos City Learning Site, a Fisheries Annex to the Sarangani Bay Protected Seascape Plan was developed. The Protected Seascape Plan aligns to a broader regional plan for Sarangani Bay-Sulawesi Sea and the national fisheries management plan of BFAR • For the Bitung Learning Site, a draft SFMP for North Sulawesi, which is being aligned with the broader FMA 716 plan. • Socialization and adoption of plans planned for the remainder of Year 2 and for Year 3.
Expansion Sites	• Engagement of key stakeholders and partners in Thailand and Malaysia initiated to confirm sites • Initial engagement made with Vietnam to identify potential sites for gaps analysis on CDT • Site profiles for Songkhla, Thailand and Kelantan, Malaysia drafted • Finalized discussions with DOF-Thailand for the small stakeholder workshop for Songkhla, Thailand (28-29 August) • Discussed with Malaysia how to proceed with stakeholder workshop in Kelantan (TBD); initiated discussion with Vietnam – Both Malaysia and Vietnam suggested that the CDT gaps analysis should be done first before the stakeholder workshop

Mr. Garces noted that one insight that emerged from the workstream's initial progression from learning to expansion is that the experience and lessons gained from the Learning Sites may have to be fine-tuned before they can be applied in the Expansion Sites.

Mr. Garces closed by providing an overview of upcoming activities in Year 3, as summarized below.

Regional Activities	• Conduct Regional Workshop (23-25 August) and finalize documentation through 2018 • Complete regional SFMPs for SSME, Andaman Sea and the Gulf of Thailand based on the results of the 23-25 August regional workshop • Provide regional technical expertise support

	• Support development of regional ACDS/CDTS Guidelines and Roadmap, in particular, advise the CDT workstream on the regulatory and fisheries management framework that would support the CDTS
Learning Site Activities	**Philippines** • Complete SMFP for Sarangani Bay, and monitor its implementation • Develop SMFP for Region 12, and conduct workshop to socialize the plan • As requested by BFAR, assist the "Mainstreaming EAFM Planning Workshop" (October 2017) to support the Region 12 Plan • Develop goals and performance indexes (monitoring and evaluation) and expansion strategy including adoption process and socialization/ownership by BFAR **Indonesia** • Complete SMFP for FMA 716 • Develop goals and performance indexes (monitoring and evaluation) and expansion strategy including adoption process and socialization/ownership by MMAF • Conduct meetings and workshop with MMAF/North Sulawesi Province to socialize and finalize SFMP for that area, and monitor its implementation
Expansion Sites	• Complete and finalize site profiles for Kelantan and Songkhla • Provide technical support for EAFM multi-stakeholder planning • Identify EAFM priorities and management objectives that would fit into the management plans that are already in place in the sites • Provide technical assistance in developing site profiles and EAFM planning – This may require both USAID Oceans and SEAFDEC to assist. • Develop site profile for Vietnam site as requested by DOF-Vietnam • Attend inception meeting on the CTI-CFF work to help identify activities to support EAFM in the Pacific Expansion Sites-2

➢ *Open Forum Discussion*

Q: What is the regional framework and how does it link to country and site plans?

L. Garces – "The site-level and national fisheries management plans are within the purview of the fisheries agency of each country. For example, the Philippines has a national fisheries management plan, and national species-specific plans, some of which are linked to international and regional commitments. The EAFM regional plans or framework that will be developed for SSME, Andaman Sea and the Gulf of Thailand, on the other hand, will contain guiding principles for the countries to implement within their national jurisdictions – they are developed and agreed at the regional or sub-regional level but their implementation will mostly be at the country level."

Q: How is the CDTS integrated into the EAFM planning process that is already happening in some parts of the region? How does the CDTS relate to certification bodies like MSC? Are NGOs like WWF and MSC involved in the USAID Oceans CDT work?

L. Garces – I view the CDT as a fisheries management tool that should be integrated into the SFMP and implemented in conjunction with other interventions. The EAFM workstream engages almost everybody, including NGOs and, potentially, the certification bodies; but to be clear we do not prescribe certification specifically. Our approach is to support the countries' priorities and the strategies they would like to pursue, so if they say they are able with their current CDTS to ensure that their fishery products are free from IUU,

we respect and support that, but if they want to go further and have a certification scheme and the industry agrees to that, then we will also support that.

Araya Poomsaringkarn (USAID Oceans) – We have engaged with both MSC and WWF. WWF organized the Global Dialogue on Seafood Traceability, which USAID Oceans supported to specifically develop a minimum KDE list as well as an IT architecture to support the adoption of traceability by the private secto. Similarly, we've been constantly engaging with MSC, particularly with respect to their work on developing a KDE module that's an add-on to their Chain-of-Custody (COC) certification, and aligning their KDE module with our KDE list so people who adopt the USAID Oceans CDTS can potentially apply for MSC certification. At the same time, we want to make sure that all of our efforts support the direction and priorities of the countries.

3C: Public-Private Partnerships (PPP)

There was one presentation by USAID Oceans' Partnership Specialist, Araya Poomsaringkarn, in this session covering two main topics: (1) progress of the PPP workstream, focusing mainly on the partnerships formed to support the development of CDT; and (2) results of VCAs in the Learning Sites.

➢ *Presentation – Workstream Updates*

The USAID Oceans PPP workstream uses a systems approach to create not just one particular type of partnership but almost an ecosystem of partnerships involving technology, financing, markets and supply chains, standards, NGOs and foundations that together can help towards designing the right CDTS, developing the right approach to implementing the CDTS, and creating a financially sustainable CDTS.

The following partnerships have been developed at the regional, national and local levels.

Regional Partnerships	• Global Food Traceability Center – a global traceability partnership to design an interoperable CDTS aligned with global traceability standards • MSC, FishWise, Seafood Watch®, WWF and others – a collective called the Technical Advisory Group that provides inputs to the CDT design process • Future of Fish – Catch Documentation and Traceability System Design Partnership that is helping design the CDTS • Seafood Watch® – provides opportunities to engage with buyers in the U.S. to support traceability and sustainable fisheries in Asia-Pacific and potentially capacity building through the EAFM workstream • Inmarsat Global and local partners – Support the testing, improvement and expansion of integrated communications technology on medium to large commercial vessels particularly in Indonesia and Thailand and potentially throughout the Southeast Asia region. • World Oceans Council – Supports the development of a financial model and investment platform for a financially sustainable CDTS

Learning Site Activities	**Philippines** SFFAII, selected grantee to engage the tuna industry in the implementation of the CDTS in General Santos City. **Indonesia** • IPNLF and AP2HI, to build seafood industry partnerships and awareness in key export markets, especially the EU, to support the development and deployment of CDT and sustainable fisheries management in pole-and-line and handline tuna fisheries in Indonesia. • MDPI, to support (through a USAID Oceans grant) the implementation of a CDTS for small-scale tuna fisheries in Bitung, Indonesia • Marine Change, MDPI, etc., to develop a concept around the Indonesian Coastal Tuna Traceability Alliance (ICTTA) and outline strategy and planned activities for the coming two to three years to hopefully scale CDT throughout Indonesia. ICTTA is an alliance of NGOs working collaboratively on aspects related to traceability, chain of custody and supply chain assessment for Indonesian tuna fisheries. • ADM Capital Foundation, to identify a financing vehicle to scale CDT in Indonesia.
Expansion Sites	**Thailand -** Thai Union, Mars Petcare and Inmarsat are working with USAID Oceans and DOF-Thailand to implement the CDT pilot in Thailand.

➢ *Presentation – Value Chain Analyses Findings*

Ms. Poomsaringkarn presented the results of the Learning Site Value Chain Analyses, conducted by Bold Native Advisors (Philippines) and Marine Change (Indonesia). Results were presented in the learning sites during the stakeholder workshops in the Philippines learning site in February 2017, and in Indonesia in June 2017.

General Santos City, Philippines

Highlights of General Santos City research included CDT status, challenges and opportunities.

- Status overview of CDT
  - Two main types of certificate are required: 1) catch certificate 2) trade certificate
  - CDT in General Santos City specifically is market-driven, with seafood buyers especially in the U.S. and EU demanding improved CDT and the ASEAN catch certification scheme moving ahead.
- Challenges of CDT
  - Supply chain complexity, requiring multifaceted data sources and solutions
  - Ability of smaller operators to pay for CDT in terms of equipment, time and labor
  - Gaps in skills and human capacity, particularly in data management
- Opportunities for CDT development
  - BFAR moving away from paper-based reporting system
  - Potential for risk-based approach that focuses on fisheries where misreporting or other IUU activities might be prevalent
  - Potential for integrating ecosystem indicators into the CDTS
- Tuna exports reflect customers' key drivers for CDT: product quality and food safety, environmental sustainability, concerns over social and ethical practices
  - Total tuna exports in the Philippines in 2015 was 105,466mt ($357.2m in value), of which 72% was canned tuna, 23% was frozen tuna, and 4% was fresh tuna
  - In 2015, EU accounted for 50% of export volume. US 10%. Japan 9%.

- Exports of canned tuna in the Philippines more than doubled over past 5 years

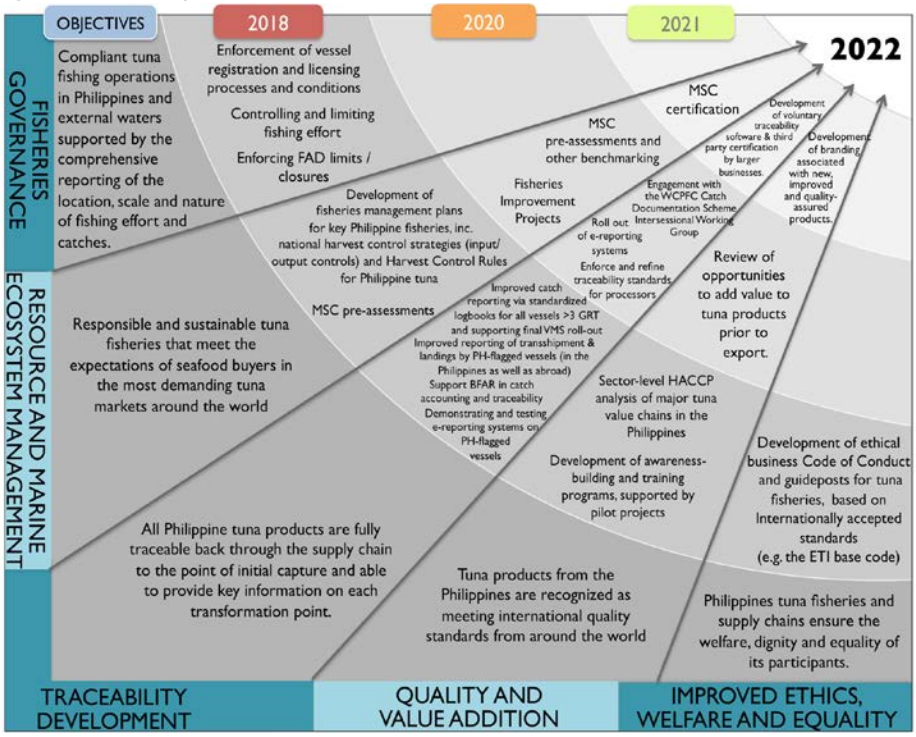
- Export compliance risk analysis
  - The impact of IUU fishing is high
  - Likelihood of non-compliance is moderate
  - Risk can be mitigated through robust monitoring, control and surveillance (MCS) and catch certification (Table 4)

Table 3. Results of tuna export compliance risk analysis for General Santos City

Export Compliance Issue	Impact	Likelihood of non-compliance	Mitigation	CDTS contribution
IUU fishing	High (national)	Moderate – since EU yellow card lifted, but remains under scrutiny.	Robust MCS and catch certificate	Cross check process to verify adherence to monitoring and reporting obligations and that catches, effort and transshipments are verified.
Quality	Low (single shipments)	Moderate – but only temp control at point of entry is assessed.	Good cold chain and traceability system	Documentation of storage/handling temperature throughout supply chain.
Phyto-Sanitary Provisions (PSP) & contaminants	Low (single shipments)	Low – only a few instances of rejection in recent years	Environmental health monitoring and inspection system	Document testing and official inspections.
Dolphin-safe	Moderate	Low – operating approved gears and current compliance with documentation	Monitoring industry standards (observer scheme)	CDTS records capture method and info for Certificate of Origin (for US imports)
Labor practices	Moderate (growing)	Moderate – progress seen, but fisheries sector identified as risk area	3rd party social audits of supply chains. National monitoring and enforcement of labor standards	Traceability records enterprise details on official incorporation and employer status.
Sustainable sourcing	Moderate (growing)	Moderate – not at present, but regional management strengthening	3rd party sustainability audits of supply chains. National MCS and full implementation of regional management.	Catch, Bycatch, ETP and traceability. Provides verification that authorities can monitor compliance.

Following the VCA in General Santos City, the below roadmap for 2018-2022 (Figure 8) was developed covering fisheries governance, resource and marine ecosystem management, traceability development, quality and value addition, and improved ethics, welfare and equality.

Figure 8. Roadmap for 2018-22



Bitung, Indonesia

Highlights of Bitung research included CDT status, challenges and opportunities.

- Status overview of CDT
    - Entities involved in capture fisheries in Indonesia are subjected to various government requirements and licenses (licenses to capture, transport fish or run a fish business)
    - Fishing vessels are subjected to licensing, documentation and monitoring requirements (e.g. registration, logbooks, VMS)
    - Fishing vessels greater than 5GT require catch certificates, issued by the Port Authority
    - There are two catch certificate documents: the initial sheet and the derivative sheet
- Challenges of CDT
    - Despite availability of all types of technology, adoption of CDT is slow because of:
        - Lack of financial/price incentives
        - Cost of equipment for at-sea monitoring
        - Limited connectivity and automation
        - Barriers related to human resource availability (lack of staff to manage traceability related functions); capacity of human resources to manage tools (e.g, Excel and databases); time of the different users to move product further up the value chain; technological readiness; and availability of capital to invest in CDTS, staff training, purchase of equipment, etc.
- Opportunities for CDT development
    - Prevalence of mobile phone use (88% of all fishers use mobile phones, 30% of which are smartphones), with a high prevalence of SMS or data use (94%); while at sea, fishers want access to information: 86% currently require weather updates, fishing related information, or safety information; 91% require family related information.

- Increasing concern about sustainability – Majority of fishers observed that fishery resources have been declining and expressed the desire to support management actions, especially data collection. Many fishers showed a good knowledge of government-led programs and management initiatives.
- Support for compliance incentives – Fishers expressed hope that CDT will result in stable prices/markets and efficiency improvements, and that the system will integrate some kind of financial services or insurance.

The Value Chain Analyses yielded several insights that can also be applied more generally to regional engagement and activities:

- Collaboration among different stakeholders is crucial to a successful CDT
- The CDT pilot is an excellent platform to connect with the private sector/government/stakeholders and understand the business model
- Tracking efficiencies within first mile and understanding in more detail the value proposition between the different modes are important
- CDT should consider financial inclusion and insurance not only as a tool to get fishers engaged but also, with fishers' welfare becoming important for the market, to address demand for socially responsible products.

➢ *Open Forum Discussion*

No questions were raised from the floor.

3D: Human Welfare

This session had one presentation, delivered by Ms Arlene N. Satapornvanit.

➢ *Presentation – Workstream Updates*

The USAID Oceans Human Welfare Workstream has adopted a life-of-project overall strategy that involves the following activities:

1. Undertake interventions on human welfare, especially gender and labor, as cross-cutting efforts integrated into and supporting the EAFM CDT, and PPP workstreams, as well as the other cross-cutting workstream on communications and outreach.
2. Conduct and participate in specific gender and labor-related activities to enhance regional, national, site and overall strategic goals, including gender and labor-related workshops and events at regional, national and local levels, and relevant activities in the various workstreams.
3. Engage with local, national and regional partners to leverage and contribute to the dialogue, policy development and other efforts to integrate considerations of human welfare, particularly gender and labor, into the fisheries sector. Target partners include, at the local and national levels, fisheries agencies, gender and development (GAD) focal points, labor ministry, universities, NGOs, local governments, etc.; and at the regional level, SEAFDEC, the Sweden-SEAFDEC Project, CTI-CFF Women Leaders' Forum (WLF), Asian Fisheries Society-Gender in Aquaculture and Fisheries (AFS-GAF), USAID Countering Trafficking in Persons (CTIP), etc.

At the national and local levels, the Human Welfare Workstream's strategy is to:

1. Strengthen capacity and empower women for sustainable fisheries management and CDTS implementation through the various interventions and in partnership with national and local agencies and associations, particularly in the Learning Sites, where lessons will be drawn and applied in the Expansion Sites.
2. Support advocacies for better working conditions and promotion of improved human welfare in fisheries

Looking ahead to the close of USAID Oceans in 2010, the workstream's objectives are as follows:

1. Increased awareness of human welfare issues in fisheries management across the Asia-Pacific region
2. Gender and labor KDEs integrated into CDT and sustainable fisheries management in the ASEAN and CTI-CFF member countries
3. At least four legal instruments incorporating human welfare aspects drafted and proposed for adoption

Ms. Poomsaringkarn presented an overview of the Partnership's Year 2 activities by location, summarized below.

Regional Activities	• Planning of the Regional Gender Workshop to be held on 21-22 August at Bangkok's Jasmine City Hotel, where the results of the gender analyses conducted in Bitung and General Santos City will be presented in greater detail. This workshop will be attended by the TWG for Human Welfare, SEAFDEC Gender Team, workstream implementers (WinFish, UNSRAT), CTI-CFF WLF, development partners and organizations working on gender equality and women empowerment, and potential donors • Participation in the planning of the Regional EAFM Planning Workshop to be held on 23-25 August back-to-back with the Regional Gender Workshop, where the TWG for Human Welfare will participate and contribute to the EAFM planning process. • Integration of human welfare considerations throughout the program workstreams through the review of the KDEs listed in the KDE Manual for CDTS and planning toward the development of a standalone document on KDEs on human welfare. • Coordination with (a) SEAFDEC Gender Focal Point and team for institutional and regional capacity building; (b) Coral Triangle Center (CTC) for the participation of the CTI-CFF WLF in workstream activities; (c) USAID CTIP; and (d) organizations that work in the labor sector.
Learning Site Activities - Philippines	• Coordination meetings with the BFAR TWG for human welfare • Gender analysis (by WinFish) and labor assessments (by Verité) in General Santos and Sarangani, the results of which were reported during the Integrated Stakeholder Consultation Workshop held in General Santos City in February 2017 • Review of the final labor assessment report, which is ready for submission to USAID/RDMA, with plans to translate the material for IEC (information, education and communication) and advocacy purposes • Integration of fair labor and gender considerations throughout all program activities, which involved: o Review of grant applications for responsiveness to the USAID Oceans human welfare strategy, resulting in the addition of, for example, a gender strategy in the SFFAII grant for CDT o Providing inputs on human welfare to the fisheries component of the Protected Area Management Plan of the Sarangani Bay Protected Seascape

	○ Production of gender analysis and labor assessments summaries, which have been shared to the USAID Oceans-SEAFDEC partnership website • Meetings with other agencies to explore potential partnerships
Learning Site Activities - Indonesia	• Gender analysis (thru UNSRAT) and labor assessments (Verité), results from which were reported at the Integrated Stakeholder Consultation Workshop in Manado, Indonesia (June 2017) • Review of final labor assessment report for submission to USAID/RDMA, with plans to translate material for IEC and advocacy purposes • Integration of fair labor and gender considerations throughout all program activities, which involved: ○ Review of grant applications for responsiveness to the USAID Oceans gender strategy, e.g. MDPI Grant for CDT ○ Production of gender analysis and labor assessments summaries, which have been shared to the USAID Oceans-SEAFDEC partnership website and will also be produced in the local language, with the Indonesian USAID Oceans team helping in the translation • Meetings with other agencies, especially the District Fisheries Office, to explore potential partnerships at the local level
Expansion Sites	• Continued to network with TWG members through communications and regional meetings, including the GAF6 and TWG workshops in 2016 • Organized a social networking group for information exchange and sharing • Shared results from the gender and labor studies in the Learning Sites for regional learning • Drafted country-specific documents on mainstreaming gender in the fisheries workplace (currently in working draft form, to be revisited at the Regional Gender Workshop in August) • Shared relevant information and references

A number of Year 2 activities are yet to be completed and planned for the period before October 1, 2017. These include:

Philippines

- Final local stakeholder validation workshop to be conducted before completing gender final report (WinFish)
- Revision of draft gender final report with comments to be submitted to WinFish
- Presentation of gender and labor analyses results at the National Tuna Congress (6-8 September), which could mark the first time for the tuna congress to include a plenary session on gender and labor
- Production of IEC materials and development of training that include components on gender sensitivity and labor
- Identification of human welfare and gender interventions with respect specifically to EAFM and CDT for General Santos City, based on the gender analysis and labor assessment results (key informant interviews, focus group discussions and surveys), with partner organizations hopefully taking up other aspects that are beyond USAID Oceans' capacity and mandate.

Indonesia

- Finalization of gender report and submission to USAID/RDMA
- Development of IEC materials and training curriculum that incorporate lessons and experiences from the field implementation of human welfare interventions for use by the AMSs and CTI-CFF countries
- Provision of inputs on human welfare for incorporation in the SFMP of FMA 716
- Activities to strengthen the TWG for Human Welfare
- Identification of human welfare and gender interventions with respect specifically to EAFM and CDT for Bitung (Human Welfare Workstream to have parallel activities with the CDT and EAFM Workstreams)

Expansion Sites

- Participation in regional workshops, particularly on EAFM Planning
- Participation in Learning Site visits, which will be determined by the other workstreams' interventions and activities cross-cutting with the Human Welfare Workstream
- Facilitation of the identification of grassroots women leaders in fisheries for recognition by the CTI-CFF WLF
- Production of IEC and advocacy materials, including translation to the local language as may be appropriate (to be undertaken in coordination with the Communications and Outreach Workstream)
- Participation in country-specific events to advocate for human welfare

➢ *Presentation – Recommendations and Lessons Learned*

A number of recommendations for USAID Oceans' approach were deduced from the Human Welfare Analyses, as summarized below. Ms. Satapornvanit also provided an overview of lessons learned that will be integrated into the program approach.

The gender analysis report by WinFish put forward the following recommendations for General Santos City that will be considered at the regional workshops in August:

- Provide for mentorship and technology transfer with local partners and external enablers for capacity building of local stakeholders, especially women, with respect to fisheries and fishery business, specifically as these relate to CDT and EAFM
- Support lobby for the passage of resolutions addressing the practical and strategic needs of women in the various VCA nodes of the industry
- Help organize women's advocacy groups around gender-responsive interventions such as capacity building for women workers to widen their workspaces and increase their paid work hours
- Improve access to information and skills in CDT and EAFM in order to empower men and women stakeholders (particularly municipal and small-scale processors and vendors), improve their understanding of CDT and EAFM, and increase their participation in CDT and EAFM initiatives, along with enablers such as the local government units (LGUs) and national government agencies (NGAs), and large industry players.
- Translate research results into publications, policy recommendations, products and program designs/cycles

For Bitung, UNSRAT's gender analysis report recommended the following:

- Formation of local and national organizations of fisherwomen
- Capacity building and mentoring for women fish processors, particularly on the technical aspects of CDT and EAFM, marketing and group management

- Capital assistance through linkage programs with financial institutions for small-scale fish processors, small-scale capture fishery industries, and small-scale fish vendors
- Promotion of gender equality in public decision making at various levels (*kelurahan* [community], sub-district and city levels)
- Identification and provision of infrastructure needs, e.g. cold storage

For its part, Verité noted in its labor assessment report a technical challenge in the use of technology-based instruments to address labor risks or abuses: Geographic tracking does not provide visibility into workers' recruitment, movement of workers between vessels, health and safety, onsite working conditions, wages, etc., thus necessitating triangulation and verification of the information that is fed into the CDTS. The report recommended that:

- CDT should help make workers visible, by identifying their location
- CDT should mine data on workers from existing documentation and traceability efforts
- Frame data collection should include basic information like workers' names and other identity markers, net income, and safety gear
- The CDTS should be designed in such a way that provides verifiable and reliable information to help buyers make responsible sourcing decisions
- KDEs should be collected directly from workers

Based on the experience in the Learning Sites, the Human Welfare Workstreams identified the following lessons and adjustments needed (Table 5).

Table 4. Lessons from the implementation the Human Welfare Workstream, and adjustments needed

Lessons	Adjustments needed
Human welfare issues in fisheries, although a challenge, should be recognized and addressed in the fisheries agenda so that the needs of the people who are making things move and happen are adequately considered.	Continue efforts to include human welfare in technical discussions, especially on sustainable fisheries management and CDT-KDEs
Gender analysis and labor assessment in fisheries are useful to improving awareness of human welfare in fisheries management and catalyzing action.	Bring in partnerships to mobilize resources for gender analyses and labor assessments in the Expansion Sites to inform fisheries management and CDT policies and implementation.
Shared experience creates opportunities for capacity building and next-step activities.	Incorporate human welfare lessons and experience from field implementation into the capacity building and other activities of the USAID Oceans Team, partners and subcontractors.
Partnership and participation are central to our work.	Pursue closer coordination and communication with existing partners, and expand partnership to include other agencies and organizations with the specific mandate to support human welfare.

➢ *Open Forum Discussion*

Q: Nazario Briguera (Philippines) – I understand we have a session on communications and outreach, but since the need to develop IEC materials was brought up several times in this session, I would like to make a suggestion: Human welfare is a new requirement as far as seafood trade is concerned and there are sensitivities surrounding it, so I think the countries need to come up with a harmonized message, or at least define the

context for delivering our message on human welfare. My suggestion is for the Communications and Outreach Workstream to initiate a workshop to develop that message or context.

Melinda Donnelly (USAID Oceans Communications & Outreach Specialist) – USAID Oceans understands the need to have a unified message across our countries, but each of the countries have different priorities in terms of messaging and spreading awareness on traceability or human welfare issues. I will have a session on Thursday with each of the IEC leads, and I'm looking forward to that being a primarily a discussion-based session where we can identify those priority messages and extend each country a helping hand in developing those messages.

3E: Communications and Outreach

This session was presided by USAID Oceans Communications & Outreach Specialist Melinda Donnelly, who presented the progress report of USAID Oceans Communications and Outreach Workstream, and SEAFDEC Training & Extension Officer Krit Phusirimongkol, who highlighted two periodicals produced by SEAFDEC.

➢ *Presentation – Workstream Updates*

The Communication and Outreach Workstream is cross-cutting through all of the USAID Oceans program areas, operating across the workstreams at all levels of implementation.

Strategy and objectives: At the regional level, the Workstream is tasked to: • Increase general awareness of the Partnership within and beyond the region • Educate stakeholders – and, on a broader basis, consumers – about IUU fishing and traceability • Promote/share program progress for the greater good At the national and site levels, activities and actions are designed to: • Support each of the TWG members, technical areas and technical workstreams in the USAID Oceans program to not only garner buy-in with stakeholders and government agencies in the region, but also to communicate provide program objectives and provide information critical to achieving overall program and specific workstream objectives. • Capture learning site successes for regional learning	
Activities	In 2016 and for the greater part of this year, the Workstream focused on developing communication platforms and materials to support the establishment of the USAID Oceans identity and build brand awareness. These include: • Communication platforms o Program web portal – Launched in April 2017 at http://seafdec-oceanspartnership.org – Provides information about the program, including the program's mission, partners, TWG countries, news updates, trainings and other events, and all program resources – Offers opportunities to feature regional activities and successes, including stories and resources produced by TWGs o *Making Waves* Quarterly eNewsletter

	– Launched in May 2017 (first issue shared to http://www.seafdec-oceanspartnership.org/resource/making-waves-issue-1/) – Has a global audience of about 1,000 across the region and in other parts of the world, especially the U.S. – Provides a quarterly breakdown of activities – Covers stories from the field, and new research and information resources produced by the program – Provides editorial opportunities for TWG delegations (members of the different TWGs, especially the IEC leads, are welcome to share their stories from field implementation) o Facebook forum for TWG discussion and networking (www.facebook.com/groups/USAID OceansTWG) – Platform (a closed group) for TWG sharing, networking, discussion – Provides weekly USAID Oceans updates on newsworthy happenings, USAID Oceans' activities, and new research – Provides opportunity for regional collaboration and sharing – Invites TWG members and USAID Oceans partners to join (visit www.facebook.com/groups/USAID OceansTWG to request access) and share activity updates, event and field photos, queries and polls, and other information of interest (including news, new resources and research from other organizations) • Communication materials (available at http://www.seafdec-oceanspartnership.org/resources/) o Site profiles o Technical summaries of reports o *Fisheries Catch Documentation and Traceability in Southeast Asia: A Conceptual Overview (CDT 101)* (available at http://www.seafdec-oceanspartnership.org/resource/fisheries-catch-documentation-and-traceability-in-southeast-asia-a-conceptual-overview-cdt-101/)

SEAFDEC provided a brief overview of their two publications relevant to the USAID Oceans workstreams:

- SEAFDEC Newsletter – A newsletter that was first published in 1977 and comes out four times a year, primarily for the purpose of enhancing the visibility of the Center and informing stakeholders about SEAFDEC activities.
- Fish for the People – A special publication that first came out in 2003, produced primarily to promote sustainable fisheries for food security in the ASEAN region, using information from SEAFDEC and its member-countries, as well as from other fisheries-related international and regional organizations engaged in activities towards promoting sustainable fisheries

➢ *Open Forum Discussion*

A general question regarding the USAID Oceans program was fielded during Session 3E.

Q: How are the different workstreams are correlated, and how do they all work together to contribute to the overall program goal?

G. Silvestre explained: "While we say that our main workstream is CDT, our objective is not to establish traceability for traceability's sake, but to use CDT to help combat IUU fishing and seafood fraud "in areas where sustainable fisheries management plans are being applied." This is why we are developing CDT vis a vis the larger management regime that the countries are implementing to address IUU fishing, and why we have a workstream related to EAFM that defines our framework for sustainable fisheries management and provides an understanding of where and how validation or verification should happen to make sure that IUU-sourced fish does not get into the supply chain.

"Speaking of the supply chain, the custody of the commodity that is the target of our CDTS is almost always in private hands, from the point of catch when ownership is first established from the common property resource by the capture process, all the way through to the end of the supply chain. This is where the PPP Workstream comes in: We need to work with the fishing industry to establish CTEs – critical tracking events along the supply chain where data collection is mandatory – in order to generate the information or KDEs necessary for traceability. Furthermore, the public sector is not known for efficiency in terms of information and communications technology (ICT), so we need to tap the technical and financial resources, and more importantly dynamism, of the private sector.

"As to human welfare, if you check the international press on labor in the capture fisheries sector, you will see news about trafficking in persons, lack of equity in terms of benefits generated by the fisheries sector, the marginalization of certain sectors, and similar social and ethical issues. These are increasingly important concerns for the markets that we export to, and this is why we have a Human Welfare Workstream that's looking at human welfare considerations and integrating them into program activities.

"And, of course, the Communications and Outreach Workstream is cross-cutting and supports the four Workstreams."

2.1.5 Session 4-5: Partner Presentations

Session 4: NOAA Fisheries: U.S. Seafood Import Monitoring Program (SIMP)

This is the first of three updates scheduled for the day from USAID Oceans development partners. Dr. Christopher Rogers, Assistant Director, Office of International Affairs and Seafood Inspection, NOAA, made the presentation.

➢ *Presentation – U.S. SIMP Updates*

With a seafood market valued at USD96 billion at retail level and 90% of domestically consumed seafood sourced from other countries, the U.S. recognizes its considerable market role in helping to prevent the IUU fishing problem globally. Through the Seafood Import Monitoring Program (SIMP), the U.S. Government hopes to ensure that seafood from illegal acquisition is not accorded a place in the U.S. market.

SIMP establishes permitting, data reporting and recordkeeping requirements for importation of certain priority fish and fish products that have been identified as being particularly vulnerable to IUU fishing or seafood fraud. Its intent is to basically cover all seafood but to have an initial phase in of the program, the program is focused on certain species where IUU fishing is perceived to be a particular problem.

The genesis of the program goes back to the June 2014 Oceans Conference hosted by the U.S. State Department to discuss common interests in preserving the ocean. At that Conference, then U.S. State Secretary John Kerry announced a memorandum by President Obama establishing a Presidential Task Force on Combating Illegal, Unreported, and Unregulated Fishing and Seafood Fraud that was directed to report to the President with "recommendations for the implementation of a comprehensive framework of integrated programs to combat IUU fishing and seafood fraud that emphasizes areas of greatest need." In March 2015, the Task Force put forward an action plan outlining 15 recommendations, including two recommendations (#14 and #15) pertaining to seafood traceability as a means to combat IUU fishing and seafood fraud through the exclusion of illegal and misrepresented fish products from the U.S. market. Following this plan, a committee co-chaired by NOAA and the Department of State was formed to carry out the recommendations.

As a first step, the committee reviewed seafood traceability for domestic production from wild capture fisheries and aquaculture in the U.S. and determined that the U.S. already had effective seafood traceability for the domestic supply chain. What was lacking was traceability on the import side, i.e., information about exactly where seafood imports came from. To address this gap, they proposed a rule on a seafood import monitoring program to establish the origin of fish products coming into the U.S. market by having enough information that could be validated with competent authorities in the areas of jurisdiction where the products were harvested as to whether or not they were legally acquired.

Subsequently, the committee issued a final rule that would have taken effect in January 2017. However, following comments from exporting nations as well as importers that they needed time to put in place the information infrastructure needed to comply with the rule, enforcement has been pushed back to January 1, 2018. In the meantime, the U.S. Government has been conducting an outreach program to work not only with U.S. importers but foreign suppliers as well on exactly what is necessary to become compliant with the program, and over the next several months, NOAA will be conducting the pilot testing of the electronic recording and auditing process described below.

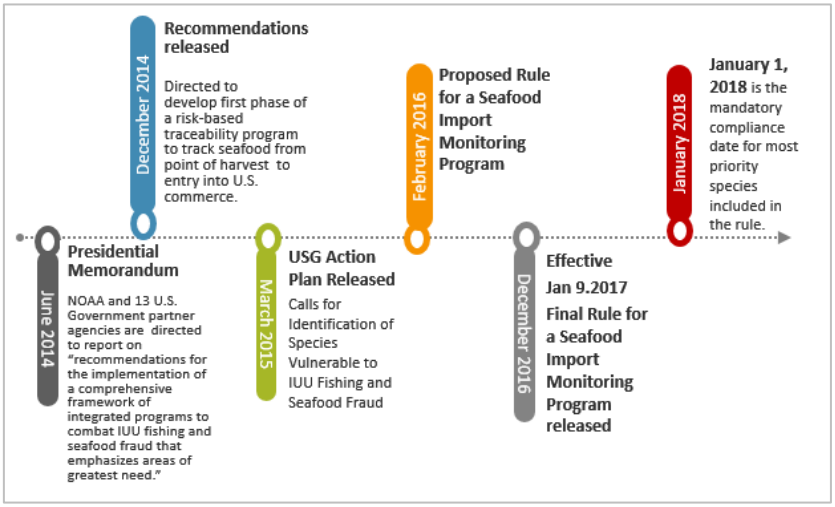


Figure 9. Timeline to enforcement of SIMP

SIMP lists certain "priority species" that will be the focus of the initial phase of enforcement (Table 6). These species were determined to be particularly vulnerable to illegal fishing in several areas around the world, or are misrepresented either as to species or as to their origin. Enforcement for these species will start when SIMP comes online on 1 January 2018, except for Abalone and Shrimp, enforcement for which is on hold because it has been concluded that there are gaps in the traceability reporting system for U.S. domestic aquaculture operations for these species, and that the same standards should apply to both the U.S. domestic industry and imports to the U.S. market. The implementation dates for these species will be announced at a later date, with adequate time provided for the industry to adjust and become in compliance.

Table 5. SIMP Priority Species

Single species	Species groups
*Abalone	Grouper
Atlantic cod	Sea cucumber
Blue crab (Atlantic)	*Shrimp
Dolphinfish (Mahi mahi)	Sharks
Red King Crab	Swordfish
Pacific cod	Tunas (Albacore, Bigeye, Skipjack, Bluefin, Yellowfin)
Red snapper (Atlantic)	
* *Denotes delayed implementation*	

The program is aimed largely at U.S. importers over whom the U.S. Government has jurisdiction. In order to be in compliance, U.S. importers have certain steps to take by 1 January 2018 related to permitting, data recording and recordkeeping (Table 7). And, because they are not immediately in possession of the required records, U.S. importers will have to work with their suppliers to obtain those records, so the exporting country will also have a role to play, even though strictly speaking the rule applies only to a "U.S. Importer of Record," i.e., the importer (an entity or individual) responsible for filing the required documents and ensuring that goods are imported in accordance with U.S. laws.

Two types of traceability information are required:

- Harvest and Landing Information, to be reported electronically at the time of entry filing with U.S. Customs and Border Protection through the International Trade Data System (ITDS).
- Chain of Custody Records, consisting of documents that trace the product from harvest to point of entry into U.S, to be retained by the U.S. importer of record and may be requested in an audit.

At the point of entry, U.S. Customs uses an electronic system, which is a simple Windows system, for capturing all information about exports and imports. Entries that are filed for commodities involving "priority species" will have a flag in the system for additional information as to the origin of those products. If any information is missing, the entry will be rejected, and the importer or customs broker will have to refile the entry with the missing information.

Note that, as shown in Table 7 (right column), the KDEs that are collected at the time of entry filing are basic data already available in most cases based on existing traceability standards (RFMOs, CDS, EU, etc.). Moreover, the approach that the U.S. took in establishing SIMP takes into account the fact that fish in the supply chain and information about that fish are in the custody of the private sector, so the rule is not prescriptive in terms of the documents that must be produced and who needs to validate or sign them. As long as commercially available records can prove the chain of custody of the fish, they will satisfy the requirements – transshipment bills of lading, declarations, invoices, etc. can all be effective tools for the supply chain to comply with the requirements of the rule.

Table 6. Requirements for compliance with SIMP

Responsible Party (U.S. Importer of Record)	Information Required
• Obtain an **International Fisheries Trade Permit:** ◦ Entity/Individual must have U.S. residency ◦ Apply at National Permit System Website: https://fisheriespermits.noaa.gov/npspub/pub_cmn_login/index_live.jsp ◦ Available online now, permit effective for one year, USD30 fee, annually renewable	• **Fish: What, When and Where** ◦ Species of fish – Aquatic Sciences Fishery Information System (ASFIS) number ◦ Landing date(s) ◦ Point(s) of first landing ◦ Name of entity(s) to which the fish was first landed or delivered

• Keep records documenting **harvest** and **chain of custody** of product, such as: ◦ Transshipment (bills of lading, declaration of vessels) ◦ Processing, re-processing, and commingling of product • You will be the **primary contact for audits** • Non-compliance may result in enforcement action • Make a report electronically at the point of entry for U.S. Customs	◦ Product form(s) at time of landing including quantity and weight ◦ Area(s) of wild-capture or aquaculture harvest • **Harvesting or Producing Entity** ◦ Name and flag state of harvesting vessel(s) ◦ Evidence of authorization to fish (permit or license number) ◦ Unique vessel identifier (when available) ◦ Type(s) of fishing gear used ◦ Name(s) of farm or aquaculture facility

In deference to concerns raised during the commenting period for the rule about the ability of U.S. importers to collect data from small-scale operations, SIMP makes allowances for fish sourced from small-scale fisheries involving fishing vessels not more than 12 meters in length or not more than 20GT, and for aquaculture operations making deliveries of not more than 1000kg (in a calendar day). In this case, the fish collector, validator, or processor who receives the fish can create one aggregated harvest report representing the catches or supplies from those smaller operations. The rule does not require that the vessels or farms involved in the harvest are individually identified in the report, but the total weight and number of deliveries must be recorded, along with the other information listed in Table 7, to provide confirmation that the fish come from small-scale operations.

Some important points to know:

- SIMP applies to seafood entering the U.S. from a foreign country, including re-imported seafood harvested in the U.S. (e.g., fish from a U.S. wild capture fishery exported abroad for processing or cold storage and then imported back into the U.S.)
- The information collected by the U.S. Government under this program is confidential and will not be made available to U.S. consumers. However, the same information in the possession of the private sector could be used differently. If a U.S. importer wants to work with their retail outlets to provide more information about the origin of the product, for example, they are free to do so.

What then is the role of the competent authority having jurisdiction at the point of catch or harvest? The U.S. Government recognizes that the competent authority establishes fisheries management to ensure sustainability, implements MCS actions to ensure the fulfillment of fisheries management objectives, and ultimately determines the legality of harvested fish. And so, although the U.S. Government holds the U.S. Importer of Record accountable for providing information, it will rely on and work with the competent authority to verify and validate that information.

For reference, resources are available at the IUU Seafood and Task Force web portal (www.iuufishing.noaa.gov), including model forms and a compliance guide in Q&A format that will be translated into relevant languages. The model forms are not required, but could be used as template for forms that the countries may want to use domestically, or to ensure continued to the U.S. market.

Questions related to the requirements of SIMP should be directed to Celeste Leroux at Celeste.Leroux@noaa.gov. For questions related to entry filing and the pilot testing, Dale Jones (Dale.Jones@noaa.gov) can provide technical feedback on the requirements for the U.S. Customs entry filing.

➢ *Open Forum Discussion*

Many of the questions that were raised pertained to data, documentation and recordkeeping requirements:

Q: How long are records going to be kept?
A: Two years

Q: Would you recommend that the private sector in the country of origin keep records for two years?
A: It is the U.S. Importer of Record that is responsible for producing the records if requested for audit, and it is up to that Importer to work out with their suppliers as to where the records will be housed and how long they should be kept.

Q: Does the ITDS allow a foreign entity – the government or perhaps an industry association – to supply the data required for entry into the U.S.?
A: No. Whether it's information generated by the private sector or information kept by the government, it must be submitted to the U.S. importer or customs broker who will make the entry file.

Q: In Singapore, fish may be sourced abroad and processed before they are exported. In this case, who is responsible for transmitting the records to the U.S. importer? Is it the processor in Singapore or the supplier in the country where the fish was harvested?
A: The private sector involved in that supply chain should transmit the records through that supply chain, so when custody of the fish is transferred, the records pertaining to that fish are transferred along with the fish, either physically or electronically. It is up to the supply chain to work out the most efficient method to ensure that the required information is in the hands of the importer who makes the entry filing.

Q: For the audit, does the rule require specific documents like fishing licenses?
A: Not necessarily, although, of course, it could be an entirely electronic system based on which the U.S. importer in possession of the records, if selected for an audit, could make a pronouncement that he has secured all of the information. But the information could just be a number, such as a vessel number or a license number that we can bring to the competent authority for verification.

Q: Is there a requirement for the competent authority at the point of harvest to provide data for exporting to the U.S.?
A: There is no requirement for a competent authority in a harvesting, processing or transshipping nation to provide any particular document. It is not that we're saying that we don't want government to be involved. What we're saying is that, for our program, it is only information that is necessary to make the entry into the U.S. market – all that needs to happen for the U.S. entry process to move forward is that the required information is submitted. It's when we do an audit that we come back to the competent authority if necessary to validate and verify that the information submitted was true and represented lawful activity.

Q: Your expectation is that the competent authorities will validate the information submitted by the U.S. importer. Do you have any expectation in terms of how validation is going to happen?
A: We will do some random inspections based on entries that are processed. We have direct access to the customs system so we will see entries that are being filed in real time. We might select one entry at random or, because we have screening and targeting criteria, we might block an entry if we suspect that it is an illegally harvested product. Even for products that have been released from Customs we still have the opportunity to review the data and select entries for audit, either at random or based on our

screening and targeting criteria. This is when we might do a trace back to confirm the supply chain and the harvest information that was submitted, and if necessary, go back to the competent authority and request confirmation and validation. In addition, if an exporting or harvesting nation has some particular concerns about certain operations, they can communicate the information to us and we can work with competent authorities to set up screening and targeting criteria and address their concerns. This is what the program is about, combatting IUU fishing globally, so we want to assist those who have IUU problems within their jurisdiction to ensure that their access to the US market isn't curtailed.

Two questions related to possible implications to the producer or supplier in terms of penalty or incentives, or the cost of compliance:

Q: Is there a penalty for the private sector in custody of the fish from the exporting country if there are violations to the rule?

A: There are no direct consequences for the foreign harvester or supplier. The rule will be enforced against the U.S. importer, so it is the U.S. importer that will be subject to sanctions if, for example, the supply chain audit is not able to connect the dots back to the reported harvest event, or it is proven through an audit process that the harvest information has been falsified. But while there are no direct penalties, there could be consequences adverse to suppliers in terms of participation in the market, because U.S. importers facing penalties would have second thoughts about importing from non-compliant suppliers.

Q: Does the program offer fish producers incentives for compliance?

A: Ultimately the incentive for the fisherman is continued access to the market, because IUU fishing is a global issue, and traceability is a trend that is moving forward through many different fora. There is a wave of expectation that producers, consumers and government want to know where fish came from, was it authorized, and was it part of a sustainable fisheries management plan. Certainly, it entails increased cost of doing business, but in large measure, the program tries to address what business is already doing. Records are already being created and kept along the supply chain, and it's only a matter of formalizing them so they can be transmitted.

There were also a couple of questions about the pilot testing:

Q: Could you elaborate on how the pilot testing will be conducted? When is it going to start?

A: We have an implementation guide for U.S. importers that specifies the data elements and the format that those have to be submitted so they can be read properly by the ITDS. Individual software developers now have to step up, write the software to transmit the data in the correct format, and get their software certified by Customs. We're at the stage now where the software developers are writing the software. As soon as we have sufficient number of software providers certified on the ITDS, we will invite importers to participate in the pilot testing, which we hope will take place late August or September.

Q: Will all species be covered?

A: Yes, the pilot will be open to any importer who has certified software and any of the species that are subject to this rule, so basically the system would be operational for any entry that needs to be filed. If one of the data elements is missing, an error message will be sent to the importer, but it won't stop the entry process. When the rule goes into effect on 1 January 2018, such an error will stop the entry process and the entry has to be resubmitted, but for the pilot the idea is to test the system, and to help participants understand how the data elements need to be organized and structured.

And, lastly, one participant wanted to know if U.S. importers "are ready to comply" when the regulation becomes mandatory.

A: We were able to identify the community of responsible parties and tried connect with them as directly as possible to make sure that they understood the program. So yes, some importers were concerned about where the information, and again we explained that the private sector has the fish and they have the information about the fish, and that they need to secure their supply chain. Importers are actively working with their suppliers at this point in time hopefully and explaining these information requirements.

Session 5: Updates on USAID DOI Support to USAID Oceans Partners

This session focused on USAID DOI support to the USAID Oceans Partnership through SEAFDEC and CTI-CFF. USAID Oceans-SEAFDEC Assistant Technical Coordinator Ms Panitnard Taladon presented for SEAFDEC, while Dr. Muhammad Lukman, Technical Program Senior Manager of the CTI-CFF Regional Secretariat, presented for CTI-CFF.

➢ *Presentation – Advancing the Development and Implementation of a Fisheries Catch Documentation and Traceability System in Southeast Asia through SEAFDEC*

This initiative is happening through a memorandum of understanding (MOU) between SEAFDEC and USAID-DOI that was signed in March 2017 and agreed by the SEAFDEC member-countries. Funding support is provided by USAID to SEAFDEC through DOI's International Technical Assistance Program (ITAP). The grant is focused primarily on building capacity within SEAFDEC and the AMSs to improve the traceability of seafood products from capture fisheries in the region, and thus ensure the sustainability of fisheries for food security within the ASEAN Region and beyond. Grant funding runs through 2018 and provides a total of USD250,000 of which USD80,000 has been released to SEAFDEC.

Four main technical components complement the USAID Oceans workstreams, namely:

- CDT development and capacity building
  - Contribute to the development of the CDTS, including ACDS/CDT regional guidelines and roadmap for the region, through a regional workshop and alignment with existing SEAFDEC activities
  - Through the SEAFDEC-Oceans TWG, provide capacity building and technical support focusing on the design, development and adoption of ACDS in pilot countries

- EAFM
  - Organize and implement Regional EAFM Planning Workshop incorporating support to the CTI-CFF in the development of the SSME EAFM Plan
  - Facilitate the participation of the SEAFDEC-USAID Oceans TWG and eligible member-countries in the conduct of targeted EAFM training and capacity building in the Learning Sites in Indonesia and the Philippines

- Integration of fair labor and gender equity considerations in sustainable fisheries management in the region

- Facilitate the participation of the SEAFDEC-USAID Oceans TWG and eligible member-countries in gender analysis activities, the USAID Oceans Regional Gender Workshop in August 2017, and other gender activities
- Assist and participate in workshops on labor considerations in sustainable fisheries management

- Technical and capacity building support to USAID Oceans Expansion Sites
  - Conduct EAFM training workshops on EAFM, with actual Baseline survey & country site profiles
  - Conduct CDT training workshop o at the border of Malaysia-Thailand
  - Conduct PPP and stakeholder engagement training workshop, integrated with SEAFDEC's programs on sustainable fisheries development and EAFM
  - Conduct stakeholder workshop on CDTS performance assessment
  - Provide technical assistance to eligible member-countries for integrating the traceability system with national fisheries agencies

The following activities have been implemented:

- TWG participation in the USAID Oceans Integrated Stakeholder Workshop held on 19-22 June 2017 in Manado, Indonesia
- Participation of the TWG-CDT of Thailand in on-site training in e-ACDS implementation in Brunei Darussalam on 19-22 June 2017
- TWG participation at the 3rd Coral Triangle Fisheries Forum held on 4-6 July 2017 in Iloilo, Philippines

Upcoming activities include:

- Regional Workshop on Fisheries Management Planning in Southeast Asia: Taking the Sub-Regional Approach, 23-25 August, 2017, Jasmine Hotel, BKK, Thailand (invitations have been sent to member-countries)
- Training Workshop on EAFM Steps 1 and 2 with actual baseline survey, 28-29 August, 2017, Songkhla Province, Thailand

SEAFDEC is committed to using the grant for the benefit of its member-countries.

➢ *Open Forum Discussion*

Many of the questions that were raised pertained to data, documentation and recordkeeping requirements:

Q: Which, among the many CDT systems that are available from different organizations, would be "the best" for countries in the region to consider.

A: F. Maruf – The best system is the system that meets your requirements, and that will depend on your KDEs and individual situations. For me, the simpler, the better. It's about having a system that is able harmonize and collect data at the same time, and provides the information you need. As has already been noted, the EU system is based on a certificate system and thus very prescriptive, and I think the ACDS tends to be similar. The US SIMP, on the other hand, is more focused on the information. At the moment, what we are working on is identifying all the data requirements and harmonizing them to create a system of knowledge that service providers or the countries can use to develop a system that meets their own individual requirements. You have to understand, every single data element carries costs – the cost of collecting it, cost of storing it, cost of validating it, cost of processing it. We should put that into the equation

when we offer a CDT solution because, as Somboon has said, CDT should not put additional burden on its implementers.

S. Siriraksophon – I was able to attend the FAO-CDS meeting when they tried to develop the international guidelines on CDT – those guidelines are more related to the RFMO CDS. In this region, our value chain is different because we are more focused on domestic traceability, so we need to develop our own regional guidelines for countries in our region that want to develop their own CDTS.

➢ *Presentation – USAID-DOI Support to CTI-CFF: Strengthening the CTI-CFF's Organizational and Administrative Capacity for Improved Fisheries Management*

The CTI-CFF is a multi-lateral partnership of six Coral Triangle countries (CT6), three of which are represented in this workshop – Indonesia, Malaysia and the Philippines – and the other three are Pacific countries, namely, Timor-Leste, Solomon Islands and PNG. In the past year, the CTI-CFF Regional Secretariat has been developing a work plan in support of the USAID Oceans Partnership, and has now come up with a final plan with seven proposed activities (six of which have been approved), which is a significantly smaller number than the 20 activities that were proposed in the original plan.

The work plan is the product of a year-long process that started in the early part of 2016 with a meeting with the USAID Oceans team at the CTI-CFF office in Manado, Indonesia, and culminated in a consultative meeting with the CT6 countries in Bali, Indonesia in December 2016 where the CTI-CFF countries put together a final work plan that harmonized and aligned with CTI-CFF interests, primarily with respect to EAFM and combating IUU fishiing.

The work plan, which has funding from 2017 to 2017, is based on two objectives, summarized below:

Objective 1. Improve application of EAFM

- CTI-CFF/USAID Inception Workshop: Building a Regional Catch Documentation and Traceability (CDT) System and Advancing Fisheries Management for Strengthening Food Security in Coral Triangle Region
- Learning visit by the CT6 countries to USAID Oceans Learning Sites (General Santos City and Bitung)
- Workshop on CDTS design and development based on EAFM
- Planning meeting for the establishment a Regional Scientific Advisory Group (SAG) on EAFM
- Series of consultative visits by CTI-CFF and Oceans to the CT6 countries for CDT/EAFM implementation

Objective 2. Strengthen collaboration among key CTI-CFF organizations and partners through a series of cross-cutting activities designed to promote country-to-country engagement, build professional networks, and leverage private sector funding.

- CTI-CFF PPP Preparation: Expert-Consultation meeting on PPP design and arrangement
- CTI-CFF PPP Dialogue/Forum, Bali, Indonesia – This is still under discussion with USAID-DOI, but the CTI-CFF Regional Secretariat is counting on this event happening to help bring the USAID Oceans CDT model to the three Pacific countries of CTI-CFF that need capacity in CDT.

The approximate timeline for implementation is as follows:

- August-September 2017: Activity 1.1: CTI-CFF/USAID Inception Workshop, Manado, Indonesia
- February-March 2018: Activity 2.1: CTI-CFF PPP Preparation, Jakarta, Indonesia

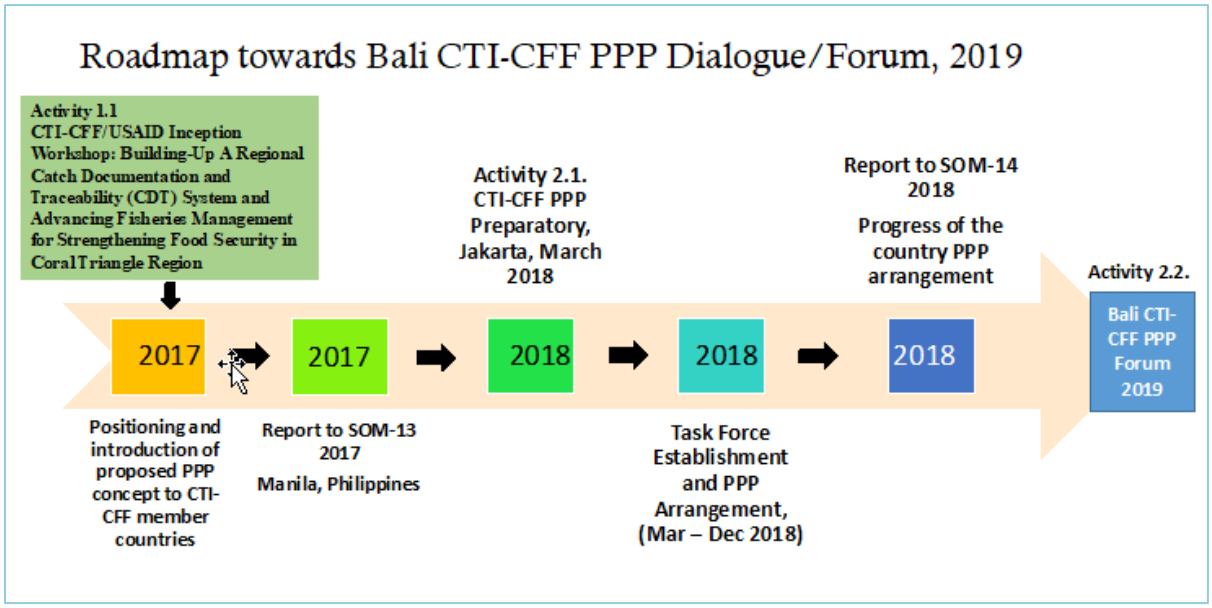
- April-September 2018: Activity 1.2: Learning visits of CT6 countries to USAID Oceans Learning Sites, Bitung, Indonesia and General Santos, Philippines
- July-September 2018: Activity 1.3: Workshop on CDTS design and development based on EAFM, Honiara, Solomon Islands
- October-December 2018 Activity 1.4: Planning meeting for the establishment of Regional SAG on EAFM in, Manado, Indonesia
- June-July 2019. Activity 1.5: Series of consultative visits by CTI-CFF and Oceans to the CT6 countries for CDT/EAFM implementation, CT6 countries)
- April-September 2019 Activity 2.2: CTI-CFF PPP Dialogue/Forum, Bali, Indonesia

CTI-CFF is also discussing traceability outside the USAID Oceans program. The Coral Triangle Fishers' Forum in Iloilo City, Philippines (which the USAID-SEAFDEC TWG also attended), issued a communiqué acknowledging that IUU is a major challenge to sustainable fisheries in the CT region, and that CDT "promotes sustainable fisheries and therefore contributes to combating IUU fishing." The communiqué put forward the following actions:

- Pilot-test or subsidize technologies or applications that convert and analyzes information from paper-based catch documentation to electronic or digital format subject to national consensus and funding availability
- Integrate catch documentation and traceability system in discussions on EAFM in the CT6 when relevant
- Advocate for a global standard on catch monitoring and traceability mechanisms

The CTI-CFF Regional Secretariat is proposing that the implementation of the work plan will be rounded off by the PPP Dialogue/Forum to tie up all the critical components of the CDT – technology, technology investments, financial services, and all of the private sector in the supply, as well as government at all levels. (Figure 10) CTI-CFF has a Local Government Network (LGN) with 100 members that can be an instrument to engage the countries in CDT.

Figure 10. Proposed timeline for implementing the CTI-CFF work plan to support the USAID Oceans Workstreams



➢ *Open Forum Discussion*

Q: L. Garces – When is the inception meeting and will the EAFM TWG of CTI-CFF be involved in that meeting?
A: M. Lukman – The meeting is planned for August 2017, with the USAID Oceans' and SEAFDEC's calendar for August and possibly September seemingly full, the activity may have to be pushed back to a later date. Yes, the EAFM TWG will be involved, and there will be one representative from each country's National Coordinating Committee (NCC) as well. Within the CTI-CFF, we have TWGs consisting of representatives from the countries at the regional level, and NCCs at the national level. At the Fishers' Forum, we agreed on the actions we need to take with regard to CDT. Now we would like to discuss if we can proceed. I think Indonesia, Malaysia and the Philippines will not have a problem, but it will be a challenge for PNG, Solomon Islands and Timor-Leste.

Q: G. Silvestre – What is the status of the grant?
A: M. Lukman – The MOU is signed, but I don't know if the money has yet ben transferred.

2.2 DAY 2 PROCEEDINGS

Day 2 opened with a recap session, followed by four plenary sessions and five small group sessions.

The plenary sessions were all held in the morning and included five presentations, four of which were about "sharing and learning on methodological approaches" and the fifth was an update on the programs, projects and products of FAO relevant to the countries and organizations represented in the room.

The small group sessions, which corresponded to the five USAID Oceans Workstreams, happened simultaneously in the afternoon. Their focus was to deepen the learning and exchange of knowledge, particularly in regard to Workstream methodologies.

2.2.1 Recap of Day 1 and Overview of Day 2

Lead Facilitator, Ms. Lando, provided a recap of the first day sessions, and also an overview of participants profile and outputs from the expectations exercise conducted at the start of the workshop proper on Day 1 (Section 2.1.2). The participants profile and expectations are shown in Annex IV and Annex V, respectively.
Ms. Lando also presented an overview of the day's activities, highlighting in particular the addition of the session on FAO's initiatives that was not in the original program.

Agenda:

- Recap of Day 1 and Overview of Day 2
- Session 6: Value Chain Analysis
- Session 6A: Fisheries Value Chain Analysis: The Economics in Fish Supply Chains
- Session 6B: Gender-Responsive Value Chain Mapping
- Session 7: FishPath – A Decision Support Tool for Fisheries Management
- Session 8: Monterey Bay Aquarium's Seafood Watch® Program: Standards, Assessments and Southeast Asian Fisheries
- Session 9: FAO's Regional and International Initiatives in Fisheries Management and CDT
- Session 10: Small Group Learning Sessions on Workstream Methodologies and Report-outs

2.2.2 Presentations of Research Findings

Session 6: Value Chain Analysis

This session consisted of two presentations on the methodologies used for the value chain studies conducted in the USAID Oceans Learning Sites in the Philippines. Each presentation was followed by an open forum.

➢ *Presentation – Fisheries Value Chain Analysis*

The first presentation, by WorldFish Research Fellow Mr. Paul Ramirez, described the methodology used to assess the status of the capture fisheries subsector in a region in the Philippines called SOCCSKSARGEN, which includes South Cotabato, Cotabato, Sultan Kudarat, Sarangani, and the USAID Oceans Learning Site, General Santos City. The methodology extends the RAFMS approach by using the approach within a value chain context.

RAFMS is a diagnostic tool designed to quickly document and evaluate operating fisheries management systems at the community level. To explain the VCA aspect of the extended methodology, Mr. Ramirez presented three case studies culled from research work conducted in early 2017 by WorldFish to profile the capture fisheries and tuna industry in the SOCCSKSARGEN area, and determine gaps toward EAFM and the development of a CDTS in the area.

➢ *Presentation – Fisheries Value Chain Analysis: The Economics in Fish Supply Chains (based on a USAID/Oceans study on the status of the capture fisheries subsector in SOCCSKSARGEN, Philippines)*

Value chain analysis (VCA) in a fishery is a useful tool for identifying and understanding important aspects of the fishery industry in order to determine strategies to help the industry attain sustainable competitive advantage. To understand what that entails, it is useful to define what "value chain" means, particularly in regard to fisheries.

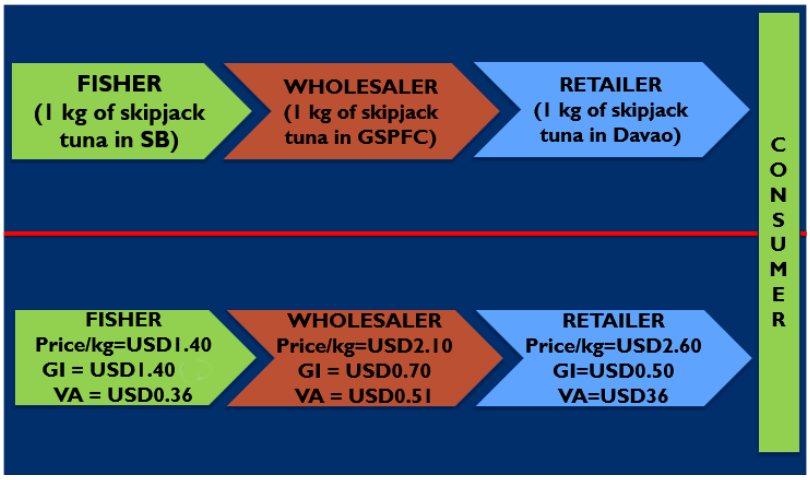


Figure 11. Supply chain vs value chain.

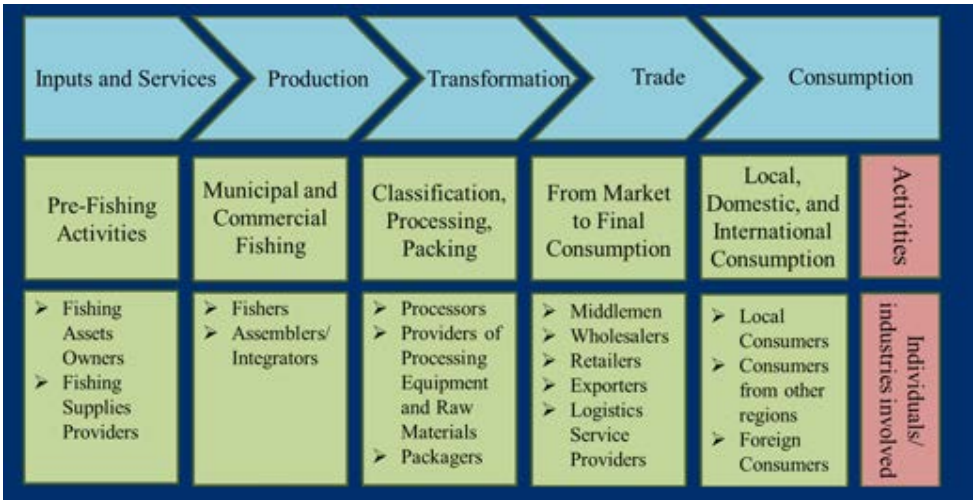
Value chain vs supply chain

A "value chain" involves the full range of activities necessary to bring a product or service through the different phases of production (Kaplinksy and Morris 2001[4]; Heilin and Meijer 2006[5]). It should not be confused with "supply chain" although the two concepts are intertwined and the terms sometimes interchangeably used.

A supply chain shows the different activities that transform the raw material into the final product by following the flow of the product from the upstream side (source) to the downstream side (consumer); a "value chain," on the other hand, describes not only the activities but also the values associated with those activities, i.e., the value that is added to the product by (or net income accruing to) every segment in the chain. Figure 11 is a simple illustration showing this difference, with the top diagram showing a simplified fish supply chain; below it, the diagram shows the price assigned to the fish by each segment in the chain, the portion of that price added by each segment (GI), and the portion of the value added by each segment (VA).

With respect specifically to fisheries, a supply chain or a value chain typically refers to the whole range of activities "from bait to plate" so to speak. As shown in Figure 12, bait includes also the activities – and inputs (services and goods) to those activities – that the fisher undertakes in preparation for the actual fishing activities (production or harvesting), when he or she goes out to sea. Moving further downstream, the specifics vary widely depending on the individual market structure and context of the commodity under study, but generally encompasses the transformation of the product (e.g., through processing, packaging, storage, etc.), trade (i.e., moving the product from one place to another), and finally consumption, which is basically the end of the chain on the downstream side.

Figure 12. Key activities and players involved in moving fish "from bait to plate" in a typical fishery



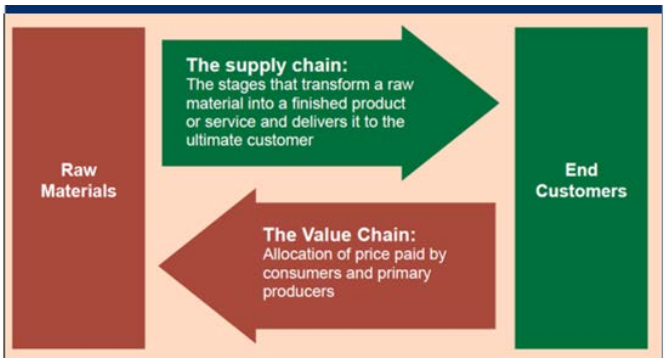
[4] Kaplinsky, R. and M. Morris. 2001. A Handbook for Value Chain Research. IDRC

[5] Hellin, J. and M. Meijer. 2006. Guidelines for value chain analysis. FAO

Methodology

The traditional VCA model is an upstream-to-downstream analysis where activities that directly contribute to producing and delivering the product to the consumer are identified and considered, and then the costs associated with each activity are quantified in order to understand how that activity impacts the value and competitive advantage of the product. A more recent model starts with the consumer at the downstream end of the chain first, in order to understand the consumer's changing needs. (Figure 13)

Figure 13. Supply chain versus value chain *(Adapted from Cox, et al, 2002)*



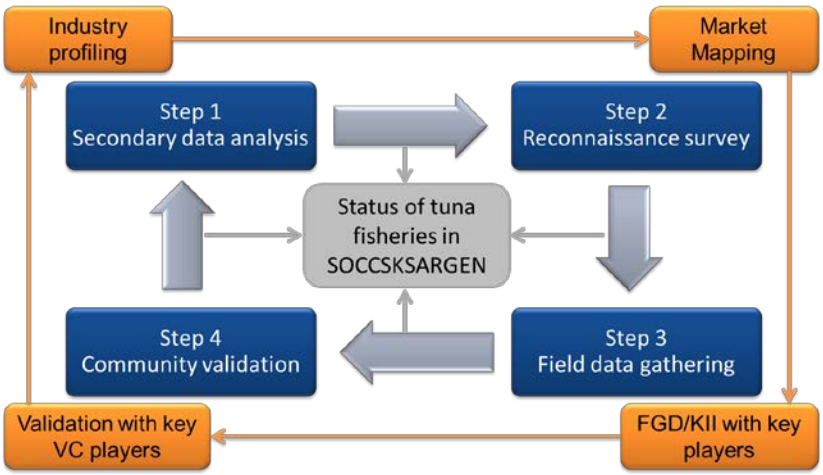
The research model adapted for the USAID Oceans/WorldFish study was based on the "reversed value chain" model, in the sense that it was designed to inform EAFM planning and the development of a CDTS which incorporate social and environmental considerations of fisheries sustainability in response to demand from a growing sustainable consumer segment in the main markets for fish and fishery products from the SOCCKSARGEN area (and presumably to ultimately benefit fish producers and other stakeholders at various scales).

The study was based largely on the RAFMS methodology, which comprises four sequential but overlapping steps:

1. Secondary data analyses, including a comprehensive review of existing literature on capture fisheries and industry assessments;
2. Reconnaissance surveys to validate some of the data collected from secondary data analyses and site visits to initiate stakeholder engagements; 3.
3. Field data gathering using focus group discussions and key informant interviews through local partners who were trained in the RAFMS approach; and
4. Community/stakeholder workshop to validate the initial analyses and implications, and develop scenarios on the future of capture fisheries and fisheries management in the region.

In order to enrich the information collected from stakeholders, the study harnessed the synergies that exist between RAFMS and VCA (Figure 14) by adding a value chain context to the rapid appraisals, and thus bringing into study aspects of the fishery value chain that contribute to specific concerns about IUU fishing and biodiversity loss, and wider concerns related to social inclusion, gender equality, fair labor standards, and food security. For the purpose of explaining the VCA process, however, these considerations are not further elaborated here. In Figure 14, the inner (blue) diagram represents the four-step RAFMS process; the outer (orange) diagram represents the VCA process involving four steps similar to the RAFMS process.

Figure 14. Synergies between RAFMS and VCA



The next three sections describe three cases from the study to illustrate the VCA process empirically.

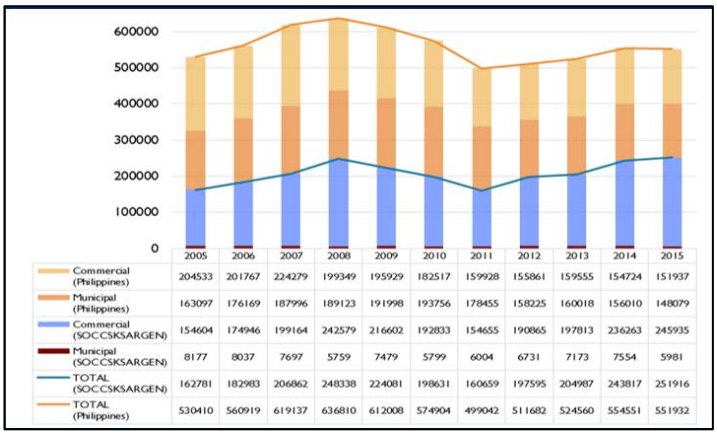
Case 1: (Municipal Tuna) Value Chain Results in the SOCCSKSARGEN Region

This case outlines the steps taken to carry out the VCA on municipal tuna fisheries in SOCCSKSARGEN.

Step 1. Industry profiling. The Philippines has a central statistical authority, the Philippine Statistical Authority (PSA), that is responsible for the collection of primary data, including fisheries production data. This resource served as the main source of secondary data for putting together to industry profile that served as a first step to understanding the tuna fisheries in the SOCCSKSARGEN region.

For example, a comparison of tuna production and prices in the region and national tuna production and prices showed that production and price trends in the region almost perfectly mirrored national production and price trends, indicating that the region is a major tuna producer and that any policy changes affecting regional production impact national production as well. (Figure 15 and Figure 16)

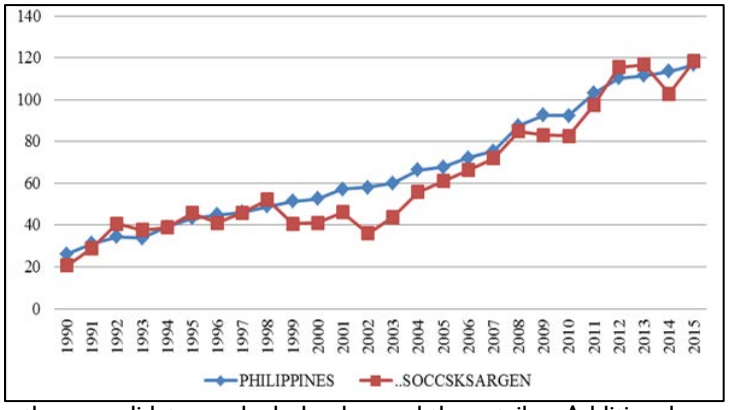
Figure 15. Tuna production in the Philippines and SOCCKSARGEN region



	2005	2006	2007	2008	2009	2010	2011	2012	2013	2014	2015
Commercial (Philippines)	204533	201767	224279	199349	195929	182517	159928	155861	159555	154724	151937
Municipal (Philippines)	163097	176169	187996	189123	191998	193756	178455	158225	160018	156010	148079
Commercial (SOCCSKSARGEN)	154604	174946	199164	242579	216602	192833	154655	190865	197813	236263	245935
Municipal (SOCCSKSARGEN)	8177	8037	7697	5759	7479	5799	6004	6731	7173	7554	5981
TOTAL (SOCCSKSARGEN)	162781	182983	206862	248338	224081	198631	160659	197595	204987	243817	251916
TOTAL (Philippines)	530410	560919	619137	636810	612008	574904	499042	511682	524560	554551	551932

Since tuna is a top fishery export for the Philippines, the study also collected secondary data on tuna exports, which revealed that in 2014, the EU was by far the biggest single market for Philippine tuna in fresh, chilled and frozen form, while the U.S. was the biggest single market for processed or canned tuna, followed closely by Germany and the United Kingdom. Total tuna exports in 2014 was about 118,000 metric tons, 79% of which was smoked, dried or canned tuna. (Figure 17).

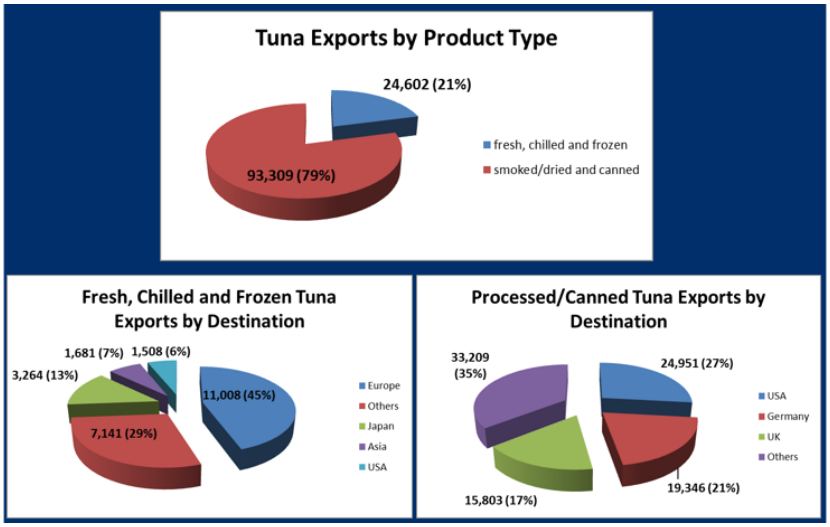
Figure 16. Tuna price trends in the Philippines and SOCCSKSAGEN region



The industry profiling also can provide initial insights on the key players in the value chain. For example, the study found that the municipal fisheries sector in the region has a fairly simple value chain consisting of the municipal fisher, the financier who is generally also the consolidator and wholesaler, and the retailer. Additional information initially gathered about each of these key players included the following:

- The **municipal fisher** is male, ranging in age from 31 to 50 years old, married with 4-6 members in his household. He is literate, having reached or finished high school. He has been fishing for 11-30 years and generally has a monthly income for Php10,000. He will tell you that prior to year 2000, he was fishing within 5 miles of the shore, but is now reaching up to 30 miles from the shore. He doesn't have a GPS and orients himself using a compass or through visible points of reference such as mountains and payaos. He may or may not be registered but if he is, he did so recently because of the efforts of BFAR.

Figure 17. Philippine tuna exports



- The **municipal financier** is either a man or a woman who also consolidates fish for wholesale. He/she is about 30-40 years old, married, and has attained college education. He/she has been in trade for 10-20 years and is one of the few financiers in the community. He/she owns fishing vessels which are rented out to fishers who share with him/her a third of the catch as payment. He/she provides the starting capital of fishers, which can either be in cash or in the form of needed supplies for a fishing trip, such as gasoline, ice, food, and gear accessories. The fish catch of the indebted fisher is sold only to him/her at Php30-35/kg below wholesale prices. The volume of the fish that he/she consolidates varies from 150-200 kg to 2,000 daily, the latter occurring when big fishing vessels land their catch. The consolidated fish is sold to local wholesalers in General Santos City and Sarangani or delivered to Davao buyers who pay in cash.
- The **retailer** is a man or a woman who buys fish from a consolidator/wholesaler in Sarangani fish landing sites or from Market 2 of the General Santos Fish Port Complex (GSFPC). He/she is 30-50 years old, married, and has finished high school. He/she is a registered retailer and rents a market stall where 21-80 kgs of tuna is sold for an average of two days. He/she gets informal financing to buy the fish or bestowed trust by the wholesaler to pay the fish in 2-3 days. He/she does not require his/her efforts for retailing to be paid, saying that income from retailing is to meet family needs, including his/her own.

Step 2. Market mapping. Mapping is simple when the different market segments are known. There are two ways to do market mapping: The first method is to do a tracer study following the product from the downstream side to the upstream side, which means starting at the retail market so see who the retailers are and what products they sell, and then tracing those products to their source.

The second option, which was employed in the study, is to look for a convergence point (a bottleneck or a chokepoint), such as a consolidator who buys fish in large volumes for distribution to many players, and is thus more knowledgeable than other players in terms of where the product comes from and where it goes next. (Figure 18)

Step 3. Field data gathering and analysis. There are several methods that can be employed for gathering field data, depending on what information is required. Three of the most useful and commonly used data used in RAFMS and VCA are as follows:

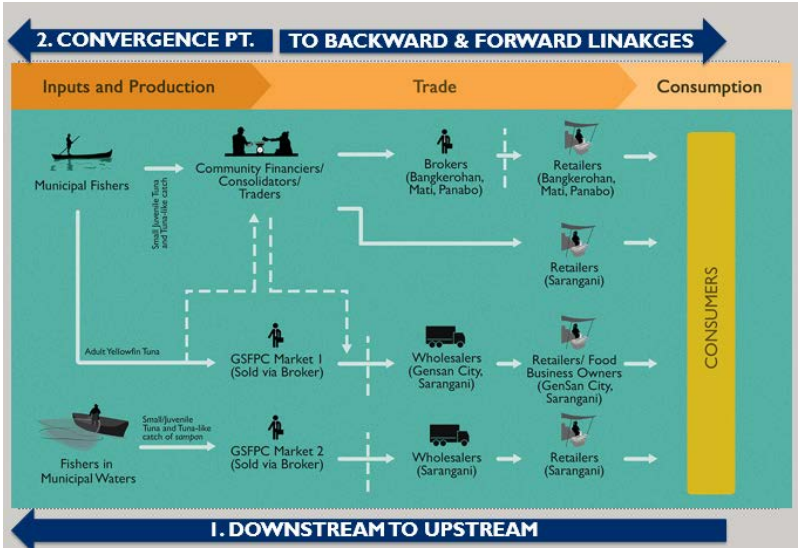
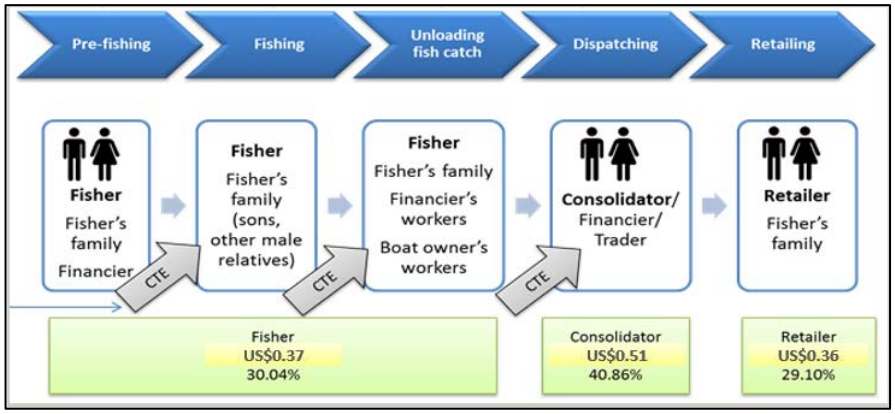


Figure 18. Municipal tuna market mapping

- **Participant observation** – Direct observation of the target markets and informal interviews with market participants
- **Semi-structured key informant interviews (KII) and focus group discussions (FGD)** – Guided conversations on predetermined topics predetermined which allows new questions and insights arise as a result of the discussion (individually or as a group). KII or individual face-to-face interview is particularly useful in cases that require more detailed information or information that cannot be shared with others, while FGDs are more effective when the information sought relates to collective action, such as managing a fishing ground.
- **Structured survey questionnaire** – A way to validate and reinforce the initial findings obtained from initial qualitative research activities conducted.

Analysis of the field data gathered by the WorldFish/USAID Oceans study showed that about 30% of the final sale price of tuna from municipal fisheries goes to fishers, 41% to consolidators, and 29% to retailers. In other words, for every kilogram of tuna sold to the final consumer, USD0.37 goes to the fisher; USD0.51 goes to the consolidator, and USD0.36 goes to the retailer. This distribution of benefits in the value chain is illustrated in Figure 19 – note that the CTEs are also identified in the diagram to help inform the development of the CDTS.

Figure 19. Distribution of benefits and critical tracking events in the value chain of the municipal tuna fisheries sector in SOCCSKSARGEN region



The value that is added to the product by each segment in the chain (called "value added") is the net income of that segment, i.e., difference between the sales of the product and the cost incurred from the inputs used and purchased. It comes from value created along the chain by form through transformation activities like processing, by time through storage, or by places through movement from various stages. It is computed using the following formula:

Value Added (VA) = Net Income = Gross Sales - Costs

The details of the computation of the VA by the fisher and consolidator are shown in Figure 20 and Figure 21, respectively. Figure 22 is a simple quiz to test understanding of the VA concept, the solution to which is shown in Annex VII.

When all the computations were done, the data were combined for comparative analysis (Figure 23) to provide a deeper insight into the value chain. For example, why did the consolidator get the highest per kg VA? Based on an analysis of both the quantitative and qualitative information collected during the study, a determination was made that the consolidator also financed the fishing trips and made the distribution to retailers, which meant therefore the benefits from those activities accrued to him or her as well. But what if there was concern that the distribution of the benefits was disproportionately skewed towards one segment? If so, the analysis could also lead to a suitable recommendation, such as, for example, tapping other sources of credit, including formal lending institutions willing to provide credit to the fisher, perhaps at a more reasonable rate.

Step 4. Validation with key value chain players. This is the final step in the VCA process. In the USAID Oceans/WorldFish study, the results of the study were validated through a series of activities that culminated in a national workshop attended by the stakeholders. Stakeholders had the opportunity to comment on the study, resulting in negotiations on negotiations, agreements, and the finalization on results based on those agreements. results are presented, they provided comments and feedback, so there's negotiation, agreement and we finalized the results based on those agreements.

Figure 20. Value-added for tuna and tuna-like species for a 30-kg catch of a municipal fisher per fishing trip – USD is based on Php50:USD1. Value-added=Gross Sales – Costs. Value-added/kg=Value-added/30kg

Particulars	Amount (PhP)		
Gross sales for 30kg tuna and tuna-like species @ PhP70/kg		2,100	Gross Sales = USD 42
Less: Production and marketing-related expense		1,542	Costs = USD 31
Rice, groceries, cigarettes and other provisions	200		
Charcoal, kerosene, match box	60		
Gasoline, 2 gallons, PhP160/gallon	320		
Ice, 45 pcs of ice in plastic bags, PhP 2.00 each	90		
Fishing gears and accessories expense per trip	210		
Battery, charging per trip (PhP50 x .90)	45		
Batteries for radio and flashlight per trip to include depreciation	50		
Banca rental, 30% of catch (PhP630 x .90)	567		
Value added: (Gross value received less total expenses) PhP2,100 – PhP1,542		558	VA = USD 11 (USD0.37/kg)
Value-added per kg		18.60	

Figure 21. Value-added for 2,000-kg tuna and tuna-like species by community financier/consolidator/trader -- USD is based on Php50:USD1. VA=Gross Sales – Costs. VA/kg=VA/2,000kg

Particulars	Amount (PhP)	
Gross sales for 2,000kg net tuna and tuna-like species at PhP105/kg		210,000
Less: Cost of Inputs: 2,000kg x PhP70/kg		140,000
Less: Cost of Other Inputs: Packing and marketing-related expense		19,388
Commission to broker, PhP5/kg	10,500	
Ice, 10 blocks x PhP240/block	2,400	
Gasoline, 30 liters average x PhP41/liter	1,230	
Management fee, PhP 1,000/trip	1,000	
Laborer's fees for packing the fish and hauling fish tubs to fishcar, PhP150/worker x 4	600	
Driver's fees	1,000	
Assistant Driver's fees	500	
Communication expense, office supplies/trip	50	
Repairs and maintenance of fish car per trip	2,000	
Depreciation expense of hanging 50 kg-weighing scales/trip PhP5,300, straight line 3 years, average of 100 trips/year PhP5,300/3 years/100	18	
Depreciation expense of fish tubs, 200kg load capacity wrapped in packing tapes: PhP1,800, straight line, 2 years, average of 100 trips/year PhP1,800/2 years/100 trips x 10 tubs	90	
Value added: (Gross value received less total expenses) PhP210,000 – PhP159,388		50,612
Value-added per kg		25.30

Gross Sales = USD 4,200

Costs = USD 3,188

VA=USD1,012 (USD0.51/kg)

Figure 23. Quiz: Compute value-added of retailer for 80kg of tuna and tuna-like species

Particulars	Amount (PhP)	
Gross sales for 80kg tuna and tuna-like species @ PhP130/kg		10,400
Less: Cost of Inputs: 80kg x PhP105/kg		8,400
Less: Cost of other inputs		558
Transportation cost from fish landing area to market place, round trip	120	
Labor for loading and unloading of fish	80	
Crushed ice	150	
Market stall rental, attributable to tuna and tuna-like species (50% of other species sold) PhP250/month/30days x 2days x 50%	8	
Electricity and water fees attributable to tuna and tuna-like species, PhP100/day x 2 days x 50%	100	
Sando bags	80	
Depreciation cost of tubs and weighing scale, PhP10/day x 2 days	20	

Gross Sales = USD 208

Costs = USD 179

A MINUTE TO WIN IT!
How much is the total value-added and value-added per kilogram of the retailer?

Figure 22. Distribution of total benefit from tuna product(s)

Particulars	Municipal Fisher	Financier/ Consolidator/ Wholesaler	Retailer	
Volume of tuna sold (kgs)				
Gross value received (selling price/kg)	USD 1.40/kg	USD 2.10/kg	USD 2.60/kg	Gross Sales
Cost of tuna (buying price/kg)				
Cost of other inputs/kg	USD 1.03/kg	USD 1.59/kg	USD 2.24/kg	Costs
Total cost of inputs/kg				
Value added/kg	USD 0.37/kg	USD 0.51/kg	USD 0.36/kg	
Total benefit per individual player	USD 11.16	USD 1,012	USD 28.84	Value Added
Time Involved	3 days	2 days	2 days	

Figure 24. Key players involved in the value chain of Yellowfin tuna caught by commercial handline fishers in SOCCSKSARGEN

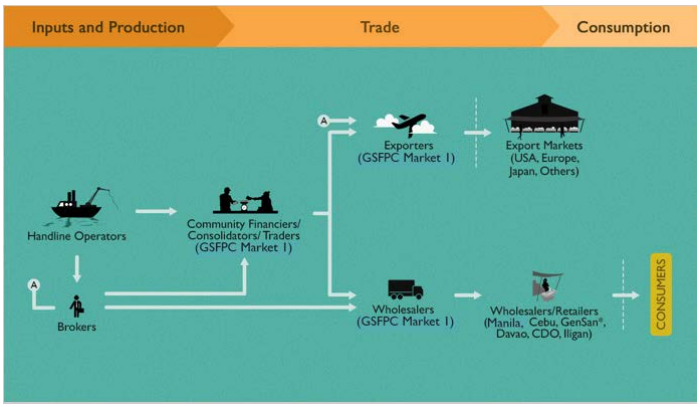
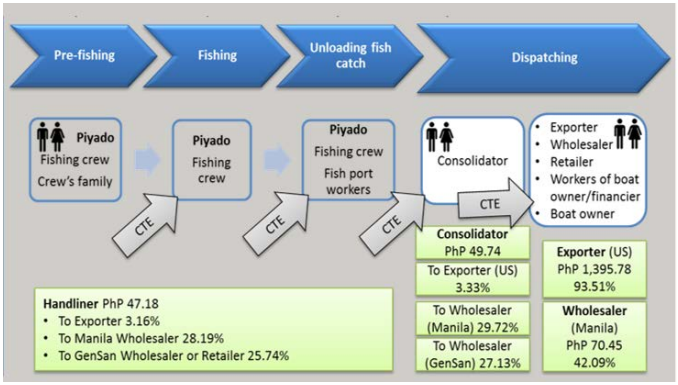


Figure 26. Distribution of benefits among the players in the value chain of yellowfin tuna caught by commercial handline fishers in SOCCSKSARGEN

Particulars	Handliner	Consolidator	Exporter to US
Volume of tuna sold (kgs)	3,500	3,500	3,500
Gross value received (selling price/kg)	200	USD 5/kg	1870
Cost of Tuna (buying price/kg)	-	USD 4/kg	250
Cost of other inputs/kg	152.82	USD 0.01/kg	224.22
Total cost of inputs/kg	152.82	USD 4.01/kg	474.22
Value added/kg	USD 0.94/kg	USD 0.99/kg	USD 27.92/kg
Total benefit per individual player	165,130	174,090	4,885,230
Time Involved	21 days	1 day	1 day

Note: The narrow gap in value-added between the fishing activity and the trading activity. Unlike municipal fishers, the commercial handline fishers finance their own fishing activity, and therefore get to keep the benefit from that activity. In contrast, the consolidator spends only USD0.01/kg in additional cost, and thus generates value-added that is only slightly higher than the handline fisher's. The exporter gets the biggest share of the value-added, largely attributed to network and reputation value.

Figure 25. Value chain of Yellowfin tuna caught by commercial handline fishing in SOCCSKSARGEN



Case 2: (Commercial Handline) Tuna Value Chain Results in SOCCSKSARGEN

This case illustrates how the VCA outputs can be presented, focusing on the VCA results for the commercial handline fishery sector in SOCCSKSARGEN. The USAID/Oceans WorldFish report from the RAFMS/VCA study used different presentation formats to more clearly explain the results. Some of the presentation formats are shown in Figures 24-27.

Case 3: (Commercial Ring Net/Purse Seine) Tuna Value Chain Results in SOCCSKSARGEN

This case illustrates how the quantitative analysis can be extended beyond the so-called "key players" in the value chain in order to identify potential issues and opportunities that need to be addressed in EAFM or the development of the CDTS.

Commercial ring net or purse seine fishers make up the sector that catches tuna in the high seas. Some of the tuna are sold to traders and some to wholesalers, but most go to processing plants and eventually mostly exported to other countries. Figure 28 shows the key players identified by the study through a mapping of the value chain of tuna from commercial ring net or purse seine operators. As shown, these key players are identified as the purse seine/ring net operators, brokers, community financiers/consolidators/traders, processing plants/canneries, wholesalers, retailers, and the local and export markets. What is not immediately obvious in the diagram is that there are many other people who are involved in the chain, including the people who are actually catching the fish, i.e., the fish laborers or workers employed by the commercial operators. To understand the situation of these "invisible" players will require a more detailed analysis of the value chain, as explained in Figure 29. To gain an insight into the value that accrues to the people who actually catch the fish in a commercial ring net or purse seine operation, it is not enough to compute the overall value-added (VA=Gross Sales-Costs). This value analysis from the USAID Oceans/WorldFish study is an example of the higher resolution analysis needed to determine the value added that can be attributed to the fishers employed in a commercial fishing operation. It takes into account (A) the operational costs paid out to the fishers, namely, "backing fees" or cash advances given before the start of the fishing trip (the fishing trip can last almost a year, so the workers need the money to support their family for the entire time they will be away), and their share in the net income from the sale of the fish, which is usually divided equally between the fishers and the operator (owner of the boat). In this example, the total value-added that could be attributed to the fishers was USD107,181, or about USD0.13/kg. Note,

however, that (B) "fishers" in this case are composed of a master fisher ("piyado") and the fish workers, who get different shares: the master fisher gets 10% of the fishers' 50% share, and the rest is divided among the fish workers, who number about 39. Because of his level of skills, the master fisher is paid better and, in addition, is usually provided by incentives based on the net income of the activity. In this example, the master fisher received a monthly income of USD1,229, while each of the fish worker was paid USD198 per month, or about USD7.60 per day, which was above the minimum wage (USD5.44) for the agriculture sector in SOCCSKARGEN at the time. At face value, this is fair compensation, but must also be weighed against the potential social costs of paternal absence for the fishers' children.

Figure 27. Value added by each segment and critical tracking events (CTEs) in the value chain of Yellowfin tuna.

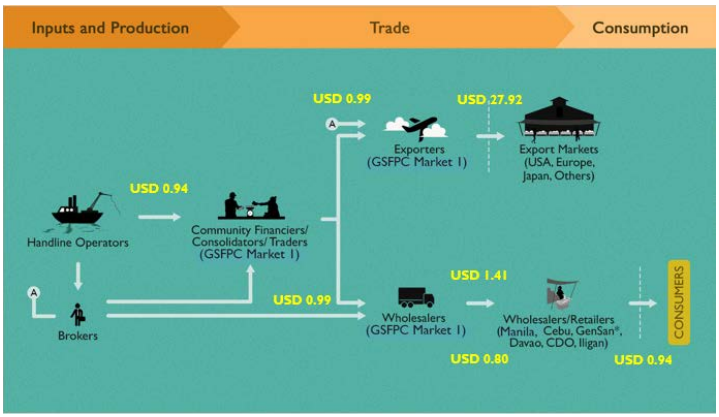


Figure 28. Key players in the value chain of tuna produced by commercial ring net and purse seine operations in SOCCKSARGEN (fish laborers/workers who actually go out to sea to catch the tuna are "invisible" in this diagram).

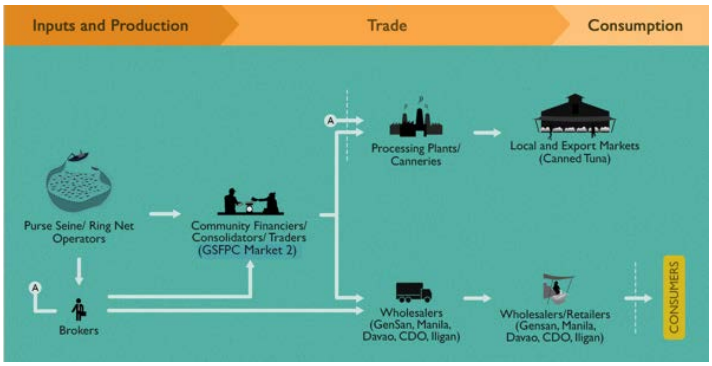


Figure 29. Value analysis showing the value-added that can be attributed to fishers involved in the value chain of tuna produced by commercial fishing operations in SOCCSKARGEN.

(A) Operational costs paid out to fishers -- USD is based on Php50:USD1. VA=Gross Sales – Costs. VA/kg=VA/2,000kg

Particulars		Amount
Gross value received for annual catch of 840MT at PhP50/kg		42,000,000
Less: Marketing and Production-related fees		27,216,269
Brokerage fee (10%)	4,200,000	
Labor fees for unloading	1,088,640	
Backing fees	USD 30,240	
Carrier vessel operating expenses	14,079,744	
Payao (FAD) expenses	6,335,885	
Net Sales		14,783,731
Less: Maintenance & Other Operating Expenses		7,789,100
Fuel	4,500,000	
LPG	69,600	
Food and water (crew)	1,440,000	
Medicine	24,000	
Repairs and Maintenance	1,000,000	
Allowances/incentives	220,500	
Dry docking fees	500,000	
Observer's fee	35 ,000	
Clearance Fees/Licenses	30,000	
Net Income		6,994,631
Share of the crew, 50% of net income		USD 69,946
Pyado or master fisher, 10% of share of crew	349,732	
Rest of the Crew	3,147,584	
Management's Share of 50%		3,497,316
Less: Incentive of Piyado from Mgt's share 10%		USD 6,995
Unloading fee to PFDA PhP0.10/kg + 12%VAT		94,080
Value-added (Gross value received less total expenses) or PhP42,000,000 – PhP38,852,417		3,147,583
Less: Depreciation Cost of Vessel, manual hauling (PhP50M straight line, 30 yrs.)		1,666,667
Value-added with Depreciation cost		1,480,916
Value-added with Depreciation cost per kg		1.76

Gross Sales = USD 840,000

Costs = USD 810,382

VA Attributed to Fishers = USD 107,181 (0.13/kg)

VA = USD 29,618 (0.04/kg)

(B) Fishers' value addition through labor

Pay of *Piyado*		Pay of Crew Member	
Particulars	Amount	Particulars	Amount
10% of total share of the crew	USD 6,995	Individual share of each of the remaining 39 crew	USD 1,614
Equal share from "backing"	USD 756	Equal share from "backing"	USD 756
10% of management's share	USD 6,995		
Total Income for the year	USD 14,745/	Total Income for the year	USD 2,370/
Monthly Income	USD 1,229	Monthly Income	USD 198

Contributions of the study to the USAID Oceans program

The study supports the USAID Oceans objectives by:

- Informing the EAFM Workstream in terms of identifying potential issues and opportunities that need to be addressed in EAFM, particularly in regard to promoting the welfare and wellbeing of the people using or managing fisheries resources, which is an integral component of any sustainable development program;
- Contributing directly to the Human Welfare Workstream by providing wealth distribution analyses that provide insights into potential issues related to equity and marginalization;

- Helping advance the PPP Workstream by building partnerships through the study process itself, which requires creating and promoting relationships with the different stakeholders who will ultimately determine the sustainability of the initiatives started by USAID Oceans;
- Supporting the CDT Workstream through improved understanding of the players and CTEs in the fishery value chain, particularly in SOCCKSARGEN; and
- Contributing to the Communication and Outreach Workstream through outreach and learning opportunities arising from the consultations and interactions with stakeholders that occur during the conduct of the study.

➢ *Open Forum Discussion*

The questions that were asked during the open forum were mostly about specific information that seemed to be missing in the study, such as:

Q: Information that might indicate whether or not CDT would reduce value added, or whether or not a CDTS might be a burden to fishers, and what incentives might encourage fishers to comply.
A: Mr. Ramirez said the study could indeed show "whether or not the CDTS will be beneficial, or how it will affect the current value-added, because the cost of documentation will be part of the cost." To which Mr. Rogers added that the incentive could be in the form of market access and price premium at the retail end "to the extent that the CDTS provides information that the retailer can pass on to the consumer and move the consumer to pay a higher price" to purchase a product that carries an assurance of sustainability.

Mr. Ramirez also said that, from an EAFM perspective, the CDTS could contribute to the elimination of IUU fishing, and eventually lead to "bigger fish that can be a sold at a higher price," which could then translate to higher value added for the fisher.

Mr. Ramirez said the study could indeed show "whether or not the CDTS will be beneficial, or how it will affect the current value-added, because the cost of documentation will be part of the cost." To which Mr. Rogers added that the incentive could be in the form of market access and price premium at the retail end "to the extent that the CDTS provides information that the retailer can pass on to the consumer and move the consumer to pay a higher price" to purchase a product that carries an assurance of sustainability.

Q: Price range or variations, and factors that influence the value to the fisher, such as seasonality of production and the presence of middlemen
A: Mr. Ramirez said the study used prevailing market prices, averaged to account for variations due to seasonality. The actual values were not included in the presentation but they will be included in the report, along with some recommendations based on the insights that can be gained from an analysis of the values. For example, the consolidator provides value to the fisher by supplying financing for inputs necessary for fishing. If it is determined through an analysis of the values that this practice is being abused, the report will offer recommendations to address the issue.

Q: Recommendations (including "price controls") for protecting consumers, particularly local communities, especially in cases where the value chain appears to be skewed towards a few people, particularly the exporter.
A: With regard to consumer protection, price control may be feasible in countries "where there is a more centralized government," but a recommendation of price control is not likely going to work in the Philippines. "The market is already working," Mr. Ramirez said. The apparent skewness of the value chain reflects the high value added of the network of business relationships that the exporter has established. "It

has not been well studied how to value that network, but there is a high value placed in the export activity, because not everyone has the ability to turn business relationships into a network that makes exports possible."

Q: Recommendations for addressing gaps in each segment of the value chain that may be identified in the study
A: Mr. Ramirez confirmed the report will include other recommendations to address gaps identified in the VCA. He clarified, however, that VCA is just one component of the rapid appraisal, and that recommendations will be developed based on the findings of the study as a whole.

Q: Labor costs incurred by municipal fishers
A: Labor costs are not included in the VCA of municipal fisheries because these fisheries are typically family ventures involving family members who are generally unpaid. Technically, it is possible to put a value on labor contributed by unpaid family members to the fishing activity, but this is not usually done in the Philippines because of cultural and societal sensitivities. Family members regard the fishing activity as a way for them to spend time together, "a bonding type of activity," Mr. Ramirez said. Ms Lando agreed, "In our experience, the wife or children see the labor they contribute as a responsibility, or a way to show respect or love for their family, and they don't want to put a value on that."

Q: Analysis of the status of fishing fleet in the Philippines, particularly large fishing vessels operating in the Pacific
A: The report will include analysis of the Philippine fleet of large fishing vessels, specifically Philippine-flagged purse seine and ring-net vessels operating in the Pacific, Mr. Ramirez confirmed.

On whether the report will be shared, Mr. Garces said that, when it is ready for release, the final report will be made freely available on the USAID Oceans website at seafdec-oceanspartnership.org.

Session 6B: Gender Responsive Value Chain Mapping

This session was a presentation on the methodology employed for a gender analysis on Philippine fisheries focusing on the port of General Santos City. The study was done by the National Network for Women in Fisheries (WinFish) through a sub-contract with USAID Oceans. Dr. Marieta Sumagaysay, WinFish President, made the presentation, followed by an open discussion forum.

➢ *Presentation – Gender-Responsive Value Chain Analysis (GRVCA)*

GRVCA in a fishery is a useful to (1) determine the gender differentials in roles, activities, needs, opportunities, and constraints along the fisheries value chain, (2) identify the gender issues along the value chain, and (3) generate recommendations for gender equality and empowerment as these relate to EAFM issues such as, for example, IUU fishing.

Identifying and understanding the gender differentials helps ensure that the need is addressed for tailored rather than generic interventions in a sector where gender representation may be segregated or biased. For example, in many of the tuna value chain activities, the woman is invisible, i.e., they are unpaid for their work or are not included, and therefore are not involved in making decisions on matters that affect them. When given a paid job, they often remain observers or assistants, unable to move to higher positions because of the "glass ceiling." This means their potential as a human resource is not fully tapped. Through GRVCA, these gaps can be identified and

interventions focused on enhancing chain productivity through greater allocation of economic resources to women's hands; improving women's economic empowerment through wider opportunities to make economic decisions; recognizing and addressing women's needs, thus, contributing to their work efficiency; expanding work spaces for women; providing women leadership and decision-making opportunities; and capitalizing on the women's inherent skills to facilitate knowledge transfer and implementation of interventions.

Methodology

The study methodology involved five steps:

1. Surface the differential situation of men and women in the tuna value chain;
2. Identify the differential roles and responsibilities of men and women;
3. Analyze the differential access to resources of men and women;
4. Identify gender differentials in needs, issues and concerns; and
5. Determine the interventions needed to address gender equality and women's empowerment concern.

Primary data were collected through a survey of 250 individuals using a paperless method where questionnaires were filled out directly in computer tablets using Open Data Kit (ODK), a free, open-source set of tools for mobile data collection. In addition to the survey, there were 10 FGDs, which consisted of four all-male FGDs, four all-female FGDs, and two mixed groups, with representation from across the different value chain nodes. KIIs and field observations were also conducted.

Defining the gendered value chain activities

The first step was value chain mapping, starting with a "gender blind" value chain matrix template (Figure 30) to identify activities in each of the value chain nodes (input provision, production, transformation/processing, and trading); meso enablers (e.g. associations, coops, chambers, development agencies, support services, subsector organizations); and macro enablers (usually government bodies and public institutions). The resulting value chain maps were, as expected, "gender-blind," as shown in Figures 31-33.

Figure 27. "Gender-blind" tuna value chain mapping matrix template

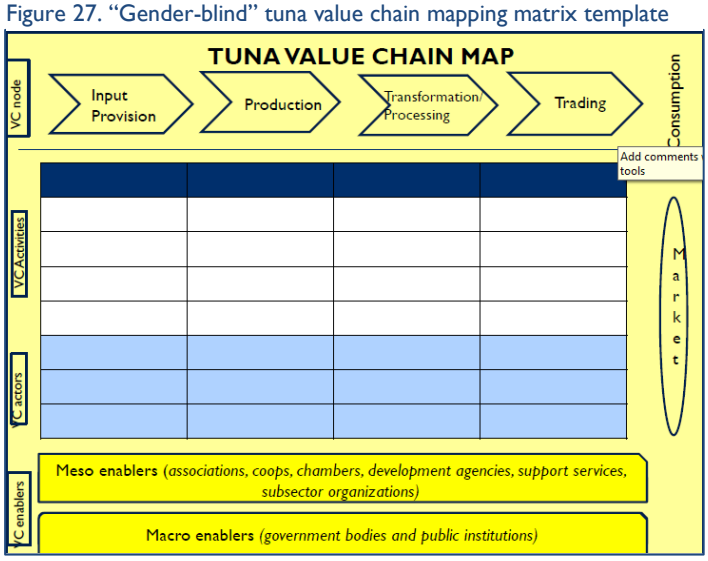


Figure 28. Value chain in municipal tuna fisheries

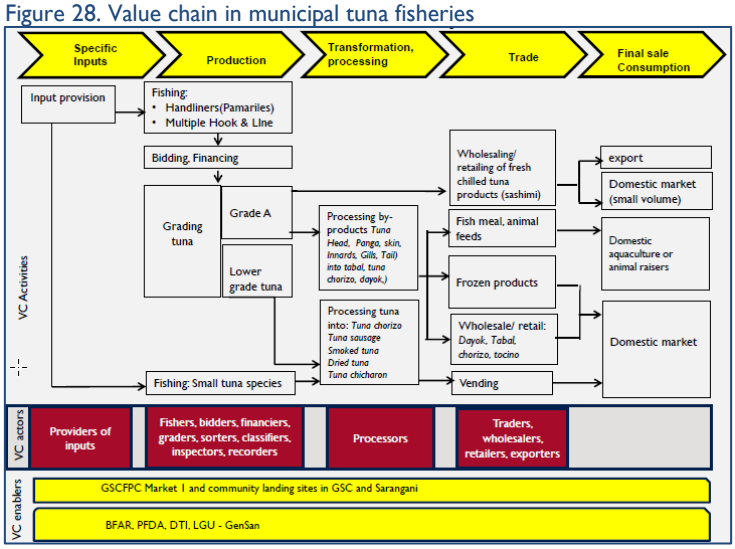


Figure 29. Value chain in commercial handline fisheries (*pamariles*)

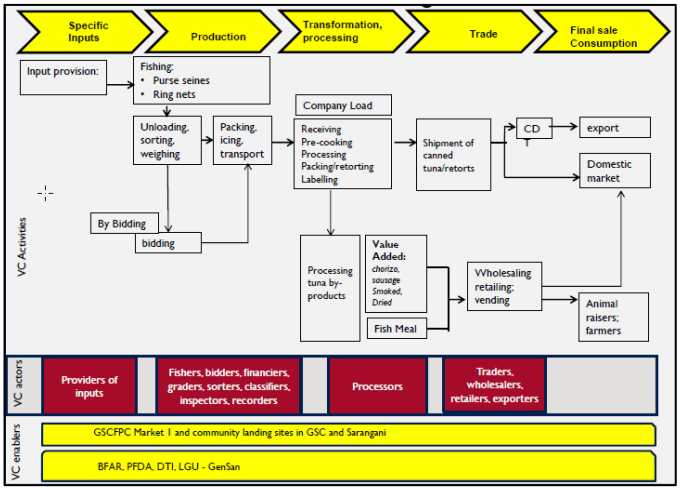


Figure 30. Value chain in purse seine and ring-net fisheries

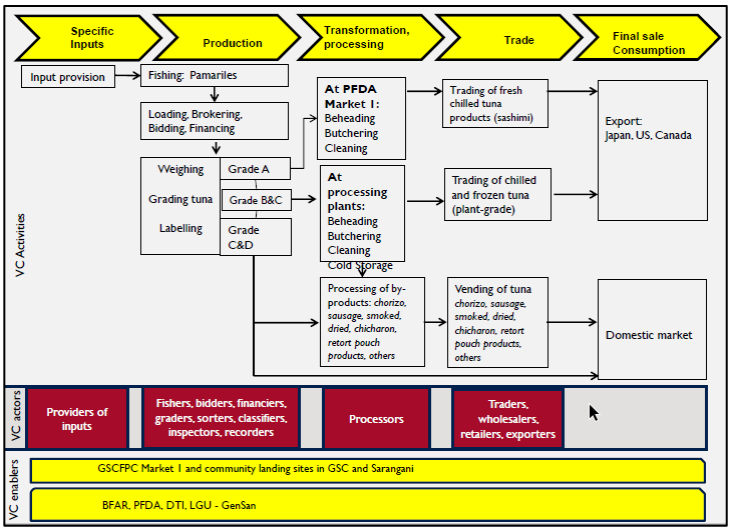
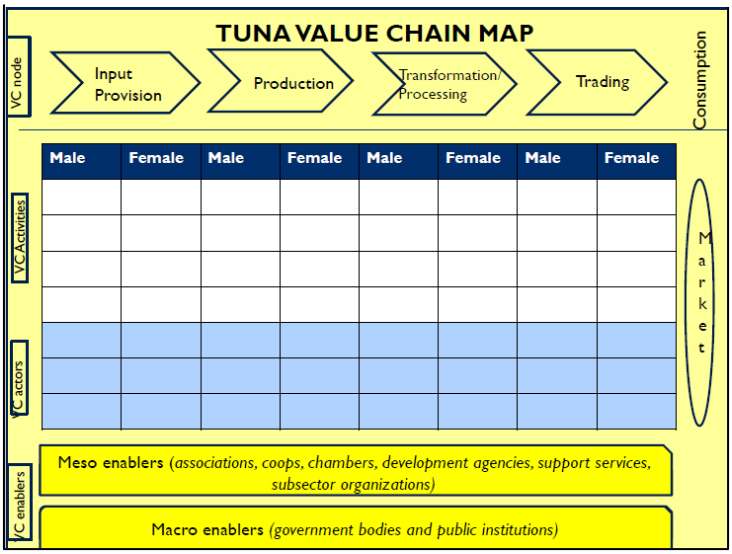


Figure 31. "Gendered" tuna value chain mapping matrix template



Gendered value chain activities were identified, by answering the questions: Where are the men? Where are the women? Who does what? What do women do? What do men do? When, where, and how?

This exercise was facilitated through the use of a value chain mapping matrix template, such as the one shown on the left (Figure 34), which provides for data inputs by gender.

The resulting gendered value chain maps are shown in Figures 35-36.

Figure 32. Gendered map of the value chain in small-scale tuna fisheries

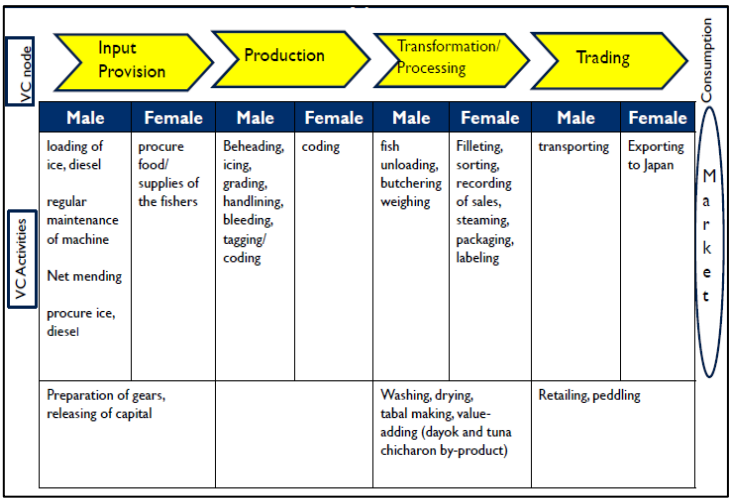
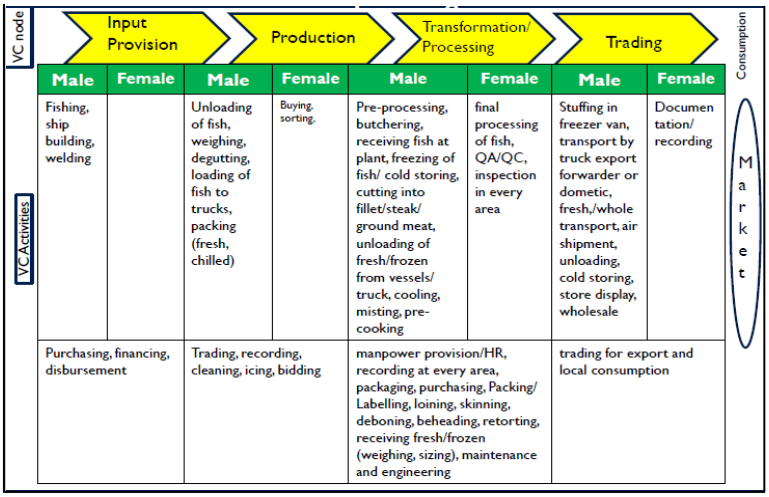


Figure 33. Gendered map of the value chain in large-scale tuna fisheries



Identifying the opportunities and constraints to gender empowerment in the tuna fisheries value chain

After mapping, the opportunities and constraints to gender empowerment in the tuna fisheries value chain were identified using the following guide questions:

Constraints:

- What are the possible reasons for the chain to hinder women's participation, economic empowerment and gender equity in the industry?
- Which of these reasons will most likely adversely affect the women? The men? Those in the lower income groups? Indigenous people? Persons with disability? Other marginal groups?

Opportunities

- What are the possible enhancers of the value chain which promote women's economic empowerment and gender equity?
- Which of these enhancers will mostly help the women; the men; those in lower income groups?

Raw data were placed on a template that provides for data inputs by gender and by value chain node, as shown in Figure 37. Example results are shown in Figures 38-39. These results, particularly the information on constraints, fed into the next step, which is the identification of gender issues and concerns at each value chain node.

Figure 35. Tuna value chain map: Opportunities and constraints matrix template

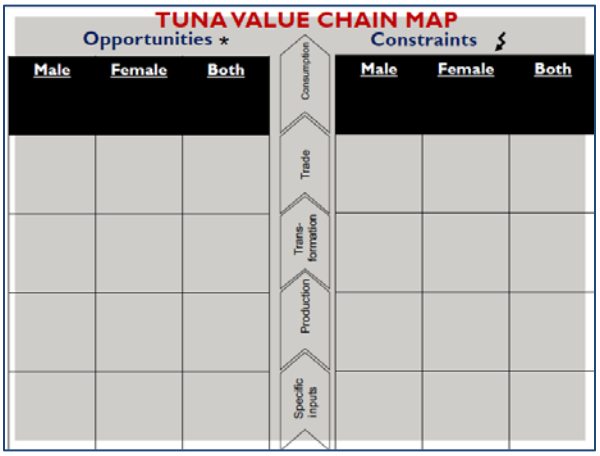


Figure 34. Example differentials in opportunities and constraints: Small-scale tuna fisheries

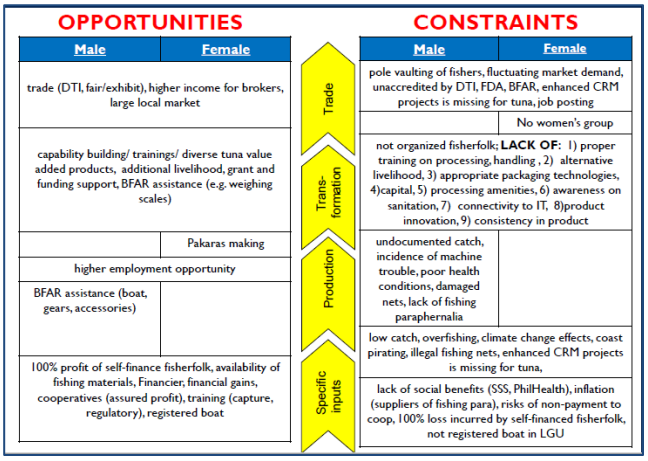
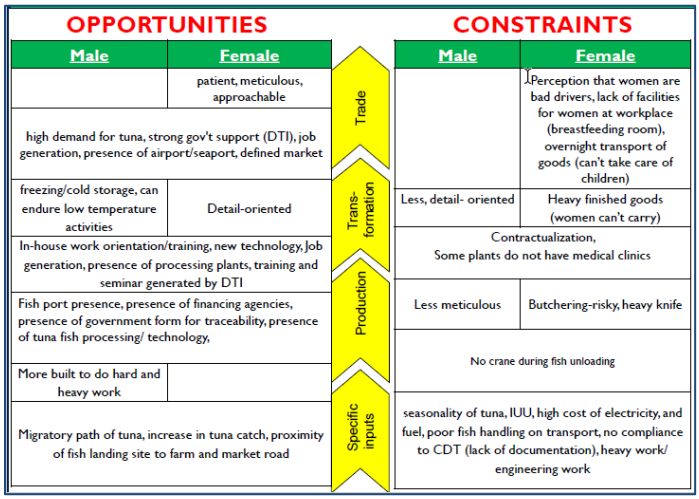


Figure 36. Example differentials in opportunities and constraints: Large-scale tuna fisheries



Identification of gender needs, issues and concerns

Two types of gender needs were identified, namely, (1) practical gender needs (PGNs) and (2) strategic gender needs (SGNs).

PGNs relate to the quality of life and living conditions of the genders, e.g., women's need for supplemental income, or health care and protection. Addressing these needs will increase a woman's income or improve her health, but it will not necessarily improve her role and standing at home or at work. It will make her a beneficiary, but it will not change her traditional role, where she holds multiple burdens and her work is muted or unrecognized.

SGNs, on the other hand, relate to the position of status of the genders in regard to each other. For example, if women do not have access to credit or financial services, or the right skills to participate in the tuna value chain,

providing them credit and training to start, for example, a fish processing cooperative will not only make them program beneficiaries but also partners and agents of change, and possibly also alter not only their position in the tuna value chain but in society in general.

Programs that address PGNs are expected to produce quick results, while those that are focused on addressing SGNs require a longer timeline.

Again, to facilitate processing, raw data were placed on a template with provisions for data inputs by gender and by value chain note, as shown in Figure 39. Example results, consisting mostly of women's issues and concerns, are as follows:

Examples of PGNs:

- Lack of protective clothing for cold storage
- Absence of a nursing area at the workplace
- Absence of clinics/infirmary at the workplace
- Poor ventilation in canneries
- Heavy knives used in butchering
- No hazard pay for risky jobs
- Absence of social security (SSS, PhilHealth)
- Long hours of standing in processing centers
- Finished goods are heavy to carry (work is mostly done by men but women said they could do the job if they were provided the right equipment, e.g., fork lift or conveyor)
- Work schedule (for transporting goods) is at nighttime, reducing their home time to take care of the children

Examples of SGNs:

- Lack of women-friendly machineries/ equipment that may allow women to do fish hauling
- Limited access to skills enhancement for women to be able to drive forklifts, cranes and heavy equipment
- Absence of women-friendly boat facilities so they can also fish
- Lack of women-specific programs/intervention
- No women's organizations
- Lack of capacity building for women
- Poor access to information technology
- Lack of alternative livelihood
- Perception that women are bad drivers

Determining gender-responsive interventions

The final step was to determine what interventions are necessary to address the identified gender needs, or to address gender gaps. The template shown in Figure 40 was used to facilitate the sorting of data across specific issues based on USAID's six domains of gender analysis.

Figure 37. Template for gender-responsive interventions

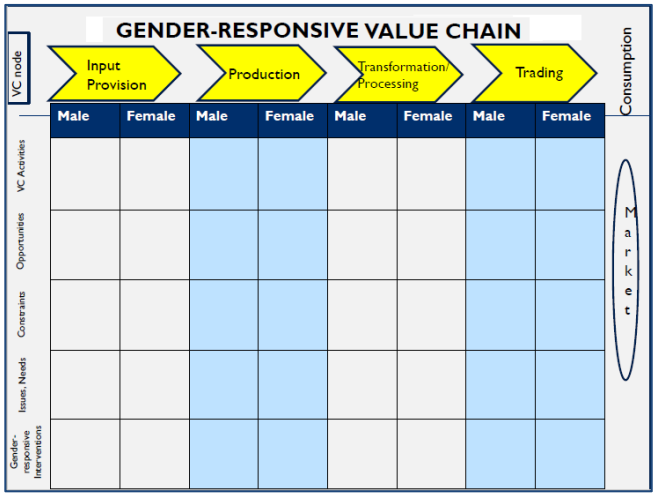
STRATEGY	DESCRIPTION	MEASURES/ INTERVENTION
Human Resource Development	*developing women's capacities and skills needed to enhance competitiveness*	**USAID's 6 Domains of Gender Analysis:** Access to assets Knowledge, beliefs and perceptions Practices and participation Time and space Legal rights and status Power and decision making
Policy Creation and Enforcement	*Strengthening implementation of policies/programs thru women's participation; leadership roles for women*	
Investment Promotions	*More women VC players across all nodes/functions; women's participation in the project cycle*	
Information Dissemination	*Knowledge management and women's roles*	
Productivity and Efficiency	*Increasing output, reducing cost; meeting PGNs/SGNs*	
Access to Markets	*Expanding customers/clients; Engaging women in studying the market*	
Access to Finance	*Financial support for women entrepreneurs*	

Group activity

To gauge their understanding and perceptions of gender differentials, participants were grouped by country, and asked to perform the following. Group outputs were not presented during the session.

1. Choose a fishery product.
2. Choose one node in the value chain of that product.
3. Using the template provided (Figure 41), identify the following:
    - Gender differentials in activities and roles
    - Gender differentials in opportunities and constraints
    - Gender differentials in needs
    - Identify the topmost gender issue
    - Identify intervention variables
4. Submit outputs to presenter.

Figure 38. Template for identifying gender differentials in a value chain



➢ *Open Forum Discussion*

Some participants expressed concern that the study was focused only on women, noting that in some countries, it is the woman who holds a position of power. Dr. Sumagaysay clarified that, "when we say gender, it's both male and female." The data presented were only examples to show how the study was conducted, the point of which was to develop recommendations for interventions that, if necessary, are tailored to address the gender-specific needs of men and women.

"If there are no specific gender issues, then there would be no need for an intervention, but to arrive at that conclusion, you still need to analyze the differentials. Thirty or 40 years ago, the discourse was on women in

development (WID) but, today, we're talking about gender and development (GAD) because we realize that it's not always the women who are in disadvantaged position, men need help as well," Dr. Sumagaysay said.

Dr. Sumagaysay noted that the Philippines has developed a tool for determining if a program is gender-blind, gender-sensitive or gender-responsive, which is available upon request.

2.2.3 Partner Presentations (NOAA, Monterey Bay Aquarium, FAO)

Session 7: FishPath (NOAA)

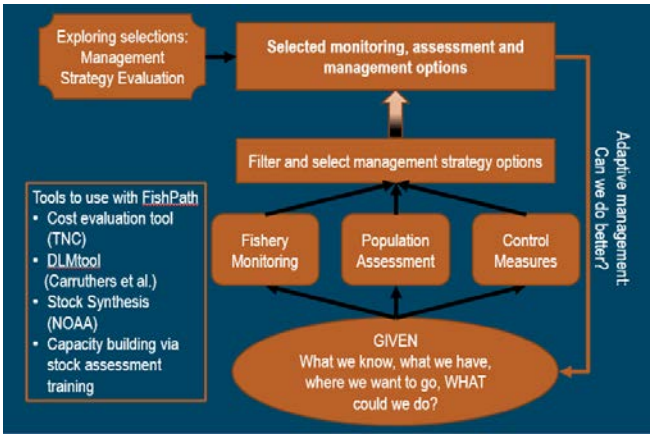
This session presented by Dr. Chris Rogers (NOAA) on behalf of Dr. Jason Cope (NOAA), one of several authors working on FishPath, "a generalized, process-based decision support system for assessing and managing data-limited fisheries."

➢ *Presentation – The FishPath Decision Support Tool for Fisheries Management*

FishPath is a web-based decision-support tool that is aimed towards identifying approaches that can be taken to improve fisheries management through an adaptive approach. Currently in beta version, the tool is being developed by collaborators from NOAA-Fisheries, The Nature Conservancy (TNC), Australia's Commonwealth Scientific and Industrial Research Organization (CSIRO), FAO and many others to address the challenge of identifying appropriate strategies for managing data-limited fisheries.

FishPath provides context-specific advice by identifying appropriate monitoring, assessment and control measures for a specific fishery. It does this by filtering several management options based on what is currently known about that fishery, the goal of management, and the resources available for management, and then rating and ranking them for appropriateness and effectiveness in order to guide the fishery manager towards selecting the most effective and cost-efficient assessment and management options. This process is adaptive – the fishery manager can come back to it at some point and review the management options based on what measures have been implemented, what tools have been applied, what has been accomplished, and what data have been collected or additional resources have become available for management. (Figure 42)

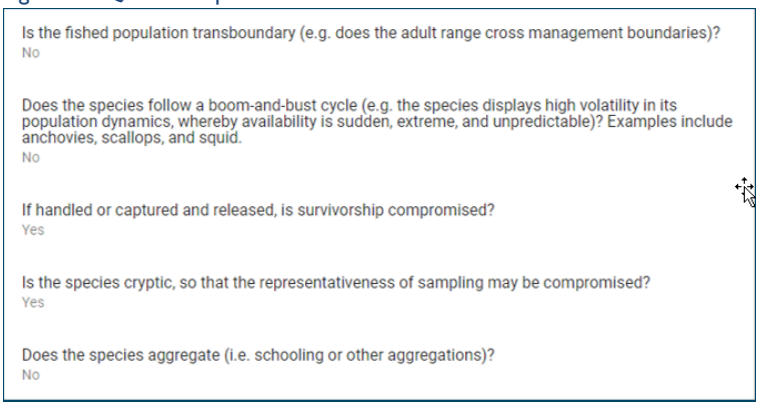
Figure 39. The FishPath system



FishPath is made up of several tools that are embedded within one system, which make it ultimately a toolbox. It includes a cost evaluation tool developed by TNC; different kinds of management measures; survey methodologies that may be data management tools or stock synthesis or assessment tools (NOAA); and capacity building via stock assessment training. To use these tools, the user goes through a series of 150+ questions broken into three modules, namely, Monitoring, Assessment, and Control Measures. Each module contains options, questions based on a set of criteria associated with each option in terms of what would be necessary in order to effectively use that option, and some caveats related to the limitations or

requirements of such option given the answers to the questions. The questions are intended to be answered, in some cases with simple yes or no responses, using what the user already knows about the fishery to be managed. (Figure 43)

Figure 40. Q&A example from FishPath



The process can be done by an individual or by a group, or it can be done by having members of a group do the exercise individually and then reconvene as a group to see how the responses vary and come up with a set of responses that they all agree with.

Monitoring Module

The Monitoring module contains the following options for monitoring:

- Market surveys
- Port monitoring
- Processor monitoring
- Interviews
- Data gathering - fishery dependent
- Data gathering - biology/life history
- Independent surveys – by fishers
- Independent surveys – external
- Automated information gathering
- Logbooks – formal
- Logbooks - informal
- Catch disposal records/sales dockets
- Observers

FishPath evaluates these options given the answers to questions based on the following criteria:

- Gross value of production
- Subsistence to commercial
- Level of cooperation
- Research/institutional capability
- Willingness to invest in data gathering

Based on the evaluation, FishPath then returns a list of monitoring methods with their corresponding pros and cons (reported as "caveats").

Figure 44 illustrates an example of output from the Monitoring module. *Note: The circles correspond to caveats based on the user's responses to the questions. Clicking on a circle will pull up information about what that circle means. The idea is to balance the most greens with the lowest number of cautionary caveats. Users can decide whether any given caveat is worth throwing out an option.*

Figure 41. Example of output from the FishPath Monitoring module

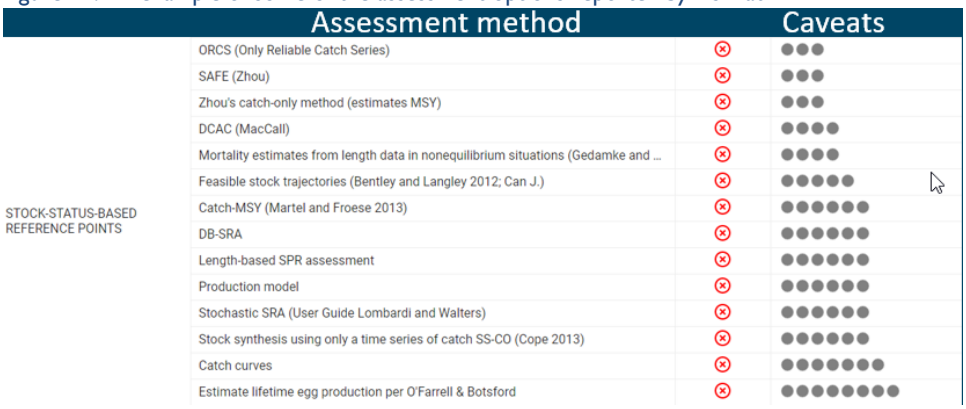
Assessment Module

There are currently over 50 assessment methods available in FishPath. These methods are classified under nine groups, namely:

1. Expert judgment
2. Risk analysis/Vulnerability
3. Empirical reference points
4. Multiple indicators
5. Life history based reference points
6. Size/age-based approaches
7. Catch only
8. Abundance indicators
9. Population dynamic models

The questions with which assessment methods are evaluated are based on three types of criteria, namely, (1) indices/data; (2) life history/biology; and (3) expert judgment. As in the Monitoring module, the system reports back with a list of options, along with caveats based on the answers to the questions, as shown in Figure 45. *Note: The circles represent caveats based on responses to questions on what is known about the resource and its current management. Clicking on a circle will pull up information about what that circle means.*

Figure 42. An example of some of the assessment options reported by FishPath



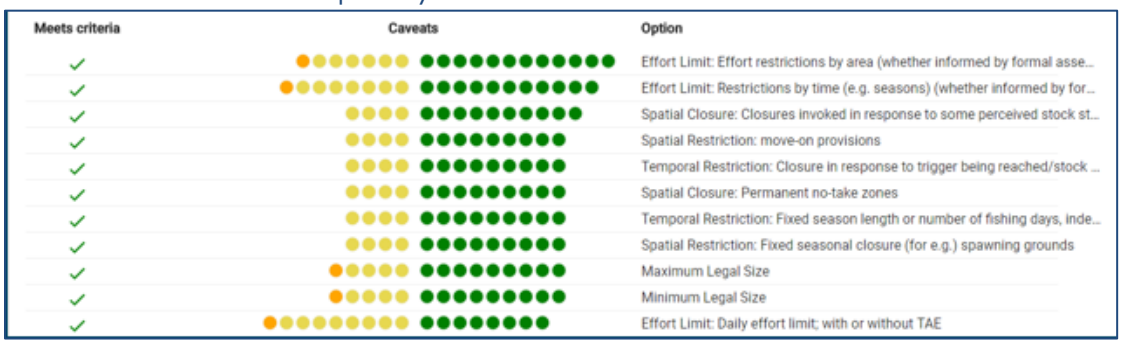
Control Measures

The Control Measures module helps determine which decision rules should be ruled out, or particularly recommended, for given circumstance. The rules are grouped into 13 families:

1. Catch limits (daily, seasonal, annual)
2. Effort limits (daily, seasonal, annual)
3. Gear restrictions: managing by selectivity
4. Other gear controls not related to selectivity
5. Spatial restrictions
6. Temporal restrictions
7. Size limits
8. Sex regulations
9. Invoke data collection
10. Apply additional (precautionary) buffers/adjustments to catch or effort
11. Overrides in case of exceptional circumstances
12. Retain status quo
13. Levies, taxes (e.g. as incentives to avoid areas)

Like the other modules, the Control Measures module evaluates decision rules using information from user responses to a set of questions pertaining to available data, biological/life history attributes, fishery operational characteristics, socioeconomics, and governance attributes. An example of output from this module is shown in Figure 46. In this case, no one control measure is likely going to be sufficient, so the user should decide which mix of control measures is most appropriate based the reported caveats.

Figure 43. Example of output from the FishPath Control Measures. The circles represent caveats based on user responses and are clickable elements linked to explanatory text.



Further Information

Questions or expressions of interest in trying FishPath may be directed to Jason.cope@noaa.gov.

➢ *Open Forum Discussion*

Q: G. Silvestre – The assessments listed in the presentation were largely single species and that, for EAFM, the appropriate method is "likely single species-based assessment coupled with Ecopath/Ecosystem modeling approaches."
A: Dr. Rogers replied, "I've not been directly involved in the development of this tool, so I'm not sure to what extent issues like bycatch or bycatch mitigation are currently considered but I'm confident that they would be eventually included as people apply this method and put forward certain questions or enhancements for their particular need."

Q: FishPath does not appear to be available on the Web.
A: Dr. Rogers clarified that the beta version was available to those who are testing the system, and suggested contacting Jason Cope (Jason.cope@noaa.gov) for access.

Q: Are there any examples of applications of the tool, where the decisions had actually been applied on the ground through the full adaptive process?
A: Dr. Rogers said he was aware that there was a couple of case studies of the application of FishPath, and that there could be more. He suggested contacting Jason Cope or any of the authors.

Comment: A delegate from Indonesia shared that Jason Cope had provided scientists in his country "with data for fisheries management" through a workshop organized by SEA Project. "I think if USAID Oceans can organize something similar, it would be good (for this group)," he added.

Session 8: Monterey Bay Aquarium's Seafood Watch® Program

Session 8 featured an in-depth presentation by Mr. Sam Wilding on the seafood advisory list Seafood Watch. The presentation was focused on the assessments and standards that go into the Seafood Watch® list, and how they might be applied to Southeast Asian fisheries as illustrated by assessments of the Philippine Blue swimming crab (BSC). Seafood Watch is a program of Monterey Bay Aquarium, where Mr. Wilding is the Senior Fisheries Scientist.

➢ *Presentation – Monterey Bay Aquarium's Seafood Watch Program: Standards, Assessments and Southeast Asian Fisheries*

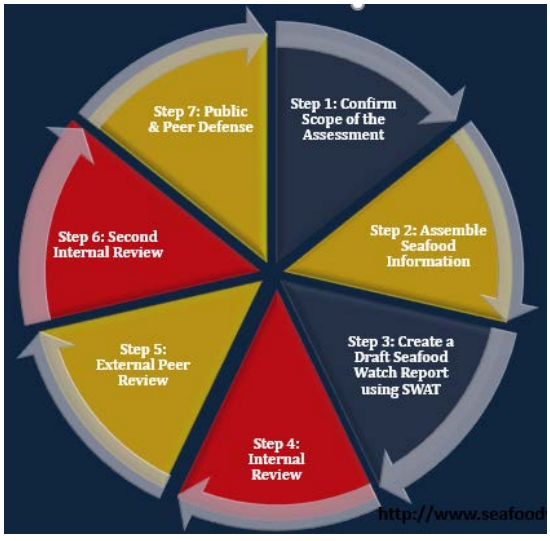
The Seafood Watch® Program is typically well known for its seafood pocket guide with a traffic light system of green, yellow and red for seafood choices that consumers could use to identify which seafood is caught or farmed in an environmentally sustainable way. The program started in 1999, when Monterey Bay Aquarium first produced the pocket guide, encouraging consumption of certain fish while discouraging consumption from fisheries it deemed it deemed unsustainable or unhealthy. Since then it has come a long way and now provides consumers over 1,500 recommendations on individual seafood items, whether wild caught or farmed. In addition, it works very closely with businesses, and more and more with the producers themselves to identify how producers can improve the quality of their seafood from an environmental point of view.

Setting the Standards

Setting the Seafood Watch Standard is an 18-month, completely transparent process that includes:

- Public comment periods during which the program accepts comments from the public on proposed revisions to the standards;
- Expert working groups that feed into the process to make sure the discussion benefits from the latest scientific thinking -- This year, the program will have two working groups that link to FishPath to help improve the standards and understand how data-limited assessment methodologies can be applied to inform Seafood Watch assessments. An EAFM workshop is also being planned, focusing on a broader approach to fisheries management that takes into account the important role of forage fish as a food source in the marine ecosystem. In addition, Seafood Watch has a fisheries Technical Advisory Committee (TAC) with international representation that tackles substantive technical issues which may or may not be brought up during the public comment periods and suggests changes to the standards as needed based on their expertise. This committee also provides technical advice to help ensure that the same standards can be applied in an effective way across different species, different fisheries, different scales, different regions and different countries.
- Pilot tests to provide assurance that the standards the bar at the appropriate level; and
- A decision-making body, a 14-member Multi-Stakeholder Group (MSG) representing seven stakeholder groups that makes the final determination as to whether or not a particular change in the standards is made.

Figure 44. Process for development of Seafood Watch® recommendations



Assessment Process

Every year, Seafood Watch conducts a prioritization exercise to determine the top priority fisheries that will be assessed in the next year. Assessors are recruited based on their expertise as well as their familiarity with Seafood Watch standards and the fisheries or species to be assessed, and then trained to ensure that they are well versed in the assessment process and standards, including any changes that might have been made in the standards.

The process by which Seafood Watch recommendations are generated involves seven steps: (Figure 47)

1. Confirm scope of assessment, looking at which species are caught for a particular fishery, which

gear is used in which region, and whether the fishery is defined at country level or is something more specific
2. Assemble seafood information, using available information on the fishery, including peer-reviewed literature, scientific committee reports, FAO reports, information from certification organizations, etc.
3. Create a Draft Seafood Watch Assessment by entering data into the Seafood Watch® Assessment Tool (SWAT) – SWAT is an online tool for drafting, reviewing and peer reviewing fisheries assessments based on the Seafood Watch standards.
4. Internal review (via SWAT) of first draft by Seafood Watch science team members
5. External peer review (via SWAT) by experts in the particular species under assessment, including experts drawn from the seafood industry, government, academe, and conservation groups, to try to get all opinions connected to that fishery
6. Second internal review (via SWAT) by Seafood Watch science team members
7. Final public and peer defense of the reviewed Seafood Watch Assessment

Assessing wild capture fisheries

The Seafood Watch Fisheries Standard uses four criteria, each with multiple factors, to determine how a fishery should be rated:

Criterion 1. Impacts on the stock
- *Factor 1.1*. Abundance
- *Factor 1.2*. Fishing mortality

Criterion 2. Impacts on other capture species
- *Factor 2.1*. Abundance
- *Factor 2.2*. Fishing mortality
- *Factor 2.3*. Discards and bait use

Criterion 3. Management effectiveness based on
- *Factor 3.1*. Strategy and implementation
- *Factor 3.2*. Bycatch strategy
- *Factor 3.3*. Research and monitoring
- *Factor 3.4*. Enforcement
- *Factor 3.5*. Stakeholder inclusion

Criterion 4. Habitat and ecosystem impacts
- *Factor 4.1*. Impacts on the seafloor
- *Factor 4.2*. Mitigation of impacts
- *Factor 4.3*. Ecosystem and food web impacts

These criteria are applied using a scoring system that includes (1) a numeric scoring tool that results in a red, yellow or green recommendation, and (2) a set of decision rules for making the final recommendation. The rules state that:

1. A "Best Choice"/Green recommendation requires a green score in Criteria 1 (Impacts on stock) and/or Criteria 3 (Management Effectiveness)
2. A "Critical" score in one criteria results in overall "Avoid" recommendation
3. A red score in more than two or more criteria results in overall "Avoid"
4. A red score in one criterion results in "Good Alternative" at best

These criteria and scoring system are explained in greater detail below, using as example a draft Seafood Watch Assessment on the Philippine BSC gill net and pot fisheries.

Criterion 1. Impacts on the species under assessment

Criterion 1 is assessed based on the following factors:

Factor 1.1. Abundance – This is ideally measured as biomass relative to a target reference point (TRP) or limit reference point (LRP). Usually, B_{MSY} (biomass at maximum sustainable yield) is used as TRP, and F_{MSY} (fishing mortality exceeding the level that would provide MSY) may be used as LRP. If MSY is not known, a proxy may be used, provided that there is evidence to demonstrate that it is an appropriate proxy for MSY.
In the absence of that information, data-limited indicators may be used, e.g. spawning potential ratio (SPR), catch per unit effort (CPUE), size-at-capture, and their trends. Productivity and susceptibility analysis (PSA) may also be used – this semi-quantitative assessment tool looks at the life history characteristics or productivity of a fishery to assess that fishery's vulnerability to potential fishery impacts.

Seafood Watch® Assessment on Philippine BSC

- No quantitative stock assessment
- Evidence of declining CPUE
- SPR is below 27%, just below the TPR of 30% (reasonably good performance)
- PSA results
- HIGH CONCERN

Factor 1.2. Fishing Mortality – This is measured as F_{MSY}, which, again, is usually absent, so other indicators need to be identified, if possible.

Seafood Watch® Assessment on Philippine BSC

- Overfishing believed to be taking place based on a survey done a year or so ago
- HIGH CONCERN

Criterion 2. Impacts on other capture species

Criterion 2 is assessed using the same factors as Criterion 1, but the factors are applied to a main component of the catch other than the target species. A main component of the catch is anything that is more than 5% of the catch or is an ETP (endangered, threatened or protected species).

Factor 2.1. Abundance – Again, if B_{MSY} is absent, data-limited indicators and PSA may be used. In the absence of all other information, Seafood Watch uses the unknown bycatch matrix that the program developed based on a synthesis of peer reviewed literature and expert opinion on the bycatch impacts of each gear type in different regions of the world.

Factor 2.2. Fishing mortality, expressed as fishing mortality relative to F_{MSY}. In the absence of information, the unknown bycatch matrix is used.

For the Philippine BSC, historically there has been an absence of information, although there is quite a bit of data being generated now. Seafood Watch looked at the unknown bycatch matrix, identified which taxa are not likely to interact with the fishery, and based on that information and the landings analysis, eliminate some of those taxa from the assessment.

Seafood Watch® Assessment on Philippine BSC

- Limited data from landings analysis
- Unknown bycatch matrix for pot fishery: minimal impact, LOW CONCERN

- Unknown bycatch matrix for net fishery with additional data from landings analysis: unknown impact on ETP; MODERATE CONCERN?

Criterion 3. Management effectiveness

Criterion 3 is assessed based on the following factors:

Factor 3.1. Strategy and implementation, essentially looking at whether or not the following measures are in place: (a) fishery management plan; (b) harvest control rules or strategies; (c) input controls; (d) output controls; and (e) consideration of scientific advice. For the highest scores to be achieved in this factor, there should be evidence that the system is effective. If there are measures in place but no definitive evidence of effectiveness, a moderate score is given.

Seafood Watch® Assessment on Philippine BSC

- Fisheries management plan (FMP) developed through a Fisheries Improvement Project (FIP)
- FMP includes minimum landing size (MLS), gear restrictions, and seasonal culture, which are all characteristics of a management system that has been shown to be effective at managing crustacean fisheries elsewhere.
- MODERATELY EFFECTIVE

Factor 3.2. Bycatch strategy, including bycatch minimized to the extent possible, either through the use of gear that results in very little bycatch or, if all gear types used are associated with high levels of bycatch, through mitigation measures to reduce the impact on bycatch species or prevent ghost fishing.

Seafood Watch Assessment on Philippine BSC

- Net fishery:
    - Many species caught in the net fishery are unmanaged, with unknown impact on ETP
    - FMP lacks measures to address concerns about the fishery's potential impacts on the threatened marine mammals that occur in the region
    - INEFFECTIVE
- Pot fishery:
    - No specific measure to address bycatch but bycatch is very minimal, with more than 99% of the catch consisting of BSC
    - Impact on ETP uncertain
    - Ongoing process to swap nets for pots, which have been proven to be a good mitigation measure
    - MODERATELY EFFECTIVE

Factor 3.3. Scientific research and monitoring, basically looking at availability of data from (a) stock assessment, (b) bycatch monitoring; (c) observer coverage/monitoring of landings; and (d) any records of lost gear

Seafood Watch® Assessment on Philippine BSC

- Net fishery:
    - No bycatch monitoring
    - INEFFECTIVE
- Pot fishery:
    - There is a research plan for Philippine BSC

- MODERATELY EFFECTIVE

Factor 3.4. Enforcement of management regulations, looking at whether or not regulations are enforcement, with independent verification of voluntary codes and appropriate capacity within the management agency and enforcement body to enforce those regulations, which is particularly challenging in developing world fisheries where a number of fisheries actually straddle a larger area than perhaps in the developed countries, making it harder to enforce regulations.

Seafood Watch Assessment on Philippine BSC

- There is an enforcement agency, there is enforcement on regulations in place but it is uncertain as to whether or not that is effective
- MODERATELY EFFECTIVE (In this case, the fishery cannot be penalized for the uncertainty: There needs to be evidence of a lack of cooperation or evidence of IUU to get that ineffective score.)

Factor 3.5. Stakeholder inclusion, such as having an inclusive process for fishery management, where fishers, communities, and environment groups are engaged in fishery management; mechanisms for dispute resolution; and transparency in the decision-making process

Seafood Watch Assessment on Philippine BSC

- Supply chain has been engaged thru FIP
- Uncertainty over transparency of managerial decisions
- MODERATELY EFFECTIVE

Factor 3.5. Stakeholder inclusion, such as having an inclusive process for fishery management, where fishers, communities, and environment groups are engaged in fishery management; mechanisms for dispute resolution; and transparency in the decision-making process

Seafood Watch Assessment on Philippine BSC

- Supply chain has been engaged thru FIP

Criterion 4. Impacts on habitats and ecosystem

Criterion 4 is based on three factors:

Factor 4.1. Impacts on the seafloor, looking at the combination of habitat and gear (Habitat x Gear Matrix) to determine whether or not there is a high risk of damage to the marine environment, and

Factor 4.2. Modifying factor: Mitigation of gear impacts, such as MPAs or gear modifications to reduce impact.

Seafood Watch Assessment on Philippine BSC

- Most fishing taking place in soft sediment with static gear
- MPAs in place where fish capture is restricted
- LOW CONCERN

Factor 4.3. Ecosystem and food web impacts, looking at the application of ecosystem-based fisheries management (EBFM) or, in the absence of that, a risk-based approach, which considers the likelihood of trophic cascades based on the catch within the fishery (both target species and non-target species), and whether or not there are spatial management strategies in place to mitigate any potential impacts of that fishery.

Seafood Watch® Assessment on Philippine BSC

- No real EBFM in place at the moment
- Cascades are unlikely as the crabs are not an exceptional species in terms of their role within the ecosystem
- MPAs in place
- MODERATE CONCERN

Challenges with assessing developing world fisheries

- Data – Criterion 3 and Criterion 4 of the Seafood Watch Standard are mainly focused on management-based approaches, including factors like legislation and regulations that are written down and their implementation, which do not necessarily need a lot of data. Criterion 1 and Criterion 2 have data requirements associated with them. More and more through the FIPs, data are being generated either through quantitative stock assessments or data-limited approaches that look at the target species, but there is still a lack of data on bycatch, which is a big concern, so Seafood Watch would like to see more data collection on that.
- Bycatch – In many western countries, bycatch is seen a nuisance and measures are taken to reduce it. But this is typically not the case in developing world countries where the target species, e.g. the BSC, is the main focus for processing and the export market, and the bycatch is actually what is retained for consumption or sold in the open market, so it is a key component of the capture and not something that the fishermen are looking to reduce because it is something they are relying on. Fishers cannot be penalized for that, but Seafood Watch is trying to identify those species that are being caught, and whether or not they are being impacted in a negative way, so measures can be taken to address the impacts.
- Fisheries management infrastructure – The infrastructure needed for fisheries management in areas where fisheries are spread out across wide range is very different from that for industrial fisheries where the landings are focused in one port and you can have an observer on land monitoring the vessels that come back into port.
- Implementation and monitoring – It is much more difficult to provide enforcement in areas where there are numerous landing centers spread out across a wide area than in areas that have one central harbor where everything is landed.

Collaborative approach in Southeast Asia: Bantayan BSC

Over the last couple of years, more and more producers have approached Seafood Watch to seek advice on how to improve their products. There are a number of organizations globally that have more experience in FIP, and it has long been the policy of the program to let these organizations address the issues. But over the years, Seafood Watch has come to realize that it needs to try and help producers improve where possible.

This year, Seafood Watch started a partnership with the Asian Seafood Improvement Collaborative, a new NGO based out of Singapore; Salty Girl Seafood, a producer based in California; and RARE. The partnership is working in the Philippines, specifically on Bantayan Island, on a pilot project for managing BSC.

RARE will be working on user rights for the communities to improve equity in resource allocation. There are about 5,000 BSC fishers on the island out of about 8,000 fishers in total, which makes the BSC fishery by far the most important fishery on the island. The partnership's focus is going to be the BSC initially but could in the future include a number of the bycatch species to ensure that these are sustainable as well,

As a provider of ready-to-cook seafood, Salty Girl's business model is founded on the story they are able to tell about the sustainability and social benefits of the seafood they sell. The partnership is looking to ensure that, by

using BSC from the Bantayan Island fishery, Salty Girl can produce crab cake that they can sell to a premium U.S. market, which will then ensure that the fishers themselves get a premium price for their product. Another component that is very important, however, is to ensure that there is food security in the local community where the BSC is harvested. One concern that is often raised about improving fisheries to access premium markets is that it can leave the local communities with an absence of food security, so to address that, the program has set a limit of 60% percent to the BSC that is going to be available for export to ensure that at least 40% of production will remain in the local market. In addition, bycatch species need to be managed as well to maximize the value of the product that stays in the local market.

Seafood Watch will also be working with the Singapore-based Asian Seafood Improvement Collaborative (ASIC) and RARE to make sure that the standards that are applied to improve the fishery and bring it up to Good Alternative and eventually Best Choice, which is the program's Green recommendation.

To sum up, RARE and ASIC will be implementing the improvements with local partners, Seafood Watch will work with ASIC to audit and rate that fisheries and provide its recommendation, and then Salty Girl will be taking that product to the market.

➢ *Open Forum Discussion*

Q: C. Velez-Srinivasan – Does a recommendation require unanimous decision?
A: Approval of a recommendation requires a majority of 75% and at least one of the two representatives of each stakeholder group voting in the affirmative. What this does is prevent the decision from leaning too far one way or another. In all the decisions that the MSG had, which I think is four now, we've only had one person not agree, so we've had a pretty success rate with the recommendations we've put forward.

Q: It is an 18-month process to rate one product?
A: That's 18 months to review and update the entire Standard. The Standard we are using at the moment was implemented on 1 Jan 2016, and the process to update it started in mid-2014. We did some work at the tail end of 2014 for the public consultation and then throughout 2015, and it was finalized at the end of 2015 and implemented in 2016. We aim to do this every four years.

Q: Could you elaborate more on the inclusion of labor considerations in the criteria that you use?
A: We have developed a Human Rights Risk Tool which will not be included in the fisheries or aquaculture standard but will stand separately. The idea behind this is we don't have expertise in human rights because everyone in the office has a biology background. But over the last two to three years since human rights issues have become more prominent in the press, more and more producers have been coming to us saying they need some advice specifically on these issues. We've been working with a number of organizations – Sustainable Fisheries Partnership (SPF), which is an international organization; UK-based SeaFish, which represents the UK seafood industry as a whole; and Liberty Asia – to develop this tool, which is a risk-based approach to determine if there are human rights concerns in the fishery or country where a product under assessment is sourced, and what is the level of concern. This is different from the environmental sustainability standards, where we would recommend that business partners avoid particular products if that's what we feel is appropriate. With the Human Rights Risk Tool, we are going to recommend that they stay engaged in the supply chain and try to make sure that there are improvements because stepping away and avoiding isn't necessarily going to improve the situation, it's just going to sweep things under the carpet. We hope that with this tool, we can use our market leverage to effect real change.

Q: L. Garces – In terms of scoring, are the four criteria of equal weight or do you use weighting?

A: The numerical scores are of equal weight, but we also have decision rules. To get the Green or Best Choice recommendation, you need to have a green score in either stock health or management. Also, under the criterion for management implementation and effectiveness, there is a Critical score option that would result in an Avoid overall, but this score is applied only to fisheries with a high level of IUU, meaning IUU of more than 25%, or a complete lack of management with evidence of stock depletion, of which there aren't many examples.

Q: Fini Lovita – Does your assessment take into account the differences between fisheries and management systems across specific fisheries in specific locations?
A: Yes, we try to be as detailed as possible with our recommendations. During the scoping stage, we try to identify to what level of information we can get. How detailed the recommendation will be will depend on the availability of data. For U.S. fisheries, because of the management systems that are in place – there are two or three different stock management units along the U.S. Atlantic coast, for example – we can be very specific with our recommendations. But for the same species somewhere else where there is no effective monitoring system, we can only have the country level assessment.

Typically, if we have information that suggests there will be a difference in score between two areas, we will separate those out. On the other hand, if the information doesn't exist at all or if the information suggests that the outcome is the same, then we put them together. One of the reasons for that is ultimately we work within the recommendation that business and consumers are going to use on a particular issue as that is limited in terms of what information is available. For example, a can of crab meat sold in the U.S. typically does not have the country of origin on it, so how are consumers going to be able to differentiate that from the Philippines BSC that has a Seafood Watch recommendation or crab from any other area? We try to provide as much information as possible to incentivize change when we're sure we're accurate in our assessment but we're also challenged by lack of information.

Q: Kiki Anggraini – Do you provide feedback to producers about your assessment, and do you get feedback from consumers? Has the Seafood Watch advisory list had any impact on consumer behavior?
A: Going back 10 years or so, we just put the information out there without providing feedback to anyone. Now more and more we are developing relationships with fisheries managers and stakeholders so when we produce our recommendations, we are able to provide the information directly to them and they in turn are able to discuss with us their concerns – hopefully they are doing their own assessment as they should, so if they have any concern that our recommendation is inaccurate it can be addressed through the review process. But whether it's a specific concern about the accuracy of a recommendation, or advice on how to improve the situation, we are always open to having those conversations.

In terms of consumer habits, we're seeing more and more that people are looking for the Best Choice and Good Alternative. The vast majority of our recommendations kind of sit in the Good Alternative section so people are not moving away from the Yellow necessarily, but they are certainly moving away from the Red. The sustainable seafood movement in the U.S. has been focused on getting people away from the Red/Avoid recommended seafood, so a lot of people are still buying the Yellow. But what we're seeing more and more of is that producers are actually seeming to get that Green recommendation because they see it as an opportunity to differentiate themselves. While the majority of products are in that Good alternative/Yellow recommendation, they're looking to improve and set themselves apart from the competition by getting that Green recommendation. For example, five years ago, the vast majority of salmon farms were in the Avoid list. Over the last few years, we started to see more and more operations getting that Good Alternative recommendation. It began relatively small but as the volume started to increase, and we now have producers asking, "How do we get to Green?" They were maybe the first to get to Yellow but now that more and more farms are on the Yellow list, they have lost the benefit of having a unique selling point, so they're now looking to the Green. We're hoping to use that market incentive to improve throughout the spectrum.

Q: P. Ramirez – How do you arrive at an assessment of "Low Concern," "Moderate Concern," or "High Concern"?

A: We have qualitative terms, and a numerical score that is associated with each term. We didn't use to have numerical scores before 2012. During the 2012 revision process, we had some statisticians working with us to make sure that the numerical scoring system does not unfairly reward or unfairly penalize because the four criteria have different numbers of factors associated with them that are all scored between zero and five, resulting in different numerical values across the criteria. What we're trying to do is to make sure that the qualitative term is equivalent across the Standard, so anything that is "Low Concern" or "Very Low Concern" is typically in the Green, which is higher than 3.2; anything that's "Moderate Concern" is typically in the Yellow, which is 2.2-3.2; and anything that's "High Concern" is typically below 2.2.

Q: G. Silvestre – How much would a site assessment or rating cost?

A: Our recommendations are different from eco-certification. Whereas in eco-certification it is the producer who is seeking certification that will approach an eco-certification organization, e.g., MSC or ASC (Aquaculture Stewardship Council), Seafood Watch® recommendations and assessments are not voluntary. During our prioritization process, we look at what's available on the U.S. market and decide which products to assess. From this point of view, there is not necessarily a cost associated to the fishery for our assessment. What we are trying to do is provide recommendations on the majority of seafood available in the US and we think we've covered about 85% of that.

The greater part of our work is funded by non-profit organizations. However, because there is that 15% that perhaps we will never be able to get to because of their scale, we do offer a process where the producer can pay for an assessment. It all depends on the size and scale of the fishery, but it usually about USD10,000-15,000 for an assessment. The cost can be greatly reduced depending on the availability of the data. In areas where there's an FIP in place and data are already being gathered and concentrated in one area that's coordinating data collection, it's very easy for us to get the information we need to make an assessment, so the cost is greatly reduced.

Session 9: FAO's Regional and International Initiatives on Fisheries Management and Catch Documentation and Traceability

This session was an oral presentation by Ms. Cassandra De Young, FAO Fisheries Planning Analyst. It was added to the program to bring participants up to speed with some of FAO's initiatives that were mentioned in earlier sessions, and other FAO activities related to USAID Oceans work.

➢ *Presentation*

A lot of the work of the FAO is not actually developing the standards themselves, but providing technical guidance on the development of standards. One title that came out recently that is of particular relevance to the USAID Oceans CDT Workstream is called "Design Options for Tuna Catch Documentation Schemes."

FAO has also produced the Voluntary Guidelines for Catch Documentation Schemes as well as voluntary guidelines on the following:

- Flag State Performance
- Flag State Responsibilities
- Coastal State Measures

- Small-scale Fisheries -- Related to this work, a handbook on gender mainstreaming as supportive applications of the SSF Guidelines came out recently. This handbook, called "Towards gender-equitable small-scale fisheries governance and development," was developed with ICSF.

APFIC meanwhile has produced the "Technical Guide to Port Inspection of Fishing Vessels (Volume 1)," which came out about two years ago.

Every once in a while, FAO members through the Commission on Fisheries do request FAO to develop some more prescriptive instruments, including the more than two-decade-old Code of Conduct for Responsible Fisheries that still provides useful guidance on the rights and responsibilities of fisheries actors. And FAO has been asked to develop international plans of action, including an International Plan of Action on IUU fishing.

Currently in development is the Global Record of Fishing Vessels, which ties in with SEAFDEC's work. This has been launched and is now in testing phase.

There is also the FAO Database on Port State Measures (PORTLEX) which provides legal frameworks relating to port state measures that may be interest to countries.

Also, the Port State Measures Agreement came into force last year. FAO is doing more at the national level in terms of support of the countries' implementation of the agreement, or accession to the agreement, or coming in line with many of the measures within the agreement whether or not the country decides to accede formally.

At the regional level, FAO has been supporting ASEAN and SEAFDEC.

There are opportunities for upscaling the work that USAID Oceans countries are doing. FAO has a series of GEF projects, including some that will soon be submitted to the GEF for a follow up program, and the Areas Beyond National Jurisdiction Global Program that is also working in the region, as well as some national climate change adaptation Projects. All of these projects seek to implement an ecosystem approach to fisheries and aquaculture and include to different extents IUU fishing as well.

FAO also hopes to work with the countries to get the fisheries and aquaculture sector prepared to talk, discuss and participate in the effort to gain GEF funding during 7th funding cycle of the GEF. Fisheries and aquaculture tends to be quite slow or not prepared to take part in these discussions, so FAO and other partners – the SEAFDEC Mekong River Commission, for example -- would like to help this sector be prepared to participate earlier rather than later. IUU and EAFM are priorities and the GEF strategy as it stands – it is still changing – is quite positive in its support to these efforts.

Some upcoming regional events:

- With the SEAFDEC-Sweden project FAO is organizing a **regional workshop on gender and human rights based approaches in fisheries** in support of the small-scale fisheries guidelines and in response to countries asking for more clarity in terms of what these concepts mean and what should be done differently. FAO would like to initiate discussions with USAID Oceans to see how this connects with the Regional Workshop on Gender Strategies Implementation in August.
- **Expert Consultation on Climate Change for Fisheries and Aquaculture** with the FAO members, which is an update of the 2011 APFIC Meeting in Nepal, one of the first meetings on climate change in the region
- **APFIC** will take place in General Santos City in May 2018, and it will be preceded by a **regional consultative forum meeting**, a technical meeting that allows countries and partners to come together to present their experiences to a broader group that also includes South Asia and East Asia.
- The fishery survey research vessel Dr. Fridtjof Nansen has just been launched this year. Thanks to repeated requests from the Bay of Bengal countries they will come back to Asia in 2018 to do some surveys in Colombo. There will be a **survey planning meeting** related to this.

- Finally, FAO has received requests from APFIC to organize a **technical meeting on information communication technology (ICT)** to update countries on available methodologies and how are they being used, specifically for small scale fisheries. This is planned for 2018.

Additional information: cassandra.deyoung@fao.org

2.2.4 Session 10: Small Group Learning Sessions on Workstream Methodologies

For this session, participants were divided into five small groups corresponding to the five USAID Oceans Workstreams for sharing and learning on various Workstream-related topics, as follows. Report-outs from the small group discussions were to have closed out the day but had to be deferred to Day 3 when the discussions overflowed into the time allotted for the report-outs.

Group 1: CDT/ACDS Development
(Resource Team: Mr. Farid Maruf, Dr. Somboon Siriraksophon, Mr. Elviro Cinco)

- Key Data Elements (KDE) Manual
- CDT 201 Document
- Gaps Analysis of CDT Systems

Group 2: EAFM/RAFMS
(Resource Team: Mr. Len Garces, Dr. Purwanto, Ms Rattana Tiaye, Dr. Lily Ann Lando, Mr. Paul Ramirez)

- RAFMS Methods and VCA with Emphasis on EAFM Planning and CDT Support (Examples from General Santos City and Bitung Learning Sites)
- Fisheries Management Planning and Stakeholder Engagements – Dr. Lily Ann Lando/Dr. Purwanto
- EAFM Planning Process Experience in the Philippines – Mr. Rafael Ramiscal/Mr. Efren Hilario, BFAR
- The Essential EAFM (E-EAFM) – Ms Rattana Tiaye/SEAFDEC

Group 3: PPP/Partnership Prioritization
(Resource Team: Ms Araya Poomsaringkarn, Mr. Marc-Olivier Roux, Ms Wendy Norden, Mr. Kongpathai Saraphaivahich)

- Introduction to Partnerships
- Market Perspective on Partnerships
- Overview of the Rapid Partnership Appraisal
- Developing a Partnership Concept

Group 4: Human Welfare – Gender Analysis/Labor
(Resource Team: Dr. Arlene N. Satapornvanit, Ms Jariya Sornkliang, Dr. Marieta Sumagaysay, Dr. Reiny Tumbol)

- Gender Mainstreaming in Fisheries
- Basics of Gender Analysis
- The Gender Dimensions Framework
- Gender Resource Mapping
- Labor Aspects in Fisheries Value Chain

Group 5: Communications and Outreach
(Resource Team: Ms Melinda Donnelly, Mr. Krit Phusirimongkol)

- Communications Overview and Objectives
- Engaging our Audience: Best Practices and Social Media Engagement Strategy
- TWG Sharing Session: Country-specific Projects, Priorities and Opportunities for Collaboration
- Group Discussion: Creating a Collaborative Support Network

2.3 DAY 3 PROCEEDINGS

As with the first two days, the first session was a recap session, which was followed immediately by the small group report-outs from Session 10 that were deferred from Day 2. The larger part of the day was spent in discussions on the Draft USAID Oceans Work Plan for Year 3.

The day's sessions were as follows:

- Recap of Day 2 and Overview of Day 3
- Session 10 (Continued from Day 2): Report-outs -- Small Group Learning Sessions on Workstream Methodologies
- Session 11: Presentation of Draft Year 3 Work Plan of the USAID Oceans and Fisheries Partnership
- Session 12: Workshop on Aligning the USAID Oceans Work Plan with Country Priorities and Strategies, and Potential Partnership Identification – Work plan discussions by workstream (small groups)
- Session 13: Synthesis of Workshop Outcomes
- Closing Session

2.3.1 Recap of Day 2 and Overview of Day 3

This was a short session focusing primarily on the plenary presentations on Day 2. Ms. Lando presented highlights of each of the presentations, and then provided an overview of the Day 3 sessions.

Ms. Lando also reminded participants to submit their "gender differentials" outputs from the group activity in Section 6B, noting that, based on the outputs already submitted, "there may be some capacity building needed."

2.3.2 Session 10 (continued): Report-outs from Breakout Discussions -- Presentation of Discussion Highlights by Group Representatives

This session included reports from the five small group discussions in Session 10 corresponding to the USAID Oceans Workstreams, presented in the order of their group number, as follows:

Group 1: CDT/ACDS Development
Group 2: EAFM/RAFMS
Group 3: PPP/Partnership Prioritization
Group 4: Human Welfare-Gender Analysis/Labor
Group 5: Community and Outreach

Group 1: CDTS/ACDS Development

Presenter: Dr. Somboon Siriraksophon, SEAFDEC

The task of the group was to have a better understanding of the CDT 201 document, including the KDEs for the various CDSs, including EU, US SIMP, etc. The group took note of the lessons from the CDT Workstream activities in the Learning Sites that are applicable to the other countries looking to develop their own CDTS. Reference was also made to the FAO guidelines that the CDTS should:

Singapore's TWG representative participates in the CDT small group session.

- Be in conformity with the provisions of relevant international law;
- Not create unnecessary barriers to trade (should ideally be integrated in the existing systems);
- Recognize equivalence (should not create new one if there is already an existing system; otherwise use proven systems/technologies instead of reinventing the wheel);
- Be risk-based;
- Be reliable, simple, clear and transparent (need to consider infra limitations and needs/capacity of users); and
- Be electronic, if possible.

The discussion raised many challenges (and some solutions) in CDTS development, including:

- Small scale fishers have no incentive to enter data at sea (Data entry at landing site will be more realistic)
- Need to clarify role of government in data verification – where along the supply chain should verification be done?
- Need to integrate catch documentation into the business process or into the regulatory/government system so it does not result in additional burden for fishers. (For small-scale fisheries, data entry app can also serve as a bookkeeping tool for fish buyers; for medium-large scale fishers, VMS can be used as a business tool)
- Need to simplify KDEs to the minimum required by EU, US, ASEAN and individual country contexts (The identification of KDEs along the whole supply chain is very important)
- How to integrate ACDS and CDTS (The CDTS being developed under USAID Oceans is intended to include not only CDS but also considerations of EAFM and human welfare, so it is broader than the SEAFDEC ACDS product, which is concerned about traceability only, and it can be adapted within a country's individual context to develop their own CDTS, which can include ACDS.)

The group noted the importance of doing a gaps analysis to inform CDTS development, and noted as well that the gaps analysis should be conducted based on the individual site needs and contexts.

Group 2: EAFM/RAFMS

Presenter: Mr. Paul Ramirez, WorldFish

EAFM TWG members observe a presentation given during the EAFM small group breakout.

Discussions in this group were based on presentations on rapid appraisal work in the Learning Sites and moving forward EAFM planning and implementation. The discussions were divided into three topics: (1) EAFM essentials and mainstreaming; (2) Needs/opportunities for EAFM; and (3) Insights from the presentations and discussions. Highlights from the discussions are outlined below:

- EAFM essentials and mainstreaming
  - The EAFM site selection for USAID Oceans considered these criteria (1) it should be a biodiversity area, (2) there are already some initiatives related to management, and (3) peace and order situation and accessibility – Site selection became an important discussion point because many of the countries in the Expansion Sites category were already thinking about choosing the sites where they could apply lessons learned from the USAID Oceans Learning Sites. Other factors were put forward during the discussion, including species of interest, status of fish stocks, and the relative importance to goals/priority (e.g., development of a CDTS for tuna), that could also be used as criteria for site selection.
  - In the presentation, it was noted that there was a difference between the two Learning Sites in terms of framework used – RAFMS was used in the Philippines, while the FAO framework was used in Indonesia. But what was important was that, in both sites, the important aspects of management were captured, including the status of fisheries, socio-economic situation and management/governance systems, so although the frameworks were different, the two Learning Sites were able to identify at least the minimum information requirements for EAFM.
  - There was much discussion on the experiences and lessons learned from EAFM implementation in the learning sites, which were shared with the group in response to questions by representatives from Expansion Site countries.

- Opportunities for EAFM
  - Training/Knowledge Sharing and Learning (based on experience and lessons)
    - Mainstreaming EAFM planning process used in General Santos learning site
    - Learning from other countries
    - Experiences and lessons learned on implementation, methods and concepts about EAFM in the learning sites
    - Advice on learning site selection
    - Stakeholders are engaged that can help facilitate future improvement efforts especially in places where EAFM training took place
    - Training and lessons learned from countries with experience on fisheries management
  - Local and International Support
    - Support from international projects
    - Local government supports the EAFM for sustainable development

- Pulling together our efforts – cooperation and participation of various stakeholders in pushing international, regional and national initiatives.
  - Pulling together Marine Spatial Planning (MSP) and analyzing what is different (EAFM vs MSP)
  - Participation of the fishers and authority in the year forward to enhance local EAFM
  - Cooperation among countries who has same concerns about EAFM and support international or regional initiatives
- Developing Initiative EAFM workplan

- Insights
  - There is a need for technical guide/guidelines for EAFM implementation, i.e. how to move forward with implementing EAFM after the framework planning is done – How should implementation be done? What does it look like?
  - There are existing frameworks, guidelines and lessons learned from past initiatives on which to build EAFM
    - National Policy Framework – EAFM Planning Process and Implementation
    - Some countries already have guidelines in place to introduce EAFM into fishery management plans
    - RAFMS + VCA framework/guide for CDT and EAFM; E-EAFM and M-EAFM for ASEAN region
    - Balancing ecological well-being with human well-being through good governance
    - RFMP (Reef Fisheries Management Plan) method and lessons learned
    - Rapid assessment of the two learning sites is available
    - The legal framework's regulation is available
  - The value of stakeholder engagement and participation was highlighted by the involvement in of key players in General Santos City in the series of consultations/meetings to socialize/finalize EAFM plan
    - Risks of dogmatism
    - Involvement of main players in General Santos City
    - Stakeholder engagement for implementation support is essential
    - Series of consultations/meetings to socialize/finalize EAFM plan
    - In EAFM development process, good opportunity to engage all of key stakeholders to participate and have a common understanding of the key elements and process of EAFM development
  - Challenges – not everything works yet, for example:
    - A lot of data needed and in place before starting the process – we can work with limited data, but it is a challenge
    - Challenge in mainstreaming EAFM despite training conducted – it is one thing to understand the theory, another thing to implement. This is still something we need to work on, starting with getting inspiration the Indonesia and Philippines experiences.

Group 3: PPP/Partnership Prioritization

Presenter: Ms. Aniza Puspita, Indonesia
(See also Session Notes in Annex VIII)

Ms. Poomsaringkarn leads the PPP TWG group through a session on Partnership Prioritization.

As well as talking about PPP developments, the group discussed what the countries need to do to prepare for the upcoming implementation of the U.S. SIMP on 1 January 2018. Some countries shared how they moved up from Yellow, and how the government helped the private sector to improve their access to U.S. market. The U.S. is an important market for seafood to many of the AMSs, so the group hoped that, through USAID Oceans and Seafood Watch®, they will be provided assistance in developing an action plan for improving trade with the U.S. market, without giving fishers and industry players additional burden. The group also hoped the action plan can be completed in the next two years.

Group 4: Human Welfare/ Gender-Labor Analysis

Presenter: Ms. Mildred M. Buazon, Philippines

Members of the Human Welfare TWG discuss during the Group 4 Learning Session.

The group discussed the USAID Oceans Workstream that focuses on gender mainstreaming and fisheries, GRVCA, gender resource mapping, and the labor aspects and fisheries aspects of fisheries value chain, and highlighted the following important considerations in addressing issues related to gender and labor:

- Gender mainstreaming is the process of assessing the implications of fisheries issues on both men and women and seeing to it that the issues and concerns of both men and women are addressed or indicated in any plans, actions and programs to ensure that both men and women equally benefit.
- GRVCA is very important to identify the different roles of men and women
- As specified by the gender dimensions framework, it is important to know who has access to resources, who has the time and space, and who has the power of decision making, based on a consideration of the beliefs and perceptions, practices and participation, laws, legal rights and policies, and institutions that are in place.
- For gender resource mapping, the participation of the local community in data collection and validation is very important – they are our resource persons, and we are just the facilitators.
- With respect to labor, the group recognized that both sea-based and land-based aspects are important, but the discussion focused more on the land-based aspects, emphasizing the following: recruitment and hiring, contracting (contracts sometimes disproportionately favor employers over workers), workers' documentation, issues on child labor, discipline and grievance handling mechanism, rights of workers in advocating freedom of association, wages, and benefits, as well as health and safety and working hours, whether the working hours favor the men or women, working awareness, harassment issues, abuses and discrimination in the workplace, forced labor, abuses and vulnerabilities, violence and intimidation.

Group 5: Communications and Outreach

Presenter: Mr. Nazario Briguera, Philippines

These were the highlights of the small-group discussion on Communications and Outreach:

- The Communications and Outreach session was led by USAID Oceans and SEAFDEC, and attended by representatives from Cambodia, Malaysia, Myanmar, Philippines, and Vietnam.
- About half of the participants who joined the discussion did not have exposure to communication work but all participants fully appreciated the importance of IEC in helping ensure the success of project implementation.
- Presentations included an overview of the USAID Oceans communications platforms and opportunities for the national TWGs to contribute to the program's eNewsletter, website, and social media.
- There was a short refresher training on best practices for social media, news article writing and photography that the TWG members can use when contributing to USAID Oceans and their everyday communications activities within their agencies.

Members of the Communications group brainstormed together for potential regional communications projects that could address general awareness in each country.

- Of particular interest to the group was guidance on photographing and interviewing vulnerable populations and children, including using USAID Oceans consent guidance and release forms across the TWG groups.
- Aside from skills we also need to be guided on photography ethics, particularly with respect to photo subjects that involve vulnerable populations
- Group shared information about their communication projects to familiarize each other with agency priorities, activities, and communications capabilities. Some countries have dedicated communications units but others did not. Some participants said they are not actually the people who are responsible for communications in our respective agencies.
- The group reviewed USAID Oceans primary messages, audience, communications objectives and projects found similar messages among the TWGs.
- The group also identified common objectives, messaging, and challenges, and agreed on the first project that the IEC TWG will work on to address a common issue that was identified by the TWG members: Lack of awareness of CDT among their local fisherfolk. The group agreed to develop communications materials targeted especially at the fisherfolk to explain the CDTS and why it is important in a way that can be easily understood by the coastal community. These will include posters, brochures and possibly a short video that can be translated by each country to their local language and used for advocacy to promote community support for the establishment of the CDTS.
- The group said they would like to widen their network, making sure that everybody has something to say in terms of developing communication materials as they plan to develop a prototype material that the different countries can adapt to their own needs and translate to their own respective languages.

2.3.3 Session 11: Presentation of Draft Year 3 Work Plan of the USAID Oceans and Fisheries Partnership

This session was a presentation by USAID Oceans' Chief of Party Mr. Silvestre that provided an overview of the Draft Year 3 USAID Oceans Work Plan and set the stage for the next session of small group discussions that would tackle in depth the specific activities under each of the five USAID Oceans Workstreams across the 10 countries that USAID Oceans is working with.

The presentation was structured in two parts—Context and an Overview of Year 3 Work Plan Key Elements.

➢ *Presentation*

Part 1 – Context

USAID Oceans starts very early with the planning for the next fiscal year because the work plan goes through a number of technical approval process steps. The Year 3 plan covers fiscal year 2018 that runs from 1 October 2017 to 30 September 2018 based on the U.S. fiscal year cycle.

Steps in the planning process

1. USAID Oceans Work Planning Workshop (May 2017) – This was a week-long activity where the USAID Oceans core team and country teams, in consultation with key partners, reviewed the program activities, goal and vision, end-of-project outcomes, results framework, and logical relationships between the various workstreams and how they will all lead to the ultimate mission of strengthening regional capacity and cooperation. Those elements had been discussed and presented during the inception workshop in September 2015 as well as during the Year 2 annual planning exercise with the TWGs, and are also included in all of the program's annual reports and quarterly progress reports to ensure that all partners are clear about the USAID Oceans end-of-project outcomes.

   The May 2017 workshop also looked at the progress in each of the workstreams, and noted many reasons to celebrate, as well as disappointments and frustrations about certain activities, which were all considered in the Year 3 work planning exercise.

   Program activities were reviewed against available resources, taking into account that fact that work planning and budgeting is a zero-sum game: money allocated to one activity cannot be used for other activities.

2. Consultations with program partners, primarily with SEAFDEC and CTI-CFF particularly on USAID DOI grant, and colleagues from NOAA – The program can only go as fast as the partners are willing to go, so it is important for all program partners to stay in close consultation with each other.

3. 2nd TWG Planning Workshop (July 2017) – The outputs from this workshop will inform the Year 3 Work Plan with the countries' perspectives and priorities, and their ability to work with the key USAID Oceans team and key USAID Oceans partners to move the agenda forward toward achieving the end-of-project goals.

4. USAID Oceans Work Plan refinement – This involves internal meetings among the USAID Oceans core team, incorporating inputs from this planning workshop

5. Submission to USAID for approval, improvement, comment (Sept 2017)

6. Presentation to SEAFDEC program committee to get Work Plan approved and submitted to SEAFDEC Council

USAID Oceans' End-game

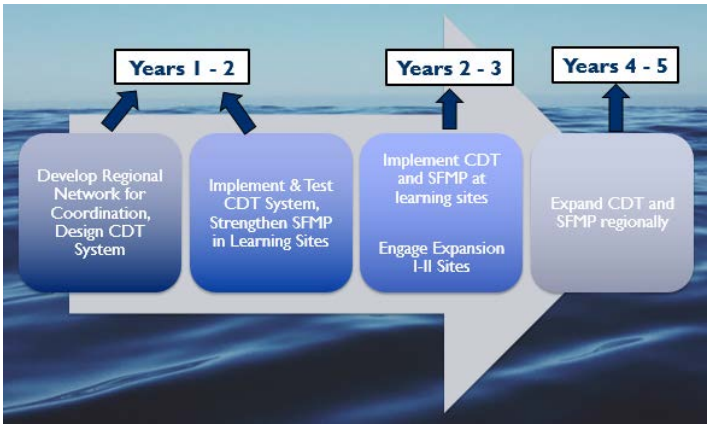
By 2020, USAID Oceans will deliver:

- Fully functioning **electronic CDTS/ACDS** demonstrated at 2 learning sites, and implemented through the whole supply chain from catch to import – There is need to agree on a common terminology so people are not confused that ACDS and CDTS are two different systems that SEAFDEC and USAID Oceans are going to come up with. There is only going to be one system that will be suited to the

regional realities. The will be demonstrated in the two learning sites and implemented through the complete supply chain, from point of catch to point of entry to the import markets.

- Integration of CDTS node with the wider national FIS demonstrated – The USAID Oceans team is already working with colleagues in the Philippines and Indonesia on how the CDTS nodes could be appended or incorporated into the wider FIS that they have.
- **EAFM Plans** developed for Sulu Sulawesi Large Marine Ecoregion and the two Learning Sites in Bitung, Indonesia and General Santos City, Philippines
- **ACDS/CDTS Guidelines** developed and applied, including KDEs, a CDTS electronic architecture that is most practical for the countries' use; and roadmaps for implementation – The roadmaps will be country-specific because AMSs are at different stages in terms of their capabilities, their institutional and regulatory frameworks and other considerations on ICT.
- Concrete **public-private partnerships**, with at least eight partnerships formed and USD4 million leveraged from the private sector, particularly for CDT work – As of current count, eight partnerships have already been established, with leveraged funding from PPP running at about USD400,000 in direct contributions. There is a need to quantify the partners' indirect contributions, including staff time, contributions to workshops and meetings, and the logistical and office support that they provide. In addition, a number of partnerships are still in the works that will contribute to this end-of-project objective
- Incorporation of **labor and gender considerations** into CDTS through the KDEs that will be captured as appropriate for each country
- **TWG member network** developed to support regional cooperation, and as a vehicle to helping improve the delivery of end-of-project objectives and plan for sustainability. This TWG network is expected to continue to work with SEAFDEC even after USAID Oceans' exit.

Figure 45. Project timeline



Project timeline

For the remainder of Year 2 and during Year 3, the focus will be on testing and implementing the CDTS, implementing the SFMP in the Learning Sites, and actively engaging Expansion I and 2 category countries (Figure 48).

USAID Oceans regional support agenda for Year 3

Work will continue on strengthening regional capacity and cooperation, specifically:

- Develop ACDS/CDTS Guidelines and Roadmap for regional implementation
- Develop and test Core CDT Application, implement supporting technology devices (i.e., satellite devices)
- Develop CDT within the larger EAFM approach & incorporating human welfare considerations
- Develop and implement regional PPP/Industry Engagement Strategy
- Develop and continue to engage TWG network through trainings and workshops – USAID Oceans would appreciate more stability and permanence in the membership of the TWG to promote continuity of implementation.
- Produce communications and outreach materials to support program work streams/components

Learning and Expansion Site engagement

Based on implementation guidance received in the past, USAID Oceans will continue in Year 3 to invest in activities in the Learning Sites, provide proof of concept for the CDTS, and then expand implementation first to Malaysia and Thailand, and from there to Expansion Sites in the rest of the AMSs. (Table 8)

Table 7. Learning and Expansion Site engagement

Learning Site	Expansion Sites - 1	Expansion Sites - 2
Bitung, Indonesia (FMA 716) General Santos, Philippines	Songkhla, Thailand* Kelantan, Malaysia* **proposed sites, to be finalized*	Vietnam Cambodia Myanmar Brunei Darussalam Singapore Lao PDR Papua New Guinea Solomon Islands Timor Leste

Part 2 – Overview of the key elements of the Year 3 Work Plan

USAID Oceans' activities for Year 3 are divided into five broad categories:

Activity 1: Regional Support
Activity 2: National and Learning Site Engagement, Philippines
Activity 3: National and Learning Site Engagement, Indonesia
Activity 4: Support to Expansion Sites 1
Activity 5: Support to Expansion Sites 2

Year 3 Activities: Regional

- Regional Capacity Building and Coordination
  - Provide regional technical expertise and support, including regional trainings
  - Support grants provided through USAID/DOI to SEAFDEC, CTI-CFF, CTC
  - Organize study tours to Philippine and Indonesian learning sites
  - Development of regional ACDS/CDTS Guidelines and Roadmap – This will be developed by SEAFDEC and followed through with a number of experts in CDT systems to develop the Guidelines and Roadmap, factoring into the process the guidelines issued by FAO as well as the CDT 101, CDT 201, KDE, etc.
  - IEC support to communicate cross-cutting information through Oceans web portal, eNewsletter, TWG Group
  - IEC support to develop communications materials, informational videos across workstreams
- Catch Documentation and Traceability
  - Provide regional technical expertise and support, including regional trainings
  - Complete guiding program documents, the CDT 201 (Technical Specifications), USAID Oceans' KDE Manual)
  - Continue to develop CDTS architecture and Key Data Elements
  - Develop CDTS Data Exchange "base version" that can be customized by regional governments
  - Support SEAFDEC e-ACDS rollout
- Ecosystems Approach to Fisheries Management
  - Provide regional technical expertise support
  - Complete Regional Sustainable Fisheries Management Plans following regional workshop, August 23-25 (for Sulu-Suluwesi, Celebes, Andaman Seas, and Gulf of Thailand)
- Human Welfare

    - Integrate human welfare considerations throughout program workstreams, including in Key Data Elements
    - Develop gender and labor products (Gender Mainstreaming Guidelines, Labor Recommendations)
- Public-Private Partnerships
    - Continue consultations with CDT Technical Advisory Group and the Global Dialogue for Seafood Traceability
    - Engage satellite service providers for activities in Indonesia, Thailand, and for regional implementation
    - Co-host Regional Technology Conference, Bangkok, May 2018
    - Engage buyers, NGOs, and foundations in the U.S. and EU (through Seafood Watch®)
- Communications and Outreach
    - Provide IEC support to communicate cross-cutting information across the USAID Oceans Workstreams through the program's various communications platform – Working across 10 countries and collaborating with key regional organizations requires all parties to communicate with each other more effectively and collectively push the work program in Year 3.

Year 3 Activities: Philippines

- Regional Capacity Building and Coordination
    - Conduct annual integrated workshop with Philippines Technical Working Group
    - Deliver technical trainings
- Catch Documentation and Traceability
    - Support Philippines Bureau of Fisheries and Aquatic Resources (BFAR) to develop eCDTS
    - Socialize BFAR eCDTS with industry and government
    - Conduct trainings to use eCDTS for industry, government at national and learning site levels
    - Localize the Minimum Viable Product in General Santos Fishing Port Complex, including first mile data collection tools (Apps), VMS technology, cellular and satellite connections
    - Work to link eCDTS and Fisheries Information System data (for fisheries management)
- Ecosystems Approach to Fisheries Management
    - Complete Sustainable Fisheries Management Plan for Sarangani Bay, monitor implementation
    - Develop Sustainable Fisheries Management Plan for Region 12
    - Conduct "Mainstreaming EAFM Workshop" to support Region 12 Plan formulation and implementation
- Human Welfare
    - Integrate human welfare considerations throughout program activities at national and local levels
    - Release results from Gender and Labor Analyses
    - Conduct national and local gender and labor workshops
    - Nominate local women's and labor group grantees for targeted grants for intervention in the improvement of equity in labor and gender
- Public-Private Partnerships
    - Engage with fishing association grantee to support the demonstration of the USAID Oceans CDTS
    - Formalize two PPP's with technology companies to support CDTS data capture and transmission
    - Identify and develop partnership with small-scale fishing associations so that we can provide proof of concept of the system for small scale fisheries
- Communications and Outreach (cross-cutting)

Year 3 Activities: Indonesia

- Regional Capacity Building and Coordination
    - Conduct annual integrated workshop with Indonesia Technical Working Group
    - Deliver technical trainings
- Catch Documentation and Traceability
    - Conduct annual integrated workshop with Indonesia Technical Working Group
    - Continue to collaborate with Indonesia Ministry of Marine Affairs and Fisheries (MMAF) on the development of CDTS
    - Socialize MMAF eCDTS with industry and government
    - Conduct trainings to use CDTS for industry, government at the national and learning site levels
    - Localize the Minimum Viable Product in Bitung, including first mile data collection tools (Apps), VMS technology, cellular and satellite connections
    - Work to link CDTS and Fisheries Information System of MMAF for fisheries management
- Ecosystems Approach to Fisheries Management
    - Complete Sustainable Fisheries Management Plan for WPP 716 (using draft that has emerged from the integrated stakeholder workshop)
    - Conduct meetings and workshop to socialize, finalize Management Plan
- Human Welfare
    - Integrate human welfare considerations throughout program activities at national and local levels
    - Release results from Gender and Labor Analyses done by Verite and partners from UNSRAT
    - Conduct national and local gender and labor workshops to be able to advance the agenda for more equity
    - Nominate local women's and labor group grantees for intervention grant
- Public-Private Partnerships
    - Engage with fishing association grantees to support the demonstration of the USAID Oceans CDTS
    - Identify and develop partnership with small-scale fishing associations
    - Leverage partnerships and identify additional relationships to establish sustainable business and investment models for wider adoption of CDTS
- Communications and Outreach (cross-cutting)

Year 3 Activities: Expansion I Countries (Thailand, Malaysia)

- Capacity Building and Coordination
    - Participation of TWG representatives in national/site-level workshops and capacity-building activities that Oceans will be hosting
    - Stakeholder Consultation Workshop, Malaysia (2017)
    - Finalization of Site Profiles as well as the key issues and opportunities that will input into the management plan for Kelantan
- Catch Documentation and Traceability
    - CDT initiative support through Gaps Assessment
    - Facilitate shared learning in implementing CDTS
    - Continued engagement with Thai Union on CDTS pilot
- Ecosystems Approach to Fisheries Management
    - Technical support for EAFM planning
    - Technical support in the Identification of EAFM priorities, management objectives to contribute to Management Plan
- Human Welfare

    - Identification of network of women leaders and networking
    - Learning Site gender and labor right analyses results shared for regional learning
- Public-Private Partnerships
    - Capacity building support for partnership development appropriate to the sites in Songkhla in Thailand and Kelantan, Malaysia to support national initiatives
    - Ongoing partnership with Thai Union, engagement in CDT pilot program
    - Engage industry associations and initiatives to support CDTS expansion to Thailand (linked to sustainable fisheries management and fair labor)
- Communications and Outreach (cross-cutting)

Year 3 Activities: Expansion 2 Countries

- Capacity Building and Coordination
    - Participation of TWG representatives in national/site-level workshops and capacity-building activities – The USAID Oceans Team would like to be able to obtain the support for TWG representatives to continue national and site level workshops that are being conducted in Bitung, Indonesia and General Santos City for them to learn from key best practices for their own individual systems in their own countries.
- Catch Documentation and Traceability
    - CDT initiative support through mentoring and networking (Gaps Assessment)
    - Facilitate shared learning in implementing CDTS
    - SEAFDEC ACDS implementation activities support in complement to CDTS testing (particularly Brunei pilot)
- Ecosystems Approach to Fisheries Management
    - Technical support for EAFM planning
- Human Welfare
    - Identification of network of women leaders, networking facilitated
    - Gender and labor products (Gender Mainstreaming Guidelines, Labor Recommendations) shared for regional learning
- Public-Private Partnerships
    - Capacity building for partnership development to support national initiatives
    - Rapid Partnership Appraisal in Vietnam

Perspectives and considerations for planning

- The activities that have been identified in the Draft Year 3 Work Plan should be viewed against the life-of-project outcomes that USAID Oceans is expected to produce, available resources, and the individual capacities of project implementers. These are the activities that the USAID Oceans core team believes will give the greatest impact from program investments for informed and empowered CDT systems in the 10 countries that USAID Oceans is working with.
- The Work Plan is a zero-sum game. Everyone wants to do more but the program's resources are finite, and anything that is added to one country is something that is taken away from activities in the other countries. The TWG sessions are encouraged to consider the finiteness of program resources and devote resources to activities that will have the greatest impact and bring USAID Oceans closer to the end-of-project outcomes in Year 5 that all partners and the countries would like to reach.
- We have finite resources – we know the countries want to do much more, but we hope you will understand that we have finite resources and if we add to one country, we will have to take away from other activities and other countries.
- Investments in the Learning Sites should be viewed as regional investments rather than country investments because they support regional learning that benefits all of the AMSs. In addition to the CDTS

that will be tested in these Learning Sites to support CDT development by the other countries based on their own individual contexts and needs, USAID Oceans will be organizing tours to Learning Sites in both the Philippines and Indonesia to promote extension of knowledge, best practices and lessons learned to the rest of the region.

2.3.4 Session 12: Workshop on Aligning USAID Oceans Work Plan with Country Priorities and Strategies, and Potential Partnerships Identification – Work plan discussions by workstream (small groups)

For this session, participants were divided into five groups, as follows:

Group 1: Philippines
Group 2: Indonesia
Group 3: Malaysia, Thailand
Group 4: Cambodia, Lao PDR, Myanmar
Group 5: Singapore, Vietnam, CTI-CFF

Participants were instructed to review and discuss in their respective groups each of the different Workstream activities for alignment with their countries' priorities and strategies. The different USAID Oceans Workstream leads moved from one group to the next staying 20 minutes with each group to provide technical guidance on their respective Workstreams.

No plenary presentations of the discussion results were scheduled during the workshop, but the results were captured and submitted by group. (See Annex VIII)

2.3.5 Session 13: Synthesis of Workshop Outcomes

Participants reconvened in plenary session, where Ms. Lando asked them to fill out post-training and workshop assessment forms, before presenting her summary of the workshop. Recalling the events of the past three days, Ms. Lando noted that all workshop objectives of stock-taking, sharing and learning and planning had been met. Moreover, most of the expectations participants had shared on Day 1 had been fully met, except for a few that required more in-depth discussions or learning than could be had in a three-day planning workshop, such as those relating to learning "techniques/approaches for combatting IUU fishing," or specific expectations of skills development (documentation, data collection, communication).

At the end of her presentation, Ms Lando invited participants to a group game, where they "rated" the workshop in terms of participation, partnership and "personal commitment" by choosing and standing beside one of five scorecards posted on the wall and numbered "10", "25", "50", "75", or "100". Through crowd counting, Ms. Lando determined the score for each of the three criteria to be between 75 and 100, signaling a successful workshop.

The session ended with a workshop highlights video produced by SEAFDEC.

2.3.6 Closing Session

In this wrap-up session, each country delegation expressed through a representative their thoughts on and appreciation for the success of the workshop, and closing remarks were provided by SEAFDEC, USAID/RDMA and USAID Oceans.

➢ *Remarks by the Delegations*

Cambodia's TWG Representative gives closing comments at the final session of the Annual meeting.

Cambodia said they learned a lot and were interested in the potential application in their country of the different tools presented in the workshop, "especially at this time when we are facing a lot of IUU fishing concerns." They hoped to see more support from USAID Oceans for Cambodia, Lao and Vietnam, in the Expansion-2 phase of the program.

Vietnam specifically mentioned learning about CDT and the experience of the Learning Sites, which they said would be "very useful for us in the future."

Singapore said they appreciated "the wealth of data and discussions, insights and sharing from the other countries."

The **Philippines** shared their perspectives from having a Learning Site, saying they valued the results of the analyses done in General Santos City, and that these would inform "future interventions."

Indonesia appreciated that the participants were open and communicated, "and we learned a lot from and with each other."

As host country, **Thailand** thanked everyone for coming to their country and said the specific methodologies shared during the workshop, as well as the experiences of the Philippines and Indonesia, were particularly important for them "because we are going to organize our own technical workshop at the end of August."

Lao PDR reminded everyone that "Lao is different from the other countries that are here – we don't have a sea, we only have inland fisheries." They added: "We tried to understand all of the topics, and when we go home, we will talk to our boss and try to apply our experiences, so we hope you will not forget us next time."

One of two Singaporean representatives reflects on the week's workshop sessions.

Echoing the other countries' comments about "learning a lot" from the workshop, **Myanmar** made a push for the regional vision: "Let us try to reach our regional objectives and goals."

Finally, **Malaysia** said they were "looking forward to assist in the CDT gaps analysis and multi-stakeholder consultations which will be held in Malaysia this year."

➢ *Closing Remarks*

The closing remarks were delivered by Dr. Yuttana Theparoonrat for SEAFDEC, Ms. Velez-Srinivasan for USAID/RDMA, and Mr. Silvestre for USAID Oceans. All speakers thanked the participants for their contributions

to the discussions, and all offered insights from their respective organizations' perspectives for moving the USAID Oceans agenda forward.

Information coming out of the workshop could be put to good use not only to strengthen the plan "but also to effect efficient implementation of activities," Dr. Theparoonrat said, vowing, "SEAFDEC is committed to implementing such activities."

Ms. Velez-Srinivasan assured that she heard the countries' call for assistance, "My whole team would love to give to implementation in all sites 100% but we are limited with resources. But let's show results and I will fight with our budget people in Washington and try get more funding and see how we can further this. The implementation of the ACDS and the introduction of the U.S. regulation on seafood traceability are opportunities to engage with each other and learn from each and every one of you about what's happening with each of your countries' implementation and approach. That's why we need you all her, it is very important that we hear from you, [and] I would like to stress again that the USG is committed to support the region's effort in combatting IUU and increase sustainability. We do hear your concerns."

Mr. Silvestre concluded: "There is a lot we can do to improve the integrity of the environment which sustains our fisheries and there is much we can do to enhance the effectiveness of the institutions and the means by which we can advance the agenda for improved productivity, sustainability and environmental integrity. I hope you use everything you've learned in the past three days as an encouragement for you to rededicate yourselves to the task at hand for the region to improve the benefits we get from our marine resources."

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ANNEX II. AGENDA

The below agenda was provided at the beginning of the USAID Oceans 2nd National Technical Working Group (TWG) Workshop held on 12-14 July 2017 in Bangkok, Thailand. It does not reflect agenda or schedule changes made during the meeting.

JULY 11, 2017 (Tue)	
Arrival of all participants	
JULY 12, 2017 (Wed)	
8:30-9:00	Registration
9:00-9:30	**Opening Session:** • Introduction Mr. Geronimo Silvestre, Chief of Party, The Oceans and Fisheries Partnership • Welcome Remarks Dr. Kom Silapajarn, Secretary General, SEAFDEC Ms. Cristina Velez Srinivasan USAID RDMA • Opening Remarks Mr. Chul Sinchaipanich, Director of Fisheries Foreign Affairs Division, Department of Fisheries Thailand (on behalf of Director General)
9:30-10:00	**Introduction of Participants** Dr. Yuttana Theparoonrat, Team Leader, SEAFDEC TWG for Oceans
10:00-10:30	**Group Photo and Coffee Break** *Ms. Melinda Donnelly, Communications and Outreach Specialist*
Moderator (Sessions 1-3A):	
10:30-10:45	**Session 1:** Introduction to the TWG Planning Workshop and Expectations
10:45-11:00	**Session 2:** The Oceans and Fisheries Partnership: Where are we now? - a general outlook of how far we have gone since May 2015 Mr. Geronimo Silvestre
11:00-12:00	**Session 3A:** Progress of Activity Work Streams: Catch Documentation and Traceability (CDT) and Partnership with the ASEAN Catch Documentation Scheme of Japan Trust Fund *(Mr. Farid Maruf, Dr. Somboon Siriraksophon, Dr. Kaoru Ishii)*
12:00-13:30	**Lunch**
Moderator (Sessions 3B-3D):	
13:30-13:40	Check-In/Group Dynamics
13:40-14:10	**Session 3B:** Progress of Activity Work Streams: Ecosystems Approach to Fisheries Management (EAFM) and RAFMS results *(Mr. Len Garces, Dr. Purwanto, Mr. Isara Chanrachkij, Ms. Panitnard Taladon and WorldFish)*
14:10-14:40	**Session 3C:** Progress of Activity Work Streams: Public-Private Partnerships and Industry Engagement • Presentation of partnerships progress • Presentation of the Value Chain results (from Bitung & Gen San) *(Ms. Araya Poomsaringkarn & Mr. Marc-Olivier Roux)*
14:40-15:10	**Session 3D:** Progress of Activity Work Streams: Gender analysis and Labor studies results

	(Dr. Arlene N Satapornvanit, Dr. Marieta B. Sumagaysay/WinFish, Dr. Reiny Tumbol/UNSRAT)
15:10-15:30	**Coffee Break**
Moderator (Sessions 3E-6):	
15:30-15:45	**Session 3E:** Progress of Activity Work Streams: Communications and Outreach *(Ms Melinda Donnelly and Mr Krit Phusirimongkol)*
15:45-16:00	**Session 4A:** USAID DOI Support to SEAFDEC: Advancing the Development and Implementation of a Fisheries Catch Documentation and Traceability System in Southeast Asia *(Dr Yuttana Theparoonrat and Ms Panitnard Taladon)*
16:00-16:15	**Session 4B:** USAID DOI Support to CTI-CFF: Strengthening Organizational and Administrative Capacity for Improved Fisheries Management
16:15-16:45	**Session 5:** NOAA Updates on US Regulations on Seafood Imports Monitoring Program (SIMP)
16:45-16:50	**Session 6:** Q&A and Discussion on USAID/SEAFDEC Oceans and Fisheries Partnership
16:50-17:00	Day 1 Wrap-Up
18:00-22:00	**Welcome Dinner (Sponsored by SEAFDEC)**
JULY 13, 2017 (Thu)	
9:00-9:10	Recap of Day 1 & Overview of Day 2 *(Facilitator)*
Moderator (Sessions 7-9): Sharing on Methodological Approaches	
9:10-10:45	**Session 7**: Fisheries Value Chain Analysis a. Economics aspects (Mr. Paul Ramirez, WorldFish) b. Gender-responsive VC Mapping (Dr Marieta Sumagaysay, WinFish)
	Working Coffee Break
10:45-11:15	**Session 8:** Simplified Fish Stock Assessment (FishPath) NOAA
11:15-11:45	**Session 9:** Seafood Watch Standards and Assessment Process Seafood Watch Monterey Bay Aquarium *(Mr. Sam Wilding)*
11:45-12:00	**Briefing on Small Group Learning Sessions in the afternoon**
12:00-13:30	**Lunch**
13:30-16:30	**Session 10: Learning Sessions on Workstream Methodologies** **Group 1: CDT / ACDS Development/IT** *(Mr. Farid Maruf, Dr Somboon, Mr. Thanya Saksophit, Mr. Elviro Cinco)* **Group 2: EAFM/ RAFMS** *(Mr. Len Garces, Dr. Purwanto, Mr Isara, Ms Panitnard, WorldFish)* • *RAFMS Methods cum VCA with emphasis on EAFM planning and CDT support (Examples from GenSan and Bitung Learning Sites)* • *Fisheries Management Planning and Stakeholder Engagements (WorldFish)* • *EAFM Planning Process Experience in Samar Sea (Raffy/Efren/Nap)* • *Institutional Analysis methods (Option)* **Group 3: PPP / Partnership Prioritization** *(Ms. Araya Poomsaringkarn, Mr Marc-Olivier Roux, Ms Wendy Norden)* • *Market Assessment methodology (by Seafood Watch)* • *Rapid Partnerships Appraisal methodology & case studies (by USAID Oceans PPP team)* • *TWG PPP Leads work plan exercise / Interactive session (By USAID Oceans PPP team)*

	Group 4: Human Welfare: Gender Analysis / Labor *(Dr Arlene N Satapornvanit, Dr Marieta Sumagaysay, Dr Reiny Tumbol)* • Basics of Gender Analysis • The Gender Dimensions Framework • Gender Resource Mapping • Examples from Gensan and Bitung Learning Sites **Group 5: Communications and Outreach** *(Melinda Donnelly and Krit Phusirimongkol)*
	Working Coffee Break
16:30-17:00	**Plenary:** Presentation of Highlights by Group Representatives (Lead Facilitator) General Discussion and Wrap-up for Day 2
JULY 14, 2017 (Fri)	
9:00-9:15	Recap of Day 2 & Overview of Day 3
Moderator (Sessions 11-12): Work Planning – Revisit and Fine Tuning	
9:15-10:00	**Session 11:** Presentation of Draft Year 3 Work Plan *(Mr. Gerry Silvestre)* Discussion on Year 3 Work Plan
10:00-10:30	**Session 12:** Workshop on Aligning Oceans Work Plan with Country Specific Tasks, NOAA and USAID/DOI grants to SEAFDEC, CTI-CFF and CTC, resource mobilization through partnerships (Break out groups)
10:30-10:50	**Coffee Break**
10:50-12:00	**Session 12 (cont'd):** Workshop on Aligning Oceans Work Plan with Country Specific Tasks, NOAA and USAID/DOI grants to SEAFDEC, CTI-CFF and CTC, resource mobilization through partnerships
12:00-13:30	**Lunch**
Moderator (Sessions 13-15):	
13:30-13:40	Check-in
13:40-15:00	**Session 13**: Reporting and Discussion on Way Forward (Plenary Session)
15:00-15:30	**Coffee Break**
15:30-16:00	**Session 14:** Group Dynamics
16:00-16:30	**Session 15:** Post Workshop Evaluation
16:30-17:00	Closing Ceremony
18:00-22:00	Farewell Dinner (c/o USAID Oceans)
JULY 15, 2017 (Sat)	
Departure of participants	

ANNEX III. USAID OCEANS PARTNERS

The Oceans and Fisheries Partnership (USAID Oceans) is a USAID-funded activity, implemented by Tetra Tech ARD. USAID Oceans is a collaboration between USAID and the Southeast Asian Fisheries Development Center (SEAFDEC) and the Coral Triangle Initiative on Coral Reefs, Fisheries, and Food Security (CTI-CFF). The program works with a wide range of partners that bring additional expertise and experience to the mission.

USAID

USAID's Regional Development Mission for Asia (USAID RDMA), located in Bangkok, Thailand, implements programs and forges partnerships with government, civil society, private sector and regional institutions across 24 Asian nations. RDMA's regional programs that address cross-border issues, including environmental issues, which are among the chief impediments to Asia's long-term development success. Rapid economic growth has led to dramatic increases in the use of natural resources and wrought unprecedented damage on Asia's forests, fisheries, wildlife and vulnerable ecosystems in response to these threats.

SEAFDEC

Partner organization, the Southeast Asian Fisheries Development Center (SEAFDEC), is the technical and operational arm for fisheries matters in the region, and is engaged in the ASEAN-SEAFDEC Strategic Partnership (ASSP). ASSP works to enhance cooperation between ASEAN, SEAFDEC, and ASEAN member countries and recognizes USAID Oceans as an official ASSP program. SEAFDEC facilitates regional engagement and supports Activity work streams through the Oceans/SEAFDEC Technical Working Group. SEAFDEC also bring tremendous technical expertise to the Activity, in support of capacity building activities in the learning and expansion sites. SEAFDEC is working closely with national fisheries agencies on the implementation of the ASEAN Catch Documentation Scheme, which complements Ocean's regional approach and supports traceability objectives.

CTI-CFF

The Coral Triangle Initiative on Coral Reefs, Fisheries and Food Security (CTI-CFF) is a multilateral partnership of six countries (Indonesia, Malaysia, Papua New Guinea, the Philippines, Solomon Islands and Timor-Leste), formed in 2007 to address the urgent threats facing the coastal and marine resources of one of the most biologically diverse and ecologically rich regions on earth. CTI-CFF seeks to sustain the region's extraordinary marine and coastal resources in the face of climate change and other anthropogenic threats by improving conservation of the Coral Triangle coral reefs and associated ecosystem functions, goods, and services. CTI-CFF has performed extensive work in regional fisheries management planning, and complements Oceans' objectives to establish enhanced national and regional Sustainable Fisheries Management Plans using an Ecosystem Approach to Fisheries Management.

USAID OCEANS NATIONAL TECHNICAL WORKING GROUP

USAID Oceans aims to strengthen the capacity of regional and national governance bodies and institutions. In support of this goal, the USAID Oceans National Technical Working Group (TWG) was established in 2016, and is comprised of individual members appointed at the regional, national and local level that mirror the USAID Oceans team structure. The TWG is a network and mechanism to facilitate regional collaboration. A TWG has been established for each member country and for SEAFDEC's technical leads, with each team coming together to work collectively to further regional engagement and implementation. Technical leads within the TWG will work directly with USAID Oceans' work stream specialists in the areas of catch documentation and traceability, fisheries management, human welfare, and partnerships.

IMPLEMENTING PARTNERS

Tetra Tech ARD

Tetra Tech ARD is the prime contractor for USAID Oceans, and is a leading provider of consulting, engineering, and technical services worldwide. Tetra Tech ARD provides support to USAID on a wide-range of international development programs, using engineering, science, and high-technology solutions to solve the complex problems of the modern environment. Tetra Tech's approach is based on sound science, stakeholder engagement, capacity building, and innovative technologies and best practices. Tetra Tech has a substantial presence in Asia and extensive experience in the Asia-Pacific region having served as the Program Integrator for two of USAID/RDMA's groundbreaking regional programs, the US Indian Ocean Tsunami Warning System (IOTWS), and the US CTI Support Program (USCTI).

SSG Advisors

SSG Advisors harnesses the power of collaboration to enable communities, companies, and governments to drive market-based solutions to global challenges. SSG Advisors has proven experience in partnerships for development, building on their recent successes with TV White Space's broadband with the USAID Ecosystems Improved for Sustainable Fisheries (ECOFISH) Project. Under USAID Oceans, SSG has been working to develop public-private partnerships with information and communications technology firms, leading retailers, Southeast Asian seafood processors and fisheries, and the financial sector to support the development of electronic catch documentation and traceability to reduce illegal fishing and improve fisheries management.

Verité

Verité is a global non-profit with a mission to ensure that people work under fair and safe conditions. Verité aims to ensure that globalization is made to work for poor and vulnerable populations around the world. As part of the Oceans and Fisheries Partnership, Verité is conducting the program's Gender Analyses. Analyses will gather information on and document a range of labor conditions and current labor compliance efforts in learning sites, which will be used to inform the design and implementation of CDT system. Verité will also determine potential goals for improved labor conditions, document existing labor compliance efforts by private sector entities, and document the legal and regulatory labor frameworks of target countries relevant to the fishing sector.

COOPERATING U.S. GOVERNMENT PARTNERS

USAID Oceans coordinates closely with U.S. Government agencies that work in Southeast Asia to enhance marine ecosystems and combat illegal and unsustainable fishing practices. Key agencies include:

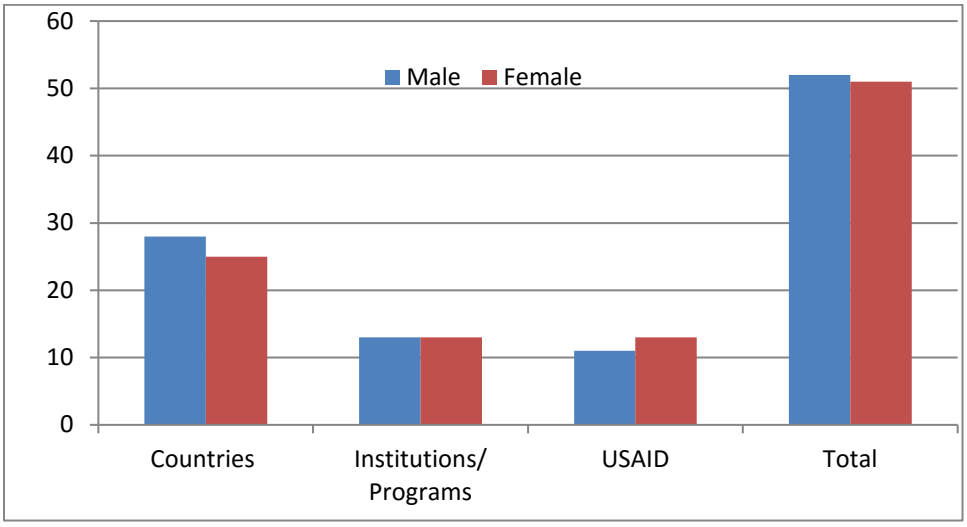
U.S. National Oceanic and Atmospheric Administration (NOAA)

U.S. Department of the Interior (DOI)

U.S. Department of State (DOS)

ANNEX IV. PARTICIPANTS BREAKDOWN BY SEX & ORGANIZATION

Category	Male	Female	Percentage
Countries	28	25	53/52%
Institutions/ Programs	13	13	26/25%
USAID / USAID Oceans	11	13	24/23%
Total	52	51	103/100%



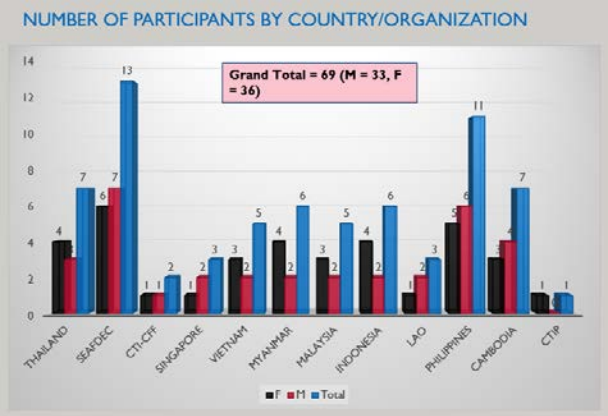
ANNEX V. Participants Expectations and Commitments with Respect to the Workshop

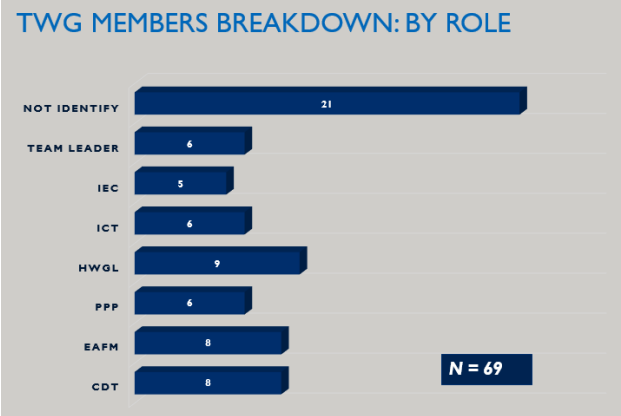
LEARNING EXPECTATIONS	
Learn status updates, progress	– USAID Oceans program – CDTS/ACDS implementation – Country activities and situations – TWG activities – Needs of TWGs, particularly the focal points – Data available in the various countries
Experiences, lessons learned	– Experiences of the Learning Sites – How to move theory to practice – Challenges in implementation, particularly of ACDS, gender mainstreaming – New techniques/approaches for combating IUU fishing – Strategies for implementing the USAID Oceans Workstreams
Methodologies	– Sustainable fisheries management – Effective planning approaches on SF – PPP, including engaging the private sector, building collaborative support networks, identifying partnership opportunities – Workstream methods
Personal skills and development	– Data collection – Documentation – Communication – How can I contribute?
EXPECTED OUTCOMES	
Workshop	– Full participation – Knowledge shared, how much learned – Recommendations, new ideas – Clarity on roles – who does what, when and where – Commitment to support – Participants satisfied with workshop outcomes
Work plan	– Acceptable, achievable, aligned, harmonized, agreed – Effective, implementable, work to action ASAP – Concise, concrete, clear, commitment – Food security and biodiversity conservation
Technical skills/human resource development	– Data collection – Data integration – EAFM – Stock assessment
Programs	– Clarity on USAID Oceans workstreams & CDT processes – KSP –knowledge, skills, and practices -- on work stream methods – Good practices identified; Impact, benefit assessed/identified – know the before and the after – Increasing trade to US
Partnerships	– Consensus, Cooperation, Unity

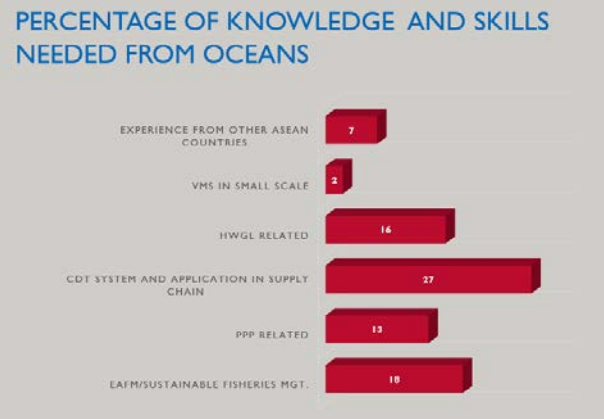
	– Partnerships/ networks identified & established – Collaborative support networks – Knowledge sharing & collaboration
CDTS	– Established and operating in the pilot site – Clear direction, effective implementation – Support for research and data analysis
COMMITMENTS	
Participation	– Focus – Technical Input/ Knowledge – Lessons Learned & Experiences – Engagement in the discussion – Open communication, open to other ideas/opinions
Partnership/collaboration on	– Evaluating/improving workplan to ensure success – Upscaling support in countries – Mainstreaming gender in CTI-CFF countries
Personal commitment	– Understand and learn – Apply the learning in my own country/ activity

ANNEX VI. Workshop Evaluation Results

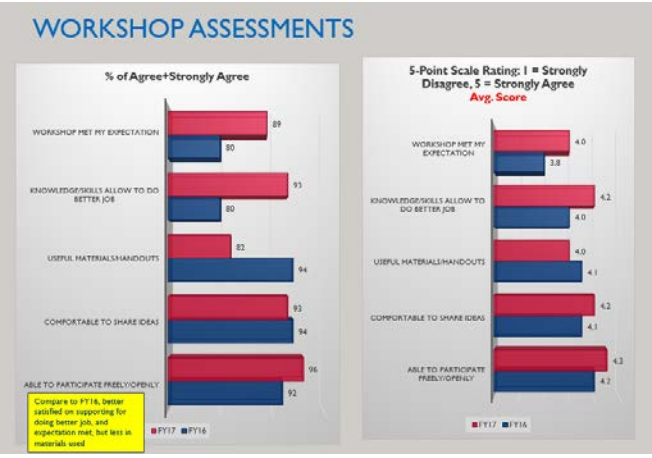
Pre-Workshop Assessment

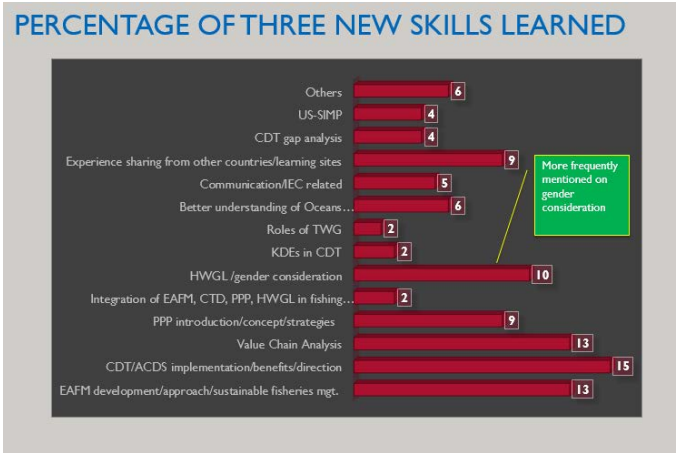






Post-Workshop Assessment





ANNEX VII. Solution to Quiz on Value-Added (Figure 21)

Particulars	Amount (PhP)	
Gross sales for 80kg tuna and tuna-like species @ PhP130/kg		10,400
Less: Cost of Inputs: 80kg x PhP105/kg		8,400
Less: Cost of other inputs		558
Transportation cost from fish landing area to market place, round trip	120	
Labor for loading and unloading of fish	80	
Crushed ice	150	
Market stall rental, attributable to tuna and tuna-like species (50% of other species sold) PhP250/month/30days x 2days x 50%	8	
Electricity and water fees attributable to tuna and tuna-like species, PhP100/day x 2 days x 50%	100	
Sando bags	80	
Depreciation cost of tubs and weighing scale, PhP10/day x 2 days	20	
Value added: (Gross value received less total expenses) PhP10,400 – PhP8,958		1,442
Value-added per kg		18.02

Gross Sales = USD 208

Costs = USD 179

VA=USD 29 (USD0.36/kg)

ANNEX VIII. Session Notes from Session 10

VII.1. Group 1: CDT/ACDS Development

Notes by A. Sia

HIGHLIGHTS *(more detailed session notes below)*

Two presentations:

1. CDT System
2. Gap analysis conducted in General Santos, Philippines

CDT System

KEY POINT: There will be no universal CDT system, but there will be recommended standards and guidelines based at the minimum on the requirements of the ASEAN, EU and US markets, and the individual countries. Ultimately, countries will be responsible for producing their own CTDS. The role of Oceans and SEAFDEC is to help them realize their vision on what CTDS they want to establish based on what works best in their situations.

Based on FAO voluntary guidelines for CDT, the system should:

1. Be in conformity with the provisions of relevant international law;
- Not create unnecessary barriers to trade (should ideally be integrated in the existing systems);
- Recognize equivalence (should not create new one, if there is already an existing system; otherwise use proven technology rather than reinvent the wheel);
- Be risk-based;
- Be reliable, simple, clear and transparent (need to consider infra limitations and needs/capacity of users); and
- Be electronic, if possible

Challenges:

1. Small scale fishers have no incentive to enter data at sea; data entry at landing site will be more realistic
2. Need to clarify role of government in data verification
3. Need to integrate catch documentation into the business process or into the regulatory/government system so it does not result in additional burden for fishers. For example, for small-scale fisheries, data entry app can also serve as a bookkeeping tool for fish buyers; for medium-large scale fishers, VMS can be used as a business tool as well as for regulation.
   Note: One-data policy recently adopted in Indonesia can provide opportunity for integrating CDTS in government info system (need to get buy-in from the private sector)
4. How to respond to specific country needs for CDT
5. Need to simplify KDEs to the minimum required by EU, US, ASEAN and individual country contexts
6. How to ensure interoperability; need to ensure that CDTS is connected to competent authority's system and allows for seamless transmission of data
7. CDTS requires fisher/businesses to invest in technology (business needs to see value in using the system, e.g. it will reduce paperwork, improve efficiency of transmission of documents)
8. How to ensure accuracy of data collected by the system
9. How to integrate ACDS and CDTS (Oceans is supporting implementation of ACDS – the two are not in competition; ACDS can be adopted by countries who don't already have an existing system)

Gaps Analysis

KEY POINT: There is no standard or template for conducting a gap analysis. Process will depend individual site needs and contexts.

Conclusion:

- Gap analysis is a powerful technique that we can apply not only in CDTS analysis but in other systems that require improvement.
- There is no specific standard for gap analysis; process can be applied in different situations in different countries with different systems
- It provides a better understanding of the issues and gaps and ways on how to solve problems like IUU fishing.

DETAILED SESSION NOTES

Objectives:

At the end of the session, trainees will be able to:

1. Describe various technologies used in CDTS and their implementation and operational issues (also expect feedback in terms of how CDTS can be operationalized in each country)
2. Describe key data element issues in the obtaining quality data (timelines, accuracy. Etc.) – work in progress, will be revisited at end of project
3. Understand gap analysis study design and suggest operationalize

Presentation: CDT 201: Technical Concept and Specs
Presenter: **Farid Maruf**

Based on FAO voluntary guidelines for CDS. CDS should:

- Be in conformity with the provisions of relevant international law;
- Not create unnecessary barriers to trade (should ideally be integrated in the existing systems);
- Recognize equivalence (should not create new one, if there is already an existing system; otherwise use proven technology rather than reinvent the wheel);
- Be risk-based;
- Be reliable, simple, clear and transparent (need to consider infra limitations and needs/capacity of users); and
- Be electronic, if possible (no CDTS that is fully electronic yet?)

Critical tracking events (CTE) – events that we want to track and need to be recorded:

1. When the product is originated
2. Moves between locations
3. Processed (transformation)
4. Traded

Oceans is focusing on:

1. Sea capture
2. Sea transfer
3. Landing
4. Land transport
5. Processor
6. Export
7. 2nd processor
8. Import

Key Data Elements – critical aspects or characteristics of the CTEs that they are associated with:

KDE – Data Capture

Small scale fishers – first point of entry into CDTS is first buyer/brokers – this is the most realistic, not realistic to expect fishers to input data while they're at sea unless they are given incentives. There is natural incentive/driver in inputting data at landing site because most fishers engage in pre-financing with buyers (buyers keep books to keep track of their transactions). App can function as a bookkeeping tool and serve as first entry of data into the system.

Challenge: When they know that we are capturing the data and they know we are giving the data to government, then they're reluctant to share data because they think it will be used as basis for taxing them.

How to accommodate different definitions? And can how the data be transmitted from one node to the next and ensure that there's no double entry of data?

On the size/definitions: Each country should decide, e.g. what is small-scale/large-scale

2nd point: App captures this data to produce document, and when buyer sells to processor, he will transmit data to produce US and EU simple forms

There's a mechanism for reporting. In the Philippines it's called auxiliary invoice. In Legazpi, the app helped to shorten the process.

In the private sector, when they produce an invoice, which becomes a tax form. We may be able to replicate, not the tax aspect, but the documentation.

Medium to Large-scale

First point of entry into CDTS is point of catch/elogbook, e.g. two-way VMS. Because there's regulation governing this elogbook but need to address issues related to cases where data are not entered in real time.

VMS – Inmarsat, Thuraya, Iridium, CLS-Argos are some of the companies that are in the business.

2-Way VMS – hybrid satellite-cellular comm with auto switch over technology; data capture at sea; fleet monitoring and management

Key objective is to change objective of VMS use from regulation to business tool, e.g. for fleet monitoring and management

Want to get buy in from private sector

Proprietary Data and Data Security:

1. Data privacy (respects confidentiality and sovereignty)
2. Data verification (validation, certification_
3. Data security (chain of custody) – tamper-proof; digital signature and encryption, block chain
4. Cloud vs on-premise data center

Transport and Transmit – use of QR code or bar code where the data are stored and transmitted electronically

Standards – two types: static and dynamic

Static does not change , maintained by global organizations (FAO, ISO)

Dynamic – typically maintained by stakeholder

FLUX – already adapted by Thailand – an open and global standard that allows for electronic exchange of fishery data.

If countries will adopt this as a standard, it will facilitate integration.

Existing technology and solutions – there are several, key is to ensure interoperability (the ability of different info systems and software applications to communicate, exchange data and be able to use the info that has been exchanged)

e.g PLUS, CIRRUS, SWIFT

Interoperability also exists within government – DEX, VMS, Vessel registration, landing, catch certificate, electronic catch reporting systems, integrated electronic trip reporting, health certificate. Need to have a system that will be enable us to transmit data seamlessly.

Q&A

Q – Looking at practicability: We have Oceans CDTS, SEAFDEC ACDS, and there are country systems – if I would like to help TL for example and maybe they are just concerned about integrating with the government and they would like to see at the end that there is a technology helping government to track imported seafoods to the US and when they verify the data, the country can respond adequately. Which system should I choose?

Farid —if you want a short answer, I would say ACDS. Why because Phils, Indonesia and Thailand already have a system but in TL, if they don't have it yes, they can use ACDS. It's very good system, structured end-to-end.

Q – Based on Oceans objective, I thought we would start with Tuna in Gensan and Bitung. (yes) So not other species because that would be too ambitious. (2) Is there anybody here in the room who has been at sea with fisherman catching fish – you can see how busy they are while catching the fish. Do they have time to measure the catch? We had a study to use electronic log book but it didn't work very well. They don't have the time to do this. Maybe too ambitious. (3) we have to have a relationship with competent authority in each country – send report to competent authority (make sure system is connected to competent authority's system)

Farid– Totally with you. Even though it's B2B, it will be validated by competent authority. If there's need for capability building we will do that. The way we see this is that this will reduce paperwork for business because we're trying to design system as part of the business process

Q – Because we have to ask fisher to record, are we asking the fisher to invest in technology? Also how do we ensure accuracy? Can we rely on data collected by the system? Also SEAFDEC has ACDS which has been adopted by the Council, how do we integrate the two?

Farid– Not mandatory – want to go one step by using business driver to do that. Yes, there will be investment, but if they see the value, e.g. it will reduce paperwork, they will be willing to invest. Again, it's not prescriptive. Countries can use ACDS, or their current system, or CDTS, but because the KDES are the same, should be easy to integrate with a little tweaking. We have to consider different documentation requirements in each country, and the system will accommodate that

Soomboon– I think we should understand what ACDS is doing and what CDTS is doing otherwise we think we are competing with each other. SEAFDEC developed the system as a commitment to the countries because it was requested of us. If you want to use it, we fully support. We have to make t very clear that this is a concept that countries can opt to adopt or not.

Gerry – We at Oceans appreciate the wisdom of our elders. WE appreciate the insights and the difficulty of generating info out in the field. Similar to data collection – Garbage In, Garbage Out. We will be field testing whatever recommendations you make. We do understand how difficult it is to get data at point of capture we may have to settle for data capture at lending sites. We will be at the end of the day producing one system that SEAFDEC will recommend to AMS.

1. There is no one single universal CDTS that this project will be producing – impossible to do given your varied situations. What will be produced are system architecture and guidelines to help you decide your CDT system to support trade
2. Countries responsible for producing their own CDT system – burden is with the sovereign state. The role of Oceans and SEAFDEC is to help the states, fully realizing that the decision on what your CDTS will be belongs to you based on your regulatory requirements, capacity, IT infrastructure. It's your responsibility to decide what works best based on your situation.

Q – May I suggest that we start with the simplest data that we believe are sufficient for authority. Don't expect too much from processor, fisher, to fill so many blanks. Try to find the simplest data that they can complete. Maybe 5-6 data.

A – Actually ACDS is very simple. IF you have very good database, it will be simple.

A – Correct, we will define the KDE based on requirement – e.g. market requirement, EU requirement and US requirement. However, during our study we also talked to other organizations – they said that data already exist in the database. In the PHL, they require the following data (BAC 251/2014) So we don't dictate, we support the countries. The details will differ.

Q – Confused: Is Oceans just going to provide guidance or framework on CDTS, or are you going to invest in a system that will help countries to meet EU or US requirements for example?

Gerry – What I'm saying is, let's take this specific example, we would be recommending these are the KDEs, taking into consideration EU and US requirements/guideline -- you would only need to collect these data elements. Much shorter than the KDEs that the PHL has. The PHL has no choice but to collect the data because this is a legal requirement but we will advise them you don't need all these to trade with ASEAN, EU, US but if they insist we will support them. So what we're saying is there is no universal system but there are universal standards.

Q – KDE can be limited to what is required by EU/US and ASEAN. My question is at the end of Oceans, will there be a technology that each country can use? Or just standards/framework?

A – If you want to give tangible solution for each country. Not the goal for Oceans. Our goal is to be able to help countries to implement traceability thru their own capability and existing setup. IF the country has nothing, I think it will be easier because we can introduce a working system like ACDS, more difficult to tailor make

Gerry – Appreciate the requirement for apps to simplify things. High level of specificity at the front end makes it impossible to have one single app for all 10 countries. The backend may be similar, but the front end will be different per country.

Many apps – not going to replace. Not prescribe, we will support. Regardless of the technology, you will need to enter the KDE applicable to your situation so as to meet your requirements.

Not one size fits all

Presentation: Gaps Analysis
Presenter: El Cinco

What is gaps analysis?

1. Technique to identify area of improvement
2. Finding a gap between expected and done
3. Where something is and where it is desired to be

4. Where are now? Where do we want to go
5. Meant to bridge space between current and desired state
6. How to do it and what we need to do to get there is the gaps analysis

Developing an improvement plan: Looked at best practices and current status and compare the two, develop plan to close gap

Why gaps analysis is important:

1. A traceability strategy to improve process with an effective monitoring system
2. Does not need a specific template or standard model but should be done in an organized way
3. Already being used without knowing what it's called

Process:

1. Establish current state, then the expected state, and the improvement plan
2. Examine project plan with all requirements and gaps (gap analysis), identify gaps that should be included in the requirements (how to solve gaps)
3. Gaps analysis is an in-process document that is never considered a complete document until the whole document is either completed or terminated.

RAFMS in the Philippines Project resulted in a clearer understanding of how tuna markets functi0on, and helped in the identification and prioritization of gaps.

For CDTS, it will be a modified RAFMS:

1. Checked all secondary info about the area available (Internet, laws and regulations, fisheries background)
2. Reconnaissance survey (fish landing centers, fish market, canneries, meet stakeholders, visit government agencies, establish supply chain flow)
3. Field data gathering (profile of fisheries catch data, boat registration, gear registration, logbook details, fish landing data, establish process flow, collect all forms)
4. Community validation (CDT workshop, validation of results)

Different importing countries require different data sets, which is why in the Philippines we have a long list of KDEs. But if you understand the system, you will understand the KDEs (e.g. General Santos caters to several markets that have different standards, e.g. EU, U.S. etc.)

Gaps and issues (in General Santos):

1. Lack of documentation of local fishing operations especially among small-scale fishers
2. CDTS is mainly paper based, with high probability of error; difficult to trace back data; can cause delay due to incomplete data

CDTS:

1. Can reduce paperwork
2. Not require repetitive manual input of data
3. Can reduce probability of errors and inconsistencies
4. Help verification of catch position
5. Facilitate data sharing

Recommendations:

1. Need to create a vision for General Santos to address IUU fishing in their area
2. Develop two-year roadmap toward specific goals
3. Determine next logical steps
4. Review policy and identify ways to improve system

As a result of the study, BFAR is now working on a system that will integrate existing databases in a central database.

Conclusion:

1. Gaps analysis is a powerful tool to use not only in CDTS but in other systems that require improvement
2. No specific standard and can be applied in different situations in different countries with different systems
3. Provides better understanding of the issues and gaps and ways to solve them

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VII.2. Group 3: PPP/Partnership Prioritization

Notes by Nives Mattich, USAID Oceans

Part I: Partnerships Overview Presentation: Marc-Olivier Roux

1. Intro to Partnerships
2. Market perspective on Partnerships (Seafood Watch®)
3. Overview of the Rapid Partnership Appraisal (RPA)
4. Developing of Partnership Concepts

- Partnership definition: A deliberate alliance with actors similarly motivated towards a common vision.

There are keywords in partnerships:

- Collaboration – working relationship from different organizations, cultures, etc.
- Sharing – sharing of risk, investment but also rewards;
- Resources – combined resources and leveraged results;
- Engagement - based on equity and mutual benefits
- Convergence – common vision, common goals; and
- Innovation – making something new that can be a game changer
- The partnerships universe includes private sector, civil society, financial institutions and government that covers all segments. The private sector includes technology providers and industry. Civil society includes university and NGOS and other institutions like Seafood Watch®. And there are financial institutions which includes donors, financial institutions and others.
- Partnership model: A partnership cycle includes a dozen aspects contributing to the formation of a partnership. They don't always flow into a neat sequential process which is often iterative.
- The development impact value that we look at is relevance, efficiency, scalability, sustainability, effectiveness, and ability to impact systemic change.
- In PPPs we look at the value for the business to engage with the government: can it address barriers and challenges, create new market investments, affect CSR and brand.
- There are also risks and transactions costs which must be evaluated: culd there be risks to company operations; take up too many resources; what is the time horizon.
- PPPs include shared valued. Private sector and government both have strengths and values to bring to the table that can provide benefits.

Part II: Seafood Watch® presentation: Wendy Norden

- Monterey Bay Aquarium Seafood Watch® started about 17 years ago which developed a theory of change involving developing a ratings scheme because consumers were asking for guidance. Consumers were asking for a guide which Seafood Watch® made which in turn created demand for producers because of the demand caused by the public. The presentation was about reviewing the theory of change, where we are at, and how it is working.
- When Seafood Watch® does assessment, there are 3 categories: the best choice (most sustainable, responsibly caught, etc.) yellow category – one or two problems; red, is poor on standards so the recommendation is don't by now but wait until problems are addressed. This may seem harsh but it

drives change. When there is anything on the red list, there is motivation by producers to change its assessment category.

- Seafood Watch® also benchmark eco-recommendation standards so there are a broader scope of recommendations to give. Recommendations are quite global. There are 1500 recommendations right now on the website. Recommendations are species specific.
- The standard revision is every four years. Reports are updated every 3 years unless information comes in to address them sooner.
- Over 10 million consumers are reached annually (US and North America) and this is a sufficient number to keep the conversation going. There is a lot of outreach to keep consumers informed. There is also a guide with 60 recommendations which people can keep in their pocket. There is also an app for guidelines.
- There are 1700 businesses across north America that source from the yellow and green list. They all commit to collecting data on where fish are being sourced from; the commit to educating consumers and staff; and commit to reform. In the US, 85% of purchases of seafood are in five categories: salmon tuna, crab shrimp, whitefish.
- Seafood Watch® spend a lot of time looking at consumer purchase and where the seafood is going. Food service industry buys the bulk of the product. There is a lot of time working with food service industry which is not very segregated – there are just a few companies. Three companies make up 80% of market share. So a lot of time is spent working with them – so much so that there is a specific food service working group. They identify challenges, come up with strategies and do joint campaigns.
- There are main direct business partners like whole foods, Mars, Compass, Aramark, Disney and many smaller businesses who work with that have large buying power. Two approaches are big companies and the other with smaller companies but with diversified change.
- Everyone wants to stay off the Greenpeace list. Many partners work with Seafood Watch® because they want to stay off the red list and because Greenpeace use a lot of the Seafood Watch® data.
- A recent study indicated that a motivation for sustainable seafood has become a "must have" - it's seen as part of doing business.
- Three consistent reasons for industry engaging - 1. Leaders believe it's the right thing to do; It's critical to success of business and 3. Customers expect it.
- US and EU combined are half of global seafood imports (value). Japan is the third. 90% of N American retailers have sustainable seafood commitments. When look at EU, 76% have sustainable seafood commitments.
- The key goal for Seafood Watch® is to grow the program and to find the right partnerships to drive the change that want to see. A new collaboration of global NGOs is being formed - that have recommendation programs.
- Two reports came out last week which are available: 1) US and European markets and 2) The drivers for commitments.

Q&A

Q: Does Seafood Watch® work like MSC?
A: It is similar and different. Seafood Watch® is non-negotiable. There is no stamp watch. There is also no chain of custody. Companies must have their own traceability. (Or the CDT would help). Also, we are not voluntary. For MSC, you must pay for it and be certified. Seafood Watch® does not charge, it decides to do assessments. MSC does site audits, Seafood Watch® does not. It is focused on US and North America market. MSC focuses on European market which focuses more on certification. There is zero costs for Seafood Watch® which is not for profit and gets money from philanthropies and fees from the aquarium. The standards are free, reports are free. We are not in competition with MSC. In the end we are trying to achieve the same goals.

Q. Is there a reason you don't go to ecolabel?
A. There are several reasons. We have a board of advisers and the board always says no because now there is freedom in the approach to our work under the model and it's where we think we can make most change. If we turned into an ecolabel, then we would be driven by other needs. The situation now provides flexibly. Recommendations have been shaped around standards, there is a very rigorous process. Also, the idea is that an

ecolabel would not necessarily make the program better. There is also pressure not to create another label. Seafood Watch® is addressing another niche.

Q. How are you working in other parts of the globe?
A. We are asked to extend our model to other parts of the globe so that's why Seafood Watch® is working with other NGOs sharing/and providing support staff to other NGOs in region. Seafood Watch® is trying to transfer knowledge to other parts of the globe. There are two people in China trying to develop Seafood Watch® in China. We are trying to help apply the methodology to other parts of the globe like Brazil and Mexico.

Q: Can you provide information on how to make changes on farms?
A. A small example is Seafood Watch® was assessing a shrimp fisheries in the Gulf in the US. They were coming out red becaue of sea turtle by catch. The supplier was angry and the industry changed approach to include preventive measures.

Seafood Watch® was in Myanmar to see shrimp industry to see how can improve score. Seafood Watch® engages industry all the time to provide recommendation and support. And everyone wants the same thing – so it' an easy sell.

Q. The main purpose of Seafood Watch® at this meeting is to broaden partnership with ASEAN countries. What do you expect from us to bring back?
A. Ultimately what Seafood Watch® would like is to have our standards be used to help guide improvements as needed in the region. It would be great if it could provide change in region and increase access particular for small scale fisheries. It's great to pull out good performers, celebrate successes, and use them as an example. I would also like feedback from you on how program works and how standards are applicable. I would like regional experts/ governments provide Seafood Watch® feedback to help show how standards are used.

Q. Malaysia is an exporting country to the US, can SFW review our current practice in the country in our aquaculture, lets say, or that complies with EU requirements to have our product qualify under the rating. For example Shrimp. Last year we received a report from SFW for shrimp products – and didn't understand scoring especially in comparison with Thailand and other countries.
A. We would be happy to sit down and explain that. We will assess anything globally and assess things the same way.

Wendy informed that if it is of interest to SEAFDEC, Seafood Watch® can do a formal training of what goes into assessments and fisheries and aquaculture standards. We have developed the southeast Asian shrimp aquaculture improvement protocol – which brings assessment to region.

Part 3: Rapid Partnership Appraisal (RPA) presentation – Araya Poomsaringkarn

- What is the RPA? It is part of the sustainable transparent effective partnership (STEP) methodology. The RPA is focused on scoping – mapping partnerships and prioritizing opportunities. Afterwards you work on defining goals, implementing and sustainability

- The RPA includes five steps 1) defining, 2) brain storm, 3) testing 4) refining and 5) prioritizing. Defining includes thinking about goals and then moving on to brain storming – identifying all possible partners and what they would provide/benefit. Then you test the assumptions by meeting with partners, reviewing with other stakeholders. Refining the concept and then prioritizing partnerships. The partnership concept provides a framework of roles/responsibilities, shared value of each partner.
- Normally the RPA training takes a couple of days, but today we will focus on a partnership concept.
- Partnership Concept Canvas helps brainstorm of what a partnership would be. It would: define value proposition; identify partners; partner activities; partners roles; partnership constraints and partnership results.
- The activities are not a step by step list. It is broader which helps set the framework for activities. Defining the roles, it's important to be clear what each party is expected to do and contribute to make

the partnership work. Results need to be defined but also constraints. It is important to identify potential problems. The example is provided of USAID Oceans partnership with Seafood Watch®.

Exercise: A scenario was presented to the group for review with questions to answer. The group engaged in discussion addressing the questions based on different contexts. The experiences of Thailand and Philippines were compared.

- Philippines was placed under yellow card and was able to overcome that. Thailand has a yellow card and is still under that status. The countries shared the experience from those countries on how to apply the principals of partnership to address the yellow cards.
- Philippines informed that while they were under yellow card, the government worked very closely with the private sector and support of EU. One major problem, constraint was the regulation. The penalties for non-compliance. So basically at that time, the Philippines through BFAR did a series of consultations with stakeholders because they would be the ones impacted by the amendment of the law. Because of the stakeholders they saw need to work with government for their businesses and common good of the country. BFAR also did a lot of interagency working, all relevant agencies. This is how the Philippines got out of the yellow card. Each non-compliance needed to be addressed, but with the help and support of the stakeholders and other government agencies.
- They worked with associations and all seafood exporters. The companies, especially the tuna group are a very strong lobby group based in GenSan. They have this association/federation who are also very political. Working with them, they became a partner in the government to work towards the common goal. Not very specific working with NGOs or international organization. The cooperation was largely between government and the seafood industry.
- There were many dialogues and consultations with the stakeholders. Philippines amended law for stricter and more defined fines. The reference of the government initiative was really the findings of the EU. We looked at the Philippines regulations/law and compared it with the EU regulations and what we have already in compliance with EU regulation what was lacking was the focus. The things the stakeholders didn't want to comply with, after the yellow card, the market access was a motivation for compliance. This is what drove the partnership with the help of other agencies. The biggest weakness according to the EU was the regulation and penalties.
- The partnership with the stakeholders was/has been long established. The stakeholders know the role of the government and know they need the role of stakeholder/industry. Trust has been established.
- It was a very difficult time when the EU yellow card was presented – it was important for the government to make stakeholders aware of what was needed and why. That was key to success for government. SFAII was a stakeholder – but it was really all of the exporters/stakeholders exporting. We were really focused on amendment of Philippines law.
- Thailand informed that, right now for the Thai case, the DoF is one of the key agencies working in the public sector. We also work with the associations like OC and Seafood associations. Not sure for RFMO and international organizations can be a partnership – we've tried many activities. Thailand has a problem with the same thing – we have two year yellow card. We revised the fishery law – it works properly. But we still have yellow card. From the public sector we work with CP and Thai Union, we work with associations and also work with International Organizations But haven't seen any NGO like Seafood Watch® to make engagement.
- Sometimes private and public sector work together in Thailand to learn together to identify what the problems.
- Indonesia shared an example – MMAF worked with fisheries private sector in Indonesia to conduct a workshop on preventing IUU fishing into the supply on 10 April 2017. In this workshop, Indonesia invited experts to discuss regulation on SIMP so the private sector will be ready to comply with. What kind of steps that have to follow and conduct. In MMAF every month they conduct a marine and business fisheries meeting which is attended by ministers. Over 100 private sector representatives are invited to discuss their problems, success stories and challenges. The government tries to find experts to address that problem. If Seafood Watch® has not attended one of these meetings, they are encouraged to participate. They are attended by many buyers from other countries. The main purpose is to find a solution for our private sector. One of the main discussion topic recently has been the US regulation. We made a list of the regulations and the steps and the government offered to help facilitate. So Seafood

Watch® might be another answer to those who cannot comply with MSC – because it is expensive. Indonesia will send an initiation to Seafood Watch®. In 2016 the meetings were started and there were 11 meetings conducted. In February, the moment was used to sign to MOU with USAID/RDMA for the USAID Oceans activities.

- SEAFDEC as an international organization, is in partnership with the DoF in each country. SEAFDEC cannot directly partners with individual company because it could be seen as favoring particular companies so the suggestion is to support work with associations.
- Oceans responded that working with associations seems like a good starting point for government with the potential for a large impact.
- Wendy informed that Seafood Watch® tends not to engage government directly but with the private sector so this is a good point for us to engage.

ANNEX IX. Session 12 Outputs (Draft USAID Oceans 2018 Workplan)

Regional Activities

Activity	Q1	Q2	Q3	Q4	Notes
Support Regional Capacity Building and Coordination					
Participation of SEAFDEC/TWG members in regional activities	X	X	X	X	
Conduct Year 3 Technical Working Group Training/Workshop			X		
Host study tours to learning sites (General Santos and Bitung), Songkhla		X	X	X	USAID Oceans went to visit Songkhla in the past month to look at how the Thai CDT is implemented in Songkhla and would like to share the learning with other countries. The hope is to bring one CDT focal point from each country adding one more day to the multi-stakeholder workshop so the countries can see this visit. The TWG reps would engage with the port. Oceans seeks greenlight approval from DoF Thailand to do undertake field visit during the August 2017 Songkhla multi-stakeholder workshop or other date. Fishing Info 2 and traceability system for movement of catch. Thai frozen food developed. This would be good sharing on implementation also looking at crew inspection, port-in and port-out, to follow up program. Action: Site visit can be discussed at the upcoming planning meeting with DoF.
Begin development of regional ACDS/CDTS Guidelines and Roadmap (standards, architecture, and roadmap) to support regional expansion	X	X	X	X	
Implement Regional PPP and Industry Engagement Strategy					
Develop CDTS Architecture and support completion of the CDT 201, User Stories through subcontract with Future of Fish	X	X	X	X	
Engage with the Technical Advisory Group (TAG) to consult on program approach, design	X	X	X	X	
Develop partnership with Inmarsat (satellite service provider) to test and pilot mobile satellite solution for data capture at sea	X	X	X	X	This is partnership with Inmarsat in Thailand is through Thai Union and MARS Petcare. This activity will be enhancing the relationship. Pilot work has been initiated.

Activity	Q1	Q2	Q3	Q4	Notes
Co-host Regional Technology Conference to support CDTS/FIS/PPP, secure partners for CDTS expansion (May 2018)			X		This will be conducted in Thailand in May 2018 with WWF and Oceans will work to invite representatives from the SEAFDEC and CTI countries.
Leverage Seafood Watch partnerships to engage buyers, NGOs and foundations in the US and EU markets to support the expansion and sustainability of CDTS and sustainable fisheries management	X	X	X	X	
Execute and support partnership with IPNLF to secure buy-in from key markets and align with national/local markets.	X	X	X	X	
Build Regional Capacity for CDT					
Develop CDTS "base" version			X	X	that Oceans will build a regional "base" version of software in the context of government, the ability to connect the CDT with other subsystems within the government. This may not be required by all governments but it will be shared. The base version is based on international knowledge, but the base needs to be localized to make it contextually relevant. What we are creating a generic application that will be brought to country and apply to in-country infrastructure (localization).
Provide support to eACDS implementation	X	X	X	X	USAID Oceans will fully support Dr. Somboon for the implementation of the eACDS. USAID Oceans will provide additional support as needed for each country after SEAFDEC resolves pilot testing in Brunei.
Participate in and host Global Dialogue for Seafood Traceability meeting to further regional conversation on standard KDEs and CDTS architecture	X	X	X	X	This activity is led by WWF who over the next two years with partners, are trying to collect KDEs from the private sector side. USAID Oceans will participate in the dialogue to ensure that government KDEs are addressed and incorporated. Oceans wants to make sure that government sector is represented.
Support Development of Regional Fisheries Management Plan(s)					
Support CTI-CFF RPOA EAFM Goal related to the development of SSME Plan, including the conduct of a Regional EAFM Workshop (August 2017)	X				SEAFDEC has sent the invitation letters for Regional EAFM Workshop for 23-25 August. Malaysia is request for participation of Sabah DoF. SEAFDEC has made two separate letters. The letter requests 3 DOF Malaysia and 2 DOF Sabah participants. Action: Oceans to cover the additional participants that SEAFDEC cannot.

Activity	Q1	Q2	Q3	Q4	Notes
					For DoF Thailand, 3 participants also requested with knowledge of GoT and Andaman Sea. SEAFDEC will be able to cover funding. Action: SEAFDEC to follow up on invitations. The deadline in the letter is 21 July. Malaysia TWG lead will provide response. The letter has been received but they are consulting on who can participate. EAFM, Human Welfare focal people are both requested. NOTE: Malaysia there is a quota – for number of international meetings a year that a staff can participate in. So if there is a back-to back meeting that someone should participate in, should send in one invitation. Len noted that the request to human welfare participant, the invitation was for both the meetings, Gender and EAFM. Total 6 participants for EAFM Workshop: HW (1); DOF Malaysia (3); DoF Sabah (2)
Develop training module for Rapid Appraisals (RAFMS 2.0)	X	X			
Integrate Fair Labor and Gender Equity Considerations at the Regional Level: Every time there is an event, USAID Oceans coordinates and works with SEAFDEC.					
Participate in the 7th Global Symposium on Gender in Aquaculture and Fisheries (2019)					The activity will be in year 4. A session will be included in the meeting to address gender specifically. The focal points for Malaysia and Thailand will be engaged
Conduct Regional Gender Workshop (August 2017)					Activity is 21-22 August. Invitations have been sent out through SEAFDEC. July 17 is deadline for feedback. The aim is for countries to have representation because HW is not a standalone work stream and need to incorporated.
Integrate agenda into CTI-CFF's Women Leaders' Forum in Sustainable Fisheries Management		X			CTI-CFF has established a women's leader forum. USAID Oceans wants to strengthen that group. We are learning from them, representatives from the CT6 countries will join the USAID Oceans gender workshop. They will be funded by DOI. SEAFDEC will also be funded The hope is that the TWG reps will bring back knowledge in their own countries to strengthen the capacity in their own organizations.

Activity	Q1	Q2	Q3	Q4	Notes
Participation in Women Leaders Forum's Intergenerational Workshops & conduct field visits in Bali, Indonesia and CT6 sites				X	This is a project under the Coral Triangle Center which we do not information in but want to provide support.
Ongoing coordination with SEAFDEC for gender capacity building and policy development, including development of the SEAFDEC Gender Policy	X	X	X	X	Normally SEAFDEC's gender work is supported by the Sweden project. Oceans and SEAFDEC are working to develop a gender policy in SEAFDEC. We are planning to do this over the year. The idea is to start with the organization and expand to the countries to have a gender policy. This will be submitted to the council, this is why a one year time frame has been developed. We really need help form the countries to do this. We will work together to come up with a draft and will do consultations, and once its discussed and agreed, it can be presented to the council and approved. We don't know how long it will take but Dr. Kom and Sweden project have encouraged that.
Implement Regional Communications Strategy					
Develop Core Legacy Documents across workstreams *CDT: CDT 101; CDT 201; KDE Manual* *PPP: VCA Reports; RPA and Prioritization Report; Partnership Appraisal Training Materials* *EAFM: RAFMPS (2); Regional SSME Plan; EAFM "101"; RAFMS Guidelines "2.0"* *HW: Labor Analyses Reports (2); Gender Assessment Reports (2); Gender Mainstreaming Guidelines; Labor Standards Recommendations*	X	X	X	X	All the experiences we have are documenting the processes to feed into communication and outreach so can support advocacy for policy, or toolkits, etc. that can be used in the field. So that's at the regional level. Some funding will come through DOI SEAFDEC grant.
Provide support to SEAFDEC IEC Department	X	X	X	X	
Develop and maintain activity web portal, hosted by SEAFDEC	X	X	X	X	Melinda provided a reminder about the website and the e-newsletter. Main to-do is make sure contact information is on our database, to ensure everyone received newsletter. Sign up is at the bottom of the page.
Disseminate quarterly enewsletter to activity stakeholders	X	X	X	X	
Develop program materials, to include fact sheets, event materials, case studies, and success stories on activity progress	X	X	X	X	Year 3, one of the major priorities will be to develop many more materials to let everyone know about the CDT approach and can share with the partners. A suite of materials will be put together on the CDT system and approach.

Activity	Q1	Q2	Q3	Q4	Notes
					A priority is also to clarify CDTS vs eACDS and country initiatives through communications materials. Oceans does have resources for translating key materials so will work with its team, SEAFDEC and TWG to Identify key documents for translation.
Produce videos on key Activity objectives/activities	X	X	X	X	There is a budget for videos. Some will focus on activities in the learning site from GenSan and Bitung and other opportunities on what we're sharing in Malaysia and Thailand. For example working with in the pilot site in Thailand on resources and partner on videos.

National and Local Activities – Philippines

Activity	Q1	Q2	Q3	Q4	Notes
Support Capacity Building and Coordination					
Conduct Integrated Stakeholder Validation Workshop (February 2017)					
Conduct annual integrated workshops on lessons learned and best practices with Philippines TWG		X			
Conduct on-demand (ad-hoc) trainings *MAX. 2 per year*		X		X	
Develop national and site-level communications to support work stream activities	X	X	X	X	
Develop Partnerships to Strengthen National and Local Impact					
Formalize 2 public private partnerships with technology companies to support the CDTS data capture at-sea and landing sites (FAME and Globe)	X	X	X	X	
Develop and maintain grant partnership with Socsksargen Federation (SFFAII) to support the demonstration and expansion of CDTS in target fisheries and supply chains	X	X	X	X	
Develop a partnership to support the expansion of CTDS and fisheries data collection through sustainable business or investment models				X	

Activity	Q1	Q2	Q3	Q4	Notes
Develop a partnership with small-scale association (other than SFFAII) to legitimize supply from small scale suppliers	X	X	X	X	
Strengthen Capacity for CDT/Develop and Implement CDTS					
Support BFAR to develop BFAR CDTS System (includes socialization, trainings, provision of developers, pilot of equipment in General Santos City, monitoring and evaluation of trial)	X	X	X	X	
Localize mobile CDTS MVP for vessel and supply chain traceability and point of capture (Retrofit eLogbook & supplier app)				X	
Hire staff person in Philippines to support technical work with BFAR and SFFAII	X	X	X	X	
Procure ICT support services (air-time subsidies for at-sea and land-based cellular communications, subscription for VMM/VMS communications, mobile devices)	X	X	X	X	
Socialize FAME system for small-scale fishers	X				
Development support to modify Indonesia-based Tally-O for use in Philippines, training support through workshop				X	
Provide technology support for CDT Operation Center					
Link CDTS and FIS data to support fisheries management		X			
Support Development of Fisheries Management Plan(s)					
Develop SFMP for Sarangani Bay PAMB in consultation with BFAR	X				
Monitor Sarangani Bay SFMP implementation			X		
Develop SFMP draft for Region 12 in consultation with BFAR national and Region 12		X			

Activity	Q1	Q2	Q3	Q4	Notes
Conduct EAFM trainings, including "Mainstreaming EAFM Workshop" to support the finalization of the SFMP for Region 12			X		
Integrate Fair Labor and Gender Equity Considerations					
Conduct national gender and labor consultation workshops around on-going events, including participation in BFAR's Annual Search for Outstanding Women in Fisheries.	X	X	X		
Implement gender & labor interventions through grants to local women's' group/NGO/CSO for CDTS training and economic empowerment activities	X	X	X	X	

National and Local Activities – Indonesia

Activity	Q1	Q2	Q3	Q4	Notes
Support Capacity Building and Coordination					
Conduct Integrated Stakeholder Validation Workshop (June 2017)					
Conduct annual integrated workshops on lessons learned and best practices with Indonesia TWG		X			
Conduct on-demand (ad-hoc) trainings *MAX. 2 per year*		X		X	
Facilitate Alliance meetings with the TWG (possibly linked to Fisheries Business Forum events (2x per year)		X		X	
Quarterly reporting meeting to Indonesia TWG (report of Oceans activities and progress to Indonesia TWG members at MMAF)	X	X	X	X	
Incidental coordination meeting with MMAF and relevant stakeholders related to workstream (CDTS, EAFM, HWGL and PPP)	X	X	X	X	
Bimonthly coordination meeting with local government at Manado and Bitung. Coordinate site-level events to maintain communication and collaboration as well engaging local government and other stakeholders.	X	X	X	X	

Activity	Q1	Q2	Q3	Q4	Notes
Develop national and site-level communications to support work stream activities	X	X	X	X	
Develop Partnerships to Strengthen National and Local Impact					
Implement grant with MDPI to pilot CDTS and fisheries management in small-scale tuna fisheries in Bitung	X	X	X		
Develop and support partnership concept with IPNLF/AP2HI	X	X	X	X	
Develop partnership with the Indonesia Coastal Tuna Sustainability Industry Alliance (ICTSA) to support CDTS demonstration and expansion, sustainable fisheries management and human welfare in Indonesia pole-and-line and handline tuna fisheries (via MDPI, IPNLF/AP2HI)	X	X	X	X	
Develop partnership to support the expansion of CDTS and fisheries data collection through sustainable business or investment models (i.e., with ADM Capital)				→	
Develop partnership with small-scale processing associations to support the demonstration and expansion of CDTS		X	X		
Strengthen Capacity for CDT/Develop and Implement CDTS					
Localize national CDT Data Exchange (Hosting national CDT data exchange, system admin, conduct of national workshops)				X	
Provide technology support for CDT Operation Center			X		
Support the development, testing and implementation of MMAF downstream traceability (STIS-PPI)	X				
Develop mobile CDT MVP for supply chain traceability and point of capture for small-scale (via Supplier App)		X			
Hire Indonesia-based staff person to support technical work with MMAF, MDPI, Inmarsat	X				
Procure ICT support services (air-time subsidies for at-sea and land-based cellular communications,	X				

Activity	Q1	Q2	Q3	Q4	Notes
subscription for VMM/VMS communications, mobile devices)					
Socialize point of catch data collection to medium and large-scale fishing companies, implement and test, test integration with MMAF system, conduct training(s), monitor and evaluate		X			
Localize mobile CDT MVP for vessel and supply chain traceability and point of capture	X				
Link CDTS and FIS data to support fisheries management		X			
Support Development of Fisheries Management Plan(s)					
Conduct integrated stakeholder consultation workshop (draft SFMP (profile and intervention) coming out of workshop)	Y2				
Develop draft/final SFMP plan in consultation with MMAF (WPP 716) and implementation schedule/timetable	X				
Develop methodology for monitoring and evaluation and finalization of SFMP, Conduct meetings and workshop to finalize adoption process		X	X		
Integrate Fair Labor and Gender Equity Considerations					
Conduct national gender and labor consultation workshops	X	X	X	X	
Implement gender & labor interventions through grants to local women's' group/NGO/CSO for CDTS training and economic empowerment activities	X	X	X	X	

Expansion Sites

Expansion Sites I - Thailand and Malaysia

Activity	Q1	Q2	Q3	Q4	Notes
Conduct Thailand Stakeholder Consultation Workshop (Thailand), Develop and finalize Site Profile (August 2017)					From EAFM, the commitment is to develop a site profile and provide technical support for the multi-stakeholder workshop for Malaysia and Thailand. For Thailand Oceans has worked with DoF to prepare a draft profile. For Malaysia, we have an extensive report submitted by Dr Alias and we have a draft Site Profile – a more concise one. The next step is for us to work together the site profile similar to what doing with Thailand. Then we will plan for the stakeholder workshop. Indicative date for stakeholder workshop is October for Malaysia. For Thailand 28-29 August in Songkhla with around 50-70 participants. The gap analysis for Malaysia will happen before the consultation. similar to Thailand for which a gaps analysis was conducted in June and will be presented in August as part of the profiling. The gaps analysis will be presented at the multi-stakeholder workshop for validation and further input. Action: Request Farid to share Gap Analysis for Thailand to Malaysia. The gap analysis should include 3-4 site visit with team, plus SEAFDEC ACDS. Len informed goal of the multi-stakeholder workshop undertaken with SEAFDEC colleagues includes: 1. Present the profile of the fishery in the area, 2. Present the result of the CDT gaps analysis 3. Workshop to identify issues and opportunities for fisheries management and CDT development and implementation. The workshop is designed for 2.5 days. The profile will be provided by host country with USAID Oceans with guidance. Action: Oceans to provide inputs to Malaysia. Action: Request for Malaysia to be invited to Thailand multi-stakeholder meeting for learning and synchrony and compatibility. Action: DOF Thailand agreed this was a good idea and will put forward request to Thailand DOF leadership, but hope to agree. TWG points of contact from DOF or Panitnard or Ratana from SEAFDEC can be contacted with feedback. There has been agreement to meet on 27 July

Activity	Q1	Q2	Q3	Q4	Notes
					to finalize the arrangement. The meeting will be at SEAFDEC Secretariat. Action: USAID Oceans to work with SEAFDEC and DoF to identify/ fund translator and equipment. Malaysia: Can send EAFM and CDT TWG specialist plus TWG leads - 3 others as well as TWG lead. Action: SEAFDEC to send invitations out – it will be fastest. Action: Thailand would like to join the Malaysia workshop. For multi-stakeholder workshops communications will include promoting the events through website, e-newsletter, and larger USAID communications office.
Conduct Thailand Stakeholder Consultation Workshop (Malaysia), Develop and finalize Site Profile (October? 2017)	X				
Support TWG representatives to other national/site-level events	X	X	X	X	The PPP informed that the Oceans team can help connect government with other partners i.e. NOAA, SEAFOOD Watch, etc. to key national and local events. Please forward event information or requests to Araya or Marc Olivier at Oceans.
Engage industry associations and initiatives (such as Mars Petcare) to support CDTS expansion to Thailand (linked to sustainable fisheries management and fair labor)	X	X	X	X	The idea is to support private sector CDT systems and industry associations. PPP team is hoping to work with MARS Petcare and expand CDT to other companies beyond Thai Union. Oceans is hoping to implement this CDT system, and incorporate a labor component, like crew communication for this pilot.
Develop CDT plan via in-country study and workshop	X	X	X	X	The Oceans team would like to provide support to Malaysia for CDT planning. Before we developed software for Philippines, we did research to identify which areas that needed support. Oceans would like to support Malaysia for a similar study/analysis. For Thailand, we are hoping to do research but for learning purposes as Thailand is in a more advanced place with its CDT development. The process is 1 week consultant and dialogue national and site level. Oceans will also do this for Vietnam on 14 August. We had proposed this support for Malaysia before Vietnam but understood timing was poor, so will work

Activity	Q1	Q2	Q3	Q4	Notes
					with Malaysia to do this in September/October as possible. After research will be validation workshop. We hope with this we can use the information to help with building of national Malaysia CDT. So we can support provision of recommendations.
Develop and test CDTS with Thai Union for supply chain traceability			X	X	USAID Oceans is working with Thai Union and Inmarsat to test equipment (Fleet One). In Thailand the process was started several months ago – testing units were brought in legally and tested in Patani and Ranong. USAID Oceans will work to test technology. Testing has been going on for crew/voice communications and e-logbook. Also looking at cost. Idea is to strengthen undertaking catch reporting.
Provide software, training and documentation on data exchange server			X	X	Oceans will work to develop an exchange server(black box) API, and will provide information, application, coding, and other related materials to countries.
Facilitate networking among women leaders through Human Welfare TWG	X	X	X	X	As Oceans activity is being done in sites, we try to identify potential women leaders in the areas to engage. For all other activities, we will be integrating networking women leaders. It's not a specific activity or event, but something we do, but we try to integrate because it's our strategy. And hopefully the TWG in the country will have the time to participate as well.
Provide technical support for EAFM Planning	X	X	X	X	Len informed Oceans can consider support for socialization of the EAFM plan for Kelantan. Oceans can provide technical support and work with DoF officers to develop a plan if Government of Malaysia determines that is a priority.
Conduct Thailand Partnership Appraisal	X	X			PPP team plans to support RPA in first quarter in Thailand and Malaysia. The RPA will be done shortly after the multi-stakeholder workshops. The RPA will be initiated by USAID Oceans with government TWG counterparts looking at al the key sectors – and will do analysis and interviews with each prospective partner to find areas of shared values.
Conduct Malaysia Partnership Appraisal	X	X	X		The activity will be done in partnership with the TWG SEAFDEC and Malaysia and Thailand PPP representatives. In the longer term, the aim would be to strengthen national capacity through the TWG rep to do further partnership appraisals.

Activity	Q1	Q2	Q3	Q4	Notes
					Note: Malaysia informed TWG PPP rep will be replaced soon as current position transitions.
Support technical work with communications materials and outreach	X	X	X	X	

Expansion Sites II - Cambodia, Brunei Darussalam, Lao, Myanmar, Singapore, Vietnam, and CTI-CFF Countries *(Papua New Guinea, Solomon Islands, Timor Leste)*

Activity	Q1	Q2	Q3	Q4	Notes
Develop Site Profile Template	X	X			
Support TWG representatives to other national/site-level events	X				
Provide software, training and documentation on data exchange server			X	X	
Develop CDT plan via in-country study and workshop			X	X	
Provide mentorship to expansion sites across workstreams	X	X	X	X	
Facilitate networking among women leaders through Human Welfare TWG	X	X	X	X	
Conduct Vietnam Partnership Appraisal *(In progress)*					
Support technical work with communications materials and outreach	X	X	X	X	

Partner Activities

** *Note only CTI-CFF and NOAA supporting activities are included here, as other partner contributions (such as SEAFDEC) are already deeply integrated in the above work plan activities.*

Activity	Q1	Q2	Q3	Q4	Notes
CTI-CFF Supporting Activities					
CTI-CFF/USAID Inception Workshop. Building up regional CDT System and Advancing Fisheries					

Activity	Q1	Q2	Q3	Q4	Notes
Management for Strengthening Food Security in CT Region					
Planning meeting for the establishment of Regional Scientific Advisory Group (SAG) on EAFM in Manado				X	
Workshop on CDT system design and development based on EAFM (3 Expansion countries in Pacific Islands)			X		
Series of CTI-CFF Countries consultative visits by CTI-CFF/EAFM implementation			X		
Learning exchange of CT6 Countries to Oceans Priority Areas		X	X		
CTI-CFF PPP dialogue/forum on responsible fisheries				X	
NOAA (SIMP) Activities					
Socialize stakeholders in the ASEAN region					
Provide short term presence of NMFS IA affiliate to communicate with stakeholders and disseminate information across region				X	
Conduct key high-level engagement in region (including regional meetings)			X		