The USAID Oceans and Fisheries Partnership (USAID Oceans)

3rd ANNUAL REGIONAL TECHNICAL WORKING GROUP PLANNING WORKSHOP

Meeting Report | July 16-18, 2018, Bangkok, Thailand




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ACRONYMS AND ABBREVIATIONS

ACDS	ASEAN Catch Documentation Scheme
AMAF	ASEAN Ministerial Meeting on Agriculture and Forestry
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
ASSP	ASEAN-SEAFDEC Strategic Partnership
ASWG	ASEAN Sectoral Working Group
ASWGFI	ASEAN Sectoral Working Group on Fisheries
ATM	automated teller machine
BAC	Bureau Administrative Circular
BCC	behavior change communication
BFAR	Bureau of Fisheries and Aquatic Resources
BMI	PT Bumi Menara Internusa
BOAT-R	National Program for Municipal Fishing Vessel and Gears Registration Program
BOGI	Blue Ocean Grace International
CC	catch certificate
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
CEA	California Environmental Associates
CFARMC	City Fisheries and Aquatic Resources Management Council
CNFIDP	Comprehensive National Fisheries Industry Development Plan
CO	certificate of origin
COFI	FAO Committee on Fisheries
COP	Chief of Party
CT6	Coral Triangle countries
CTE	critical tracking event
CTI-CFF	Coral Triangle Initiative on Coral Reefs, Fisheries and Food Security
CTIP	USAID Countering Trafficking in Persons (CTIP)
DLF	Department of Livestock and Fisheries
DOD/PACOM	Department of Defense/Pacific Command
DOF	Department of Fisheries
DOI	Department of the Interior
DOS	Department of State
eACDS	Electronic ASEAN Catch Documentation Scheme
EAFM	ecosystem approach to fisheries management
EC	European Commission
eCDT	Electronic Catch Documentation and Traceability
eCDTS	Electronic Catch Documentation and Traceability System
EEZ	exclusive economic zone
EU	European Union

FAME	Futuristic Aviation and Maritime Enterprise, Inc.
FAO	Food and Agriculture Organization
FELIS	Fishing Vessel Electronic Licensing System
FGD	focus group discussion
FIA	Fisheries Administration
FIMC	Fisheries Information Management Center
FIS	Fisheries Information System
FISH-R	National Program for Municipal Fisherfolk Registration
FLEMIS	Fisheries Law Enforcement Management Information System
FMA	Fisheries Management Area
FMC	Fisheries Management Council
FMO	Fish Marketing Organization
FMP	fisheries management plan
FoF	Future of Fish
GFTC	Global Food Technology Center
ICTSA	Indonesian Coastal Tuna Sustainability Alliance
ILO	International Labor Organization
ILRF	International Labor Rights Forum
IP	indigenous person/people
IPNLF	International Pole and Line Foundation
IUCN/MFF	International Union for Conservation of Nature/Mangroves for the Future
IUU	illegal, unreported, and unregulated (fishing)
JTF	Japan Trust Fund
KDE	Key Data Element
KIARA	South East Asia Fish for Justice Network
Lao PDR	Lao People's Democratic Republic
LGU	local government unit
LRP	limit reference point
LSE	*Laporan Surveyor Ekspor* (Surveyor Export Report/
MCS	monitoring, control and surveillance
MD	movement document
MDPI	Yayasan Masyarakat dan Perikanan Indonesia
MMAF	Ministry of Marine Affairs and Fisheries
MOU	memorandum of understanding
MPA	marine protected area
MSC	Marine Stewardship Council
MWRN	Migrant Workers Rights Network
NCC	National Coordinating Committee (CTI-CFF)
NGO	non-governmental organization
NOAA	National Oceanic and Atmospheric Administration
ODK	Open Data Kit
OSH	occupational safety and health
OTOP	One Town/*Tambon*, One Product
PCAF	Philippine Council for Agriculture and Fisheries
PCM	Program Committee Meeting
PFOP	Philippine Fisheries Observer Program
PNG	Papua New Guinea
POKMASWAS	Kelompok Masyarakat Pengawas
PPP	public-private partnership
QA/QC	quality assurance/quality control
RAFMS	rapid appraisal of fisheries management system
RDMA	Regional Development Mission for Asia

RFMO	Regional Fisheries Management Organisation
SEAFDEC	Southeast Asian Fisheries Development Center
SEAFish for Justice	South East Asia Fish for Justice Network
SFFAII	SOCCSKSARGEN Federation of Fisheries and Allied Industries, Inc.
SFMP	sustainable fisheries management plan
SOCSKSARGEN	South Cotabato, Cotabato, Sultan Kudarat, Sarangani, General Santos City
SOFIA	The State of World Fisheries and Aquaculture
SSF	small-scale fisheries/fishers
SSME	Sulu-Sulawesi Marine Ecoregion
STSIPP	Sistem Telusur Stok Ikan dan Produk Perikanan (Indonesia's National Traceability System)
TAG	Technical Advisory Group
TCMZ	Tuna Conservation Management Zone Project
TWG	technical working group
UN	United Nations
UNEP	United Nations Environment Programme
UNODC	United Nations Office on Drugs and Crime
UNSRAT	Universitas Sam Ratulangi
US	United States
US SIMP	United States Seafood Import Monitoring Program
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, Inc.
WLF	Women Leaders' Forum
WOC	World Ocean Council
WWF	World Wide Fund for Nature

EXECUTIVE SUMMARY

The U.S. Agency for International Development Oceans and Fisheries Partnership (USAID Oceans) held its 3rd Annual Regional Technical Working Group (TWG) Planning Workshop, July 16-18, 2018 at Windsor Suites Hotel, Bangkok. The event was attended by a total of one hundred participants, the bulk of them members of the USAID Oceans Technical Working Group (TWG) representing the member-states of the Association of Southeast Asian Nations (ASEAN) and technical leads from the Southeast Asian Fisheries Development Center (SEAFDEC) and the Coral Triangle Initiative on Coral Reefs, Fisheries and Food Security (CTI-CFF). Also represented were key United States Government (USG) partners, namely, USAID Regional Development Mission for Asia (USAID/RDMA), USAID Office of Forestry and Biodiversity (FAB), National Oceanic and Atmospheric Administration (NOAA) and Department of the Interior (DOI). Workshop objectives, summary proceedings, and outcomes follow.

Objectives

The 3rd Regional TWG Planning Workshop was convened following the mid-term evaluation of USAID Oceans, marking the halfway point of the project's life. Part of the workshop was designed to update partners on the program's activities and take stock of partner progress, but overall the primary objective was to elicit inputs from the TWG and implementing partners to guide the way forward for the project, taking into consideration recommendations from the mid-term evaluation and drawing lessons from program implementation thus far Specifically, the Workshop had three objectives, as follows:

- **Objective 1:** Obtain inputs from ASEAN Member States (AMS) on initiating the process of developing Regional Guidelines for implementing an electronic Catch Documentation and Traceability System (eCDTS) that is supported by EAFM, improves human well-being, and encourages private sector engagement.
- **Objective 2:** Discuss how to forge and strengthen partnerships for the sustainability of efforts and initiatives throughout the remainder of the USAID Oceans project, and beyond.
- **Objective 3:** Review the USAID Oceans Year 3 activity progress and the proposed Year 4 activity work plan.

Summary of Proceedings

Excluding the opening and closing sessions, the workshop consisted of a total of 22 sessions. A mix of presentations, panel discussions, breakout groups, open plenary discussions, and interactive exercises were employed to facilitate feedback and exchange of ideas. In all, there were 16 presentations, many of them delivered jointly by members of the USAID Oceans core team alongside implementing partners and TWG members to underscore the collaborative nature of the program.

The workshop also included two optional sessions on the USAID Oceans Mid-term Review and the USAID Asia Counter Trafficking in Persons (CTIP) Program, both held on Day 2 (17 July 2018).

Day 1

Day 1 was a mostly plenary session event that started with an opening program, with remarks given by Dr. Heidi Schuttenberg, Coastal Resources and Biodiversity Advisor of USAID FAB in Washington, DC; Dr. Kom Silapajarn, Secretary-General of SEAFDEC; Mr. Richard Goughnour, Acting Mission Director of USAID/RDMA; and Dr. Chumnarn Pongsri, Deputy Director General of the Department of Fisheries-Thailand.

All speakers remarked at the progress that USAID Oceans has achieved in the first half of its program term. Dr. Schuttenberg, Dr. Silapajarn and Dr. Pongsri all noted the gains made towards developing and implementing eCDTS for fisheries in the region. Said Dr. Schuttenberg: "I just came back from Bitung (a project 'Learning Site') where we essentially followed the fish. We started in small villages where they were catching large tuna with handlines on small boats, and we saw how you will now be able to trace the fish from that point of harvest all the way to processing and exporting those fish around the world. It's already happening, and it's happening because of the partnerships that allow us to achieve that type of scale."

For his part, Dr. Pongsri cited the pilot activities to test the application of CDT for data collection and improving crew communication in Thailand's Pattani and Ranong Provinces, where USAID Oceans has worked with DOF Thailand, Thai Union and other partners.

Mr. Goughnour highlighted the partnerships that have grown around the program: "When we first started about three years ago, the USAID team had to really struggle to look for and search out partners, people that were willing to work with this initiative. Now we are being approached frequently by private sector groups, including technology providers, startups, think tanks, lots of different groups that understand the importance of the work you are doing collectively and want to make a contribution… [as well as] change makers who can push our collective work forward, create a marketplace that will cause innovative and useful technology that can contribute to a sustainable regional fishing industry."

The main focus of Day 1 was on "stock-taking," to provide updates on USAID Oceans' program implementation, with all sessions dedicated to reporting on the progress achieved so far by the program as a whole and by its four technical workstreams individually, namely, (1) catch documentation and traceability (CDT); (2) ecosystem approach to fisheries management (EAFM); (3) human welfare specifically gender and labor; and (4) public-private partnerships (PPP).

Kicking off the discussion was a presentation by Chief of Party John Parks that provided an overall picture of the implementation status of USAID Oceans' Year 3 Work Plan, covering the Fiscal Year 1 October 2017 to 30 September 2018. Stressing that USAID Oceans is a partnership, Mr. Parks explained the program's goals and objectives, and then presented a progress report on the Year 3 work plan implementation. He also emphasized that with USAID Oceans having reached its mid-term point, it was all the more important for the voices of all the countries and organizations involved in the program to be heard.

Following, the four 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." It was represented by five co-presenters from key organizations working under the CDT workstream, including USAID Oceans, SEAFDEC, the Philippines' Bureau of Fisheries and Aquatic Resources (BFAR), Indonesia's Ministry of Marine Affairs and Fisheries (MMAF), and the NGO Yayasan Masyarakat dan Perikanan Indonesia (MDPI). They each highlighted significant progress in developing CDT in the areas where they work, with USAID Oceans and SEAFDEC providing regional perspectives. Important developments under this workstream include advances in the Philippines' and Indonesia's traceability system, with some of the technology solutions already being live-tested.
2. EAFM — This workstream supports the implementation and development of the CDT system in the Learning Sites and, potentially, its scaling to regional level. BFAR, MMAF, and USAID Oceans made up the team that reported for the workstream. A key highlight of their presentation was the development of a sub-regional plan for managing transboundary fisheries in the Sulu-Sulawesi Seascape covering Indonesia, Malaysia and the Philippines. At the site level, partners like BFAR and MMAF are taking the lead in EAFM implementation, with BFAR setting up pilot areas for EAFM in major fishing grounds in the Philippines (including the USAID Oceans Learning Site in Sarangani Bay), and MMAF initiating technical discussions and workshops to develop fish harvest strategies to support Fisheries Management Area (FMA) 716 (where Bitung/Manado, the USAID Oceans Learning Site, is located).

3. PPP — Much of USAID Oceans' success to date is due in large part to its partners and grantees, two of whom were part of the team that presented the progress report for the PPP workstream, namely, MDPI and the SOCSKSARGEN Federation of Fishing and Allied Industries, Inc (SFFAII), who made the presentation along with USAID Oceans' PPP team. Both MDPI and SFFAII have played a key role in engaging early technology adapters or "First Movers" in the development of the CDT systems of Indonesia and the Philippines, respectively. At the regional level, the team's presentation highlighted the mid-term partnerships review, which was conducted in October 2017 to reassess the partners and determine the lessons learned from existing partners and grantee activities, and from collaborations with national and local governments.
4. Human Welfare — This workstream supports the other 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. Some highlights in Year 3 for this workstream were the completion of Learning Site gender and labor analyses, and the application of learnings to design grants for Learning Site-specific gender interventions. The presentation was delivered by a panel composed of SEAFDEC's focal point for gender concerns; National Network on Women in Fisheries in the Philippines, Inc. (WINFISH); and a team from USAID Oceans representing not only the human welfare workstream but also EAFM and CDT (to underscore the linkages between these three key components of the program). Also joining the panel was the USAID Oceans Site Coordinator for Indonesia, who presented on behalf of KELOLA, an Indonesian non-governmental organization (NGO). Both WINFISH and KELOLA were invited to the panel as USAID Oceans' newest partner grantees focused on human welfare.

The workstream presentations were followed by a small group wrap-up exercise designed to get participant feedback on Day 1 discussions. The day ended with reflections by SEAFDEC's Dr. Yuttana Therapoonrat that served as a synthesis of the day's proceedings.

Day 2

Human welfare and the proposed development of Regional Guidelines for an eCDTS took centerstage on Day 2. The Lead Facilitator introduced the day's topics by remarking on the celebratory dinner held after the workshop sessions on Day 1 in honor of WINFISH and KELOLA. As USAID Oceans' newest grantees under the human welfare workstream, these two NGOs each received a plaque of recognition from USAID Oceans Grants Manager Michael Kidd.

Day 2 included four technical sessions, three of which were focused on "Surfacing the human dimensions of our (USAID Oceans) work," and the last session on the proposed Regional Guidelines for an eCDTS. The first session consisted of presentations by a main speaker (Dr. Schuttenberg) and a reactor panel of three representing views from three perspectives: regional (CTI-CFF), country (Cambodia), and local partner grantee WINFISH. The main presentation was premised on the idea that the goals of fisheries management are unlikely to happen without thoughtful consideration of the human dimensions in fisheries. It explored the status of human welfare worldwide, made the argument for change, and put forward four categories for action: access to fish, freedom and safety at sea, product quality and value chain, and financial flows.

The reactor presentations mostly centered around gender concerns. CTI-CFF highlighted their gender work through the Women Leaders Forum (WLF), a peer learning network for women leaders established in 2015 under CTI-CFF. Cambodia focused mostly on their policy and strategies for mainstreaming gender (particularly within the Fisheries Administration). WINFISH underscored the need to carefully examine gender differentials in the value chain "because if prosperity is not engendered, prosperity will be endangered."

The second session of the day was a breakout session consisting of four small groups: (1) Sulu-Sulawesi Sub-region; (2) South China Sea/Gulf of Thailand Sub-region; (3) Andaman Sea Sub-region; and (4) Regional Partners. The groups discussed solutions and actions needed to address human welfare and gender equity, and then identified the priorities using six colored "thinking hats." The results of their discussions were

reported out in plenary in the next session. High on all of the groups' recommendations for priority action areas were capacity building, policy, financial access, and some form of financial assistance targeting issues of human welfare and social justice, and in many cases emphasizing labor and gender needs.

During the open forum, it was pointed out that the countries already have a "common stand" on human welfare issues and that "it's time to move forward and look at practical implementable actions or measures that we could take."

In the next two sessions, the discussion shifted to the proposed development of "Regional Guidelines for implementing an eCDTS that is supported by EAFM, improves human well-being, and encourages private sector engagement." This session started with a plenary discussion, where SEAFDEC's Dr. Yuttana Theparoonrat made an intervention to clarify that, "if we follow the SEAFDEC process, this is not yet the time to start the actual development of the Regional Guidelines." He then explained what the SEAFDEC decision-making process entails.

Vietnam (Ms. Thi Trang Nhung Nguyen) supported Dr. Theparoonrat's position, adding: "Because the objective is to formulate regional guidelines for implementing the eCDTS in ASEAN, we also have to consider the ASEAN decision-making process."

The small group discussions went ahead nonetheless, with participants going back to their small groups (from the previous session) to discuss in particular the following points:

- Purpose of eCDTS Regional Guidelines/benefits to ASEAN member countries
- Relationship of eCDTS Regional Guidelines to ACDS
- Initial outline/contents of Regional Guidelines
- Timeline for development and adoption of Regional Guidelines
- Nominees for technical/writing committee members and alternates

Participants spent the rest of the afternoon in their small groups and ended the day in plenary session for a short wrap-up of the day's discussions.

Day 3

Groups from Day 2 reported out to plenary following a short recap session at the start of Day 3, and a long discussion ensued in the next session as some TWG members pointed out the confusion in terminology and about whether eCDTS and the eACDS are the same or separate but duplicate systems, or even different but linked systems. The discussion took up most of the morning, ending in apparent agreement that:

1. What the region needs is not a set of regional guidelines but practical technical guidance on how to establish CDT.
2. The TWG would like to have a simple, two-page brief explaining CDT and ACDS in simple terms that they can use for reporting back to their office.

For the remainder of the day, the sessions were focused on getting the TWG's inputs on the various aspects of the USAID Oceans Work Plan for Year 4, as well as clarifying some lingering questions about eCDTS, eACDS, and other issues, such as the human welfare aspects of the program. Mr. Parks set the tone for the discussion with a presentation that provided the context and an overview of the key elements of the Year 4 plan.

Mr. Parks explained that the plan considered inputs from earlier consultations with key partners, including the TWG, but has been adapted to recommendations from the Mid-Term Review which stated, among others, the need to adjust the USAID Oceans Year 4 and Year 5 directions to maximize the program's potential for impact and success. One such recommendation was to harmonize the terminology, concepts, standards and tools for traceability, "so by this time next year, everyone will be speaking in the same terms and will have a clear understanding of how these all relate to each other."

Mr. Parks also highlighted the USAID Oceans' communications approach as the program draws closer to conclusion. Sustainability is a key consideration, he said. "The project is going to conclude in two years, so the focus is going to be on packaging communication products that are useful to the countries beyond USAID Oceans."

Details of this communications approach were provided by Ms. Melinda Donnelly, USAID Oceans Communications and Outreach Manager. In its fourth year, USAID Oceans will work to develop "capstone information and communication products — products that will capture project learning and successes, and serve as the key resources that the project will leave behind," she said, adding: "They can take many forms, but the project is envisioning these as a set of materials that are not just research reports, or journal articles, or other stand-alone pieces but are each tool kits in and of themselves that are made up of various components. The goal is that they will harness all of the expertise that has been gathered through this program and working with the TWG to capture the unique knowledge, guide policies and actions in the region, and influence behavior for years to come."

The last session before the workshop began to wrap up was an open plenary discussion that served to draw out issues left outstanding heading into the closing session. The discussion generated some interesting feedback from the TWG, such as the desire for USAID Oceans to help generate public awareness of the positive aspects of Southeast Asia's fisheries and motivation to adopt eCDT.

The final wrap-up session was focused on next steps and a post-workshop evaluation.

Three speakers closed the workshop: USAID Oceans' Program Manager, Dr. Gina Green; SEAFDEC's Dr. Silapajarn; and USAID's Dr. Schuttenberg. Each had a specific message for the TWG members.

Dr. Green addressed the TWG members with a special request, saying: "You are going back to your countries to advocate something very critical and important, and that's sustainable fisheries management. We are developing something new, not just for Southeast Asia but for the world… so please be our champions, be our ambassadors."

Dr. Silapajarn highlighted the workshop outcomes that the TWG sought: "I'm very glad that the project agreed to modify some of their activities for Year 4 and Year 5 to be more responsive to the needs of the countries in the region," he said, adding: "In my view, we cannot have only two pilot sites, because we need to share the benefits with every country in ASEAN."

And Dr. Schuttenberg assured the TWG of USAID's commitment to the region: "USAID is committed to helping support each country as you move forward with fisheries and traceability, improve human welfare and conserve biodiversity," she said.

Outcomes

The workshop outcomes were as follows:

- General agreement among the TWG to pursue the development of practical technical guidance documents instead of the proposed Regional Guidelines on eCDT implementation
- Inputs from the TWG on the future directions of USAID Oceans and beyond, including: (see also table below)
    - Proposed actions to address the human dimensions in fisheries
    - Proposed regional priority actions
    - Proposed actions towards the development and implementation of technical guidance documents
- Inputs to the USAID Oceans Year 4 work plan of activities

PROPOSED ACTIONS MOVING FORWARD	
HUMAN DIMENSIONS IN FISHERIES	
Capacity Building 1. Provide/develop technical input for stakeholder 2. Conduct training workshop for stakeholders **Policy (Country level)** 1. Develop policy to support eCDT with human welfare integration 2. Strengthen law and policy enforcement for labor and gender, and gender in fisheries **Financial support** 1. Encourage insurance system for fisheries industry 2. Provide community saving to fund community welfare	3. Develop marketing network (both national and international) for fishing households, women traders 4. Check market demand or interest before trying the same idea (i.e., fair trade needs exporters and consumers willing to pay higher price) **Best Practices** 1. Develop pilot or learning site for addressing human welfare and gender issues for fair trade implementation 2. (SEAFDEC) Develop a system of reporting on occupational safety and health on board/safety at sea
REGIONAL PRIORITIES	
1. Move Learning Sites from "proof of implementation" to independent and long-term implementation 2. Have Learning Sites in Vietnam and also Cambodia and Myanmar 3. Promote CDT systems in the other pilot sites and ASEAN Member States 4. Support further the technology deployment and	connections not only in commercial fisheries but also in small-scale fisheries 6. Improve/provide financial support for CDT 7. Provide financial support, e.g., fisheries scholarships for young people in Cambodia 8. Provide technical support where capacity gaps exist, e.g., port management, CDT, fisheries technology, post-harvest, EAFM
DEVELOPMENT OF GUIDANCE DOCUMENTS	
Development of guidance document 1. Convene technical experts/policy group to prepare the initial draft guidance for update in the SEAFDEC Program Committee (PCM)/ASEAN-SEAFDEC Strategic Partnership (ASSP) (Nov 2018) 2. Include/collect survey information from countries to develop the guidance 3. Establish and appoint steering committee 4. Align guidance with the Food and Agriculture Organization guidelines for CDS (2016) 5. Incorporate in technical guidance each country's best practices and approaches 6. Develop workplan and timeline for the development of the guidance 7. Conduct technical meetings and consultations, preferably at the country level 8. Incorporate lessons learned from the two pilot sites 9. Develop agreement on Key Data Elements (KDEs)	10. Consider gender and human aspects as well as fisheries management 11. Include implementation and evaluation **Implementation** 1. Determine if implementation should be standardized or flexible (technical team will review and make this determination) 2. Include in guidance a description of hands-on and practical applications of CDT 3. Encourage more collaboration among countries 4. Scale up best practices of the learning site experiences 5. Provide help desk during the implementation stage **Advancing political support, if needed through the ASEAN-SEADEC mechanism?** 1. Convene policy meeting

1. INTRODUCTION

Delegates from nine of the 10 member-states of the Association of Southeast Asian Nations (ASEAN) convened on 16-14 July 2018 in Bangkok, Thailand for the Annual Regional Technical Working Group Planning Workshop of the U.S. Agency for International Development Oceans and Fisheries Partnership (USAID Oceans). This was the third such planning workshop under USAID Oceans — the first two were held on 12-14 July 2016 and 12-14 July 2017, both 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) and 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 member-country of the Association of Southeast Asian Nations (ASEAN) and CTI-CFF, and for SEAFDEC's technical leads, with the teams coming together to work collectively to further regional engagement and implementation.

Held at Bangkok's Windsor Suites Hotel, the three-day Workshop was attended by 100 participants equally divided between the sexes (Annex IV). Of these, 47 represented the ASEAN Member-States (AMS), with the exception of Brunei-Darussalam. Also in attendance were SEAFDEC, CTI-CFF, USAID, NOAA, U.S. DOI, project staff of USAID Oceans and the USAID Countering Trafficking in Persons (CTIP) program; as well as representatives from technical and grantee partner organizations, Yayasan Masyarakat dan Perikanan Indonesia (MDPI), National Network of Women in Fisheries (WINFISH) and the SOCSKSARGEN Federation of Fishing and Allied Industries, Inc. (SFFAII).

Participants at the 3rd Annual USAID Oceans National TWG Planning Workshop, 16-18 July 2018, Windsor Suites Hotel, Bangkok, Thailand (Photo Credit: USAID Oceans/July 2018)

1.1 CONTEXT

ASEAN has 10 member-states (AMS), 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

[1] FAO, 2017. FAO Global Capture Production database updated to 2015 - Summary information.

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

1. Develop financially sustainable CDT systems (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 AMS — 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").

The first two-and-a-half years of USAID Oceans implementation has been largely focused on the two Learning Sites to establish the CDTS and complementary activities for regional members, with some initial interventions in Expansion Sites I. The second half of the current fiscal year (2017-18) marks the program's transition to its second half of program implementation, when USAID Ocean aims to further expand and deepen its activities in both Learning and Expansion Sites, before gradually easing away from dynamic involvement as objectives are met and the project's life draws to a close.

1.2 WORKSHOP OBJECTIVES AND EXPECTED RESULTS

The 3rd Regional TWG Planning Workshop was convened following the mid-term evaluation of USAID Oceans. As well as providing updates on progress towards USAID Oceans objectives, it was designed to elicit feedback from the countries and implementing partners on the program's Year 4 Work Plan, taking into consideration recommendations from the mid-term evaluation and drawing lessons from program implementation thus far. Specifically, the Workshop had three objectives, as follows:

- **Objective 1:** Obtain inputs from the AMS on initiating the process of developing a set of regional guidelines for implementing an eCDTS that is supported by EAFM, improves human well-being, and encourages private sector engagement.
- **Objective 2:** Discuss how to forge and strengthen partnerships for the sustainability of efforts and

[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

initiatives throughout the remainder of the USAID Oceans project, and beyond.

- **Objective 3:** Review the USAID Oceans Year 3 activity progress and the proposed Year 4 activity work plan.

Correspondingly, the Workshop was expected to produce the following outputs:

- **Output 1:** TWG-endorsed process and outline for the development of Regional Guidelines on Human Welfare and Prosperity through an eCDTS and EAFM
- **Output 2:** Inputs from TWGs on the future directions of USAID Oceans and beyond
- **Output 3:** Approval of USAID Oceans Year 4 work plan of activities.

2. PROCEEDINGS

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

Not counting the opening and closing sessions, a total of 22 sessions were scheduled for the workshop (see Annex 11), and 22 sessions were conducted. There were some changes in the direction of the discussions and session rearrangements, and a slight adjustment in timing as well, as a new session was added, primarily to allow for more discussion to resolve participant questions on the "Regional Guidelines for Implementing an eCDTS" that USAID Oceans had proposed to develop from this workshop (Objective 1). The sessions were a mix of presentations, panel discussions, open plenary discussions, breakout groups, and interactive exercises designed to facilitate feedback and exchange of views.

The plenary proceedings are reported below as they transpired, reorganized and 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.

The workshop also included two optional sessions on the USAID Oceans Mid-term Review and the USAID Asia Counter Trafficking in Persons (CTIP) Program, both held on Day 2 (17 July 2018).

2.1 DAY 1 PROCEEDINGS

Day 1 consisted of mostly plenary sessions focused primarily on providing updates on the USAID Oceans program implementation. Not counting the opening and workshop overview and wrap-up sessions, there were a total of five technical sessions that included presentations and open forum discussions, which were all done in plenary.

Agenda:

- Opening Session
- Introduction of Participants
- Session 1: Plenary — Introduction to the TWG Planning Workshop and Expectations
- Session 2: Plenary — Status/progress update of the USAID Oceans and Fisheries Partnership
- Session 3: Plenary — Development of an electronic catch documentation and traceability system and sharing of experiences
- Session 4: Plenary — Fisheries Management Planning at Regional and Learning Sites
- Session 5: Plenary — Experiences and Lessons Learned in Public and Private Sector Engagement
- Session 6: Plenary — Promoting Human Welfare and Gender Equity
- Plenary introduction and small group discussions with plenary reporting — Day 1 Wrap-up and Synthesis

2.1.1 The Opening Session

The workshop opened with a panel of remarks by Dr. Heidi Schuttenberg (USAID) Dr. Kom Silapajarn (SEAFDEC), Mr. Richard Goughnour, (USAID/RDMA); and Dr. Chumnarn Pongsri (Department of Fisheries (DOF) Thailand).

Introduction: Heidi Schuttenberg, Coastal Resources and Biodiversity Advisor, Office of Forestry and Biodiversity, USAID Bureau of Economic Growth, Education and Environment, Washington, DC

Dr. Schuttenberg said that her office has programs in around 40 countries and among all those programs, USAID Oceans "is our own crown jewel." She cited three reasons for saying so:

1. USAID Oceans is working in a region that is the global center of seafood production and marine biodiversity, with resources that are the envy of the world. The region produces more than 50% of the world's seafood and employs 93% of the fishers and processors involved in the seafood sector. Its fisheries and seafood supply chains are an engine for economic growth and food security. However, as rich the region's marine resources are, they are not assured. The conversation is no longer about how to catch more fish, but how to maximize the availability of fish that can be caught sustainably and the economic value that can be derived from those fish. Effort should be made to make sure that fish are only harvested at sustainable levels, the ecosystems that fish rely on are protected and restored, IUU fishing is prevented, and systems are in place to share the benefits of fisheries in ways that allow people working in the fisheries supply chain to have livelihoods that are safe and provide for their means.
2. USAID Oceans is using seafood traceability to help ensure that the region's marine resources continue to be available and able to support long-term food security and economic growth. With this innovative approach, USAID Oceans aims to bring about fisheries management that is strategic, with systems in place that are fair, where fishers take only the maximum sustainable yield of fish, where the quality of fishery products is improved, where fishers can get the best value for their products, where IUU fish can be detected anywhere in the fisheries supply chain, and where the well-being of people involved in the supply chain is protected.
3. USAID Oceans is working with strong regional partners that are already making seafood traceability a reality in the region.

Dr. Schuttenberg related: "I just came back from Bitung where we essentially followed the fish. We started in small villages where they were catching large tuna with handlines on small boats, and we saw how you will now be able to trace the fish from that point of harvest all the way to processing and exporting those fish around the world. It's already happening, and it's happening because of the partnerships that allow us to achieve that type of scale."

She said she felt optimistic that Southeast Asia "will lead the way not only in seafood production but also in sustainable fisheries management, in traceability and in processes that allow us to really improve the human welfare that's associated with these industries."

Welcome Remarks: Kom Silapajarn, Secretary-General, SEAFDEC

Dr. Silapajarn noted the progress the USAID Oceans Partnership has made towards developing and implementing catch documentation and traceability systems for fisheries in the region. He said that in the years since the Partnership started, SEAFDEC, CTI-CFF, the USAID Oceans program staff, and other partners have been working closely with the TWG consisting of fisheries agency representatives and experts in each country on several activities, including sustainable fisheries management and measures to improve human well-being and gender equity.

Further noting that the past two annual TWG Planning Workshops served their purpose well as a venue for sharing program updates and lessons learned and discussing the USAID Oceans work plans, Dr. Silapajarn described this 3rd TWG Workshop as "a good opportunity for us to again review program progress and achievements [and] USAID Ocean's proposed Year 4 work plan." He said he hoped the workshop would also allow the AMS to provide their inputs "on the technical aspects of the Regional Guidelines for implementing an electronic CDT system that is supported by EAFM and incorporates human welfare and gender elements."

Welcome Remarks: Richard Goughnour, Acting Mission Director, USAID/RDMA

Mr. Goughnour began his remarks by thanking SEAFDEC and all USAID Oceans partners for their support of the program and participation in the TWG Workshop. "It's just extraordinary what you've done to bring this group together," he told SEAFDEC in particular: "The USAID Oceans and Fisheries Partnership was initially designed to promote a transnational, cross-border approach to addressing illegal and unsustainable fishing here in Southeast Asia. And it's clear from all the participation and the commitment we're seeing from the nine member-states of ASEAN that are here that you all have made that goal a reality. Cooperation is so evident at this point in time."

He added: "I understand that when the planning was underway for this meeting there was an outpouring of interest to work with this group on whatever could be done to protect and revitalize the fishing industry here in Southeast Asia. When we first started about three years ago, the USAID team had to really struggle to look for and search out partners, people that were willing to work with this initiative. Now we are being approached frequently by private sector groups, including technology providers, startups, think tanks, lots of different groups that understand the importance of the work you are doing collectively and want to make a contribution… [as well as] change makers who can push our collective work forward, create a marketplace that will cause innovative and useful technology that can contribute to a sustainable regional fishing industry."

Combating illegal fishing and supporting sustainable fisheries remain a high priority for the USG, Mr. Goughnour noted, saying: "We are committed to improving the ocean's health and in doing so we want to foster an environment that enhances regional prosperity and strengthens food security in the region. By building regional prosperity we not only stand to improve the livelihoods of millions of people here in SEA but we're also building the resilience and global stability that would be beneficial to everyone."

The workshop is an opportunity to bring together experts to talk through and devise plans and strategies to address the "real challenges" facing the fishing industry in Southeast Asia, Mr. Goughnour said, as he urged participants to think holistically and consider the social and economic impacts, both positive and negative, of the industry. "You all understand firsthand the negative impact of unsustainable and illegal fishing practices, and you also realize the tremendous opportunity when you come together as a group to really create some positive change in the industry."

Opening Remarks: Chumnarn Pongsri, Deputy Director General, Department of Fisheries Thailand

When USAID Oceans was launched in 2015, IUU fishing had become a major concern for the Southeast Asian region, Dr. Pongsri related, saying he could still recall the excitement of the AMS at being part of the program. At that time, the most important importers for fish exports from the region, particularly the European Union (EU) and the U.S., had begun establishing requirements against the entry of IUU fish into their markets.

While countries in the region have long recognized the need to ensure sustainable utilization of fishery resources and to fully exert efforts to address IUU fishing issues, these issues require close collaboration not only internally in the region but also externally "to ensure that our initiatives are aligned with international development and requirements," he added, as he highlighted the progress made under USAID Oceans

towards this goal, citing specifically pilot activities to test the application of CDT for data collection and improving crew communication in Thailand's Pattani and Ranong Provinces, where USAID Oceans worked with DOF Thailand, Thai Union and other partners.

Dr. Pongsri also pointed out his country's effort to combat IUU fishing, "starting from the establishment of a new legal framework, sustainable actions and collaborations among relevant national agencies, replacing open access fisheries with limited access and setting up effective monitoring, control and surveillance (MCS) and traceability systems throughout the supply chain."

Finally, he underscored "the very important role of the TWG members" to guide USAID Oceans towards attaining maximum benefits for the Southeast Asian countries, and said Thailand is looking forward to share its experiences in order to ensure the "synergy of momentum for combating IUU fishing" in the region.

Introduction of Participants
Dr. Lando facilitated the introductions by participants by requesting the team leader 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

An overview presentation by Dr. Lando signaled the start of the workshop proper and explained how the workshop was structured 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 USAID Oceans as a whole and of the five program workstreams individually, and generally answering the question, "Where are we now?"

For Day 2, the intention would be to bring out the human welfare elements of the USAID Oceans work by 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. Discussions on the proposed development of Regional Guidelines for eCDTS would also begin.

And, finally, Day 3 would be all about answering the question "How do we move forward?" based on the USAID Oceans Year 4 milestones and work plan.

2.1.3 Session 2: Status/Progress Update of USAID Oceans and Fisheries Partnership

This session was a plenary presentation intended to provide a general picture of the implementation status of the USAID Oceans Year 3 work plan covering the period 1 October 2017-30 September 2018. The presentation was made by USAID Oceans Chief of Party (COP) John Parks.

Before his presentation, Mr. Parks made a point that USAID Oceans is a partnership. "The word 'partnership' in the project title is very deliberate," he told the room, stressing that with USAID Oceans having reached its mid-term point, it was all the more important for the voices of all the countries and organizations involved in the program to be heard. It was therefore part of the aim of this workshop to bring out all these voices and "to hear your thoughts on what we've been doing and especially where we're going," he said.

Mr. Parks also explained that he had just taken over the position of USAID Oceans COP from Mr. Geronimo (Gerry) Silvestre, who held the position for the first half of the program, so "this week is really helpful for me as the incoming COP to meet you, and especially to hear and to listen your thoughts." Acknowledging Mr. Silvestre's "tremendous leadership, vision and contribution," he added, "We have to recognize all the relationships in this room that Gerry has brought."

Mr. Parks' presentation is detailed below under three main headings:

1. About USAID Oceans — what USAID Oceans is and what it is designed to accomplish

2. Status and progress report — update of the USAID Oceans implementation in general and, in particular, its Year 3 work plan
3. Reflection — thoughts about where the Partnership stands and where it needs to go to achieve its end-goals

About USAID Oceans

USAID Oceans is a five-year (May 2015-May 2020), USAID-funded USD19.95-million program that engages the ASEAN (through SEAFDEC) and the Coral Triangle countries (through CTI-CFF) 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 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.

Based on these objectives, USAID Oceans is implementing four strategies:

1. CDT — This involves testing out the ASEAN Catch Documentation Scheme (ACDS) or national CDT systems or some combination of those, looking at gaps in technology and data transmission to enhance end-to-end (catch to export) data visibility using electronic systems.
2. EAFM — Building on the region's experience as a leader in EAFM, USAID Oceans is pursuing EAFM at several levels, including at the sub-regional level in what is regarded as the first attempt at sub-regional EAFM planning, where neighboring countries are trying for the first time to manage transboundary or genetically connected stocks in real time using technology.
3. Addressing Human Welfare, including Labor Rights and Gender Equity — This is a critical emerging area of interest that involves identifying and locating human welfare elements in the fisheries supply chain in order to promote human well-being, labor rights and conditions, and women empowerment and gender equity, and to support a supply chain that provides strong returns for the community.
4. PPP — This means building partnerships between governments and the private companies in the region that are seeking to get into this space using digital technology.

Status and Progress of Program Implementation

USAID Oceans reached this year the mid-term of its lifespan having achieved its broad milestones (Figure 1). In Year 3, the program has focused on testing the four strategies in the two Learning Sites, going deep into Learning Site implementation and initiating work (e.g., gaps assessment or preliminary discussion) in Expansion Sites in Thailand (Songkhla), Malaysia (Kelantan and potentially Sabah) and Vietnam (Na Trang). An important part of this work was the involvement at the Learning Site level of private sector partners such as SFFAII in the Philippines and MDPI in Indonesia, ensuring that the fishing industry, including both large- and small-scale fishers, were represented and engaged in the program.

Figure 1. Status of implementation of the USAID Oceans program

The program is now poised for the planned expansion to other sites in Year 4, measuring impact along the way, and adapting as needed to changes in the project setting (e.g. market or political changes), or changes in project requirements. In Year 4, USAID Oceans plans to initiate work in Cambodia, Myanmar and Laos, aiming for full regional coverage of the CDT technology application, lessons, tools, and methods that have been tested at site to ensure that they are readily available and practicable to the whole ASEAN community including Brunei Darussalam and Singapore, and even the three Pacific CTI-CFF countries (Papua New Guinea, Solomon Islands and Timor Leste). The USAID Oceans core team has been in conversations with SEAFDEC, CTI-CFF and USAID about the directions the program should take moving forward, making sure (e.g., through this TWG workshop) that those directions are sound and truly represent the interests of the AMS.

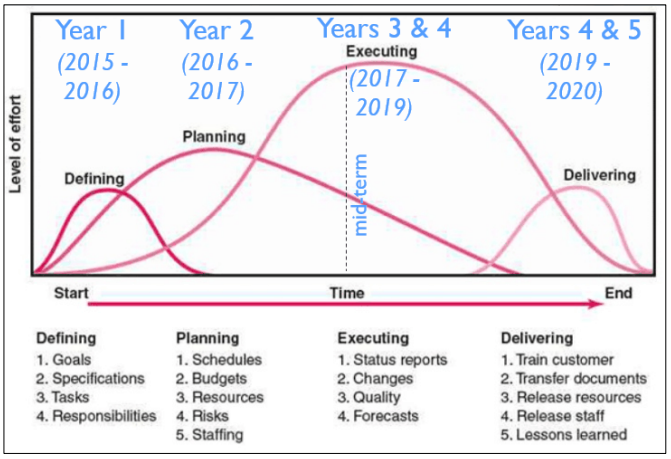


Figure 2. Project life cycle *(Gary & Larson, 2006, p 6)*

Conceptually in terms of the typical project life cycle, USAID Oceans is in the execution phase of project implementation (Figure 2). At this mid-point of the project, the USAID Oceans team is putting in the most amount of effort and investment as they ramp up implementation heading into Year 4. This time next year, the TWG meeting will be transitioning into communicating the products of USAID Oceans, before the project begins to wrap up in Year 5, its final year.

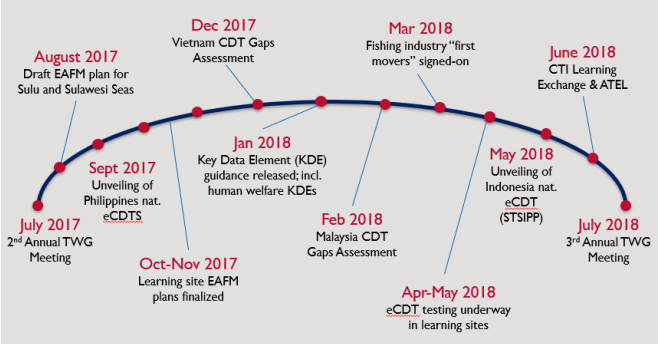


Figure 3. Progress of implementation of the USAID Oceans program, July 2017-June 2018

Figure 3 shows in more specific terms the progress achieved by USAID Oceans since the 2nd TWG Workshop in July 2017 and leading up to this 3rd TWG Workshop. Some of the key milestones are described further below:

- EAFM sub-regional planning, Bangkok (Aug 2017) — This activity produced a draft sub-regional EAFM Plan for the Sulu-Sulawesi Seascape, the first ever such sub-regional plan, sparking interest to also develop a sub-regional plan each for the Andaman Sea and South China Sea/Gulf of Thailand sub-regions.
- Unveiling of the Philippines' national eCDTS (Sept 2017) — This grabbed national attention back in the U.S., spreading the interest in seeing the eCDTS being rolled out nationally.
- Learning Site EAFM plans finalized (Oct-Nov 2017) — In Indonesia, the EAFM plan for FMA-716 has been finalized and adopted, and in the Philippines, the Sarangani Bay Protected Seascape management plan includes an annex for EAFM implementation.
- CDT gaps assessment in Vietnam (Dec 2017)
- Release of the Key Data Elements (KDE) Guidance Document (Jan 2018) — The human welfare KDEs included in this document has gained the attention of the global traceability community, with the KDEs being featured at a seafood meeting held this year in Barcelona.
- CDT gaps assessment in Malaysia (Feb 2018) — This activity was hosted by the Malaysian government. Already fairly advanced in terms of digital adoption, Malaysia is considering to develop their traceability capability in their fisheries sector.

- Signing on of fishing industry "First Movers" (Mar 2018) — There were a total of 13 early adopters in General Santos City and another 13 in Bitung that signed on and are now implementing the eCDTS.
- Testing of eCDTS in Learning Sites (Apr-May 2018) — The testing was about showing that the eCDTS works and producing proof of concept that data sharing and exchange are possible between different systems, including both existing government software and regulatory systems, and systems developed for the private sector.
- Unveiling of Indonesia's eCDTS (May 2018) — Indonesia has provided critical leadership in the region to move forward with implementing its own national traceability and regulatory systems alongside the private sector. This kind of partnership between the national government and the private sector demonstrates how CDTS works in Southeast Asia compared to other parts of the world where the national government has less of a role.
- CTI-CFF learning exchange in Bitung, Indonesia (June 2018) — CTI-CFF co-hosted this event with the Indonesian government, which is now leading the effort for ASEAN tuna eco-labeling.

Reflections

- The project mid-term is an opportunity to reflect and adapt — Now halfway through its lifetime, USAID Oceans intends to hear from the countries to ensure that all their interests are involved before project closure is completed.
- This is a regional engagement that is moving beyond the two Learning Sites — Despite some perception that USAID Oceans is strongly associated with the Philippines and Indonesia and not engaged enough with the rest of the region, the program is looking to broaden its engagement beyond its Learning Sites. What is the best way to do this? How can the program help the other countries? How can everyone work together more closely?
- USAID Oceans is a shared mission and approach — The USAID Oceans Partnership was born from SEAFDEC, and now it also includes CTI-CFF. Looking ahead to when the project wraps up, it is important to ensure that the connection between these two important regional organizations continues and grows, and that their unified voice continues to serve as the voice of world (and not just the region) in promoting seafood traceability.
- Application of Technology: Leveraging innovation to promote fisheries and human welfare — USAID Oceans is looking to work with bright minds in the region to empower them to do more and lead the way in CDT technology.

2.1.4 Session 3: Development of an Electronic Catch Documentation and Traceability System and Sharing of Experiences

This session was delivered by a team of five presenters and covered six main topics:

1. Developing Traceability: The Regional View — Presented by Mr. Farid Maruf (USAID Oceans Regional CDT Specialist)
2. TraceTales: Traceability in Processing — Presented by Ms Deidre Elizabeth Duggan (MDPI Director of Programs and Science)
3. eACDS: Electronic ASEAN Catch Documentation Scheme — Presented by Dr. Somboon Siriraksophon (SEAFDEC Policy and Program Coordinator)
4. BFAR eCDTS: A Comprehensive Traceability System for the Philippines — Presented by Mr. Peter Erick Cadapan (Fishing Regulations Officer, BFAR, Philippines)
5. STSIPP: Indonesia's National Seafood Traceability System — Presented by Mr. Hadi Susanto (Head of Fishing Port Operations Subdivision, MMAF, Indonesia)
6. Looking Ahead — Presented by Mr. Maruf

The presentation was followed by an exchange of views with audience members. The session ended with an awards ceremony to recognize two USAID Oceans eCDT grantees, namely, MDPI (Indonesia) and SFFAII

(Philippines). Ms Duggan, representing MDPI, and Ms Shalimar Abdurahman, representing SFFAII, accepted the recognition from USAID Oceans Grants Manager Michael Kidd.

Presentation — USAID Oceans CDT Strategy: The Regional View
By F. Maruf

Traceability systems have many components across the value chain that contribute and receive data to a variety of government and business systems (Figure 4) and thus are useful and practical points to emphasize when engaging with various players in the value chain. For example, for government, how does CDT contribute to stock assessment, harvest strategy development, MCS, logistics, or enforcement and compliance with port state measures? For business and the private sector, how does catch reporting contribute to their business operations and bottom line, fleet management, supply chains, etc.?

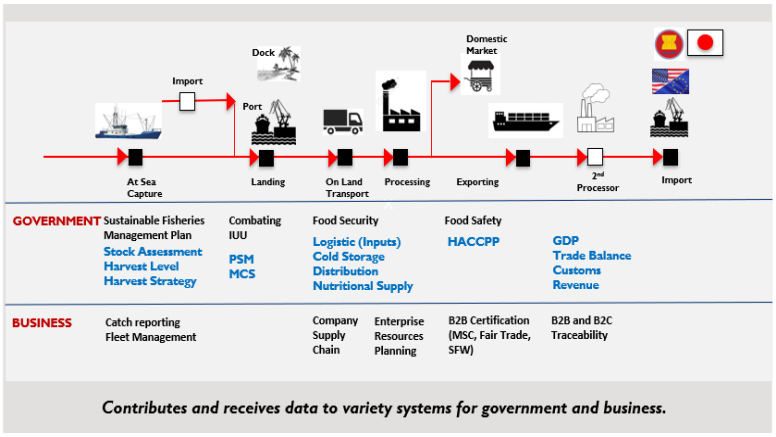


Figure 4. Schematic of catch documentation information architecture for a fisheries value chain

To help promote CDT adoption, USAID Oceans participates in regional dialogues towards developing a body of knowledge and standards for seafood and seafood traceability. A number of technical documents are already available on the project website (www.seafdec-oceanspartnership.org/resources), providing guidance on technical standards, data exchange architecture, key data elements (KDE), etc. These include:

- Quick Reference KDE Guide
- Data Requirements for Catch Documentation and Traceability in Southeast Asia
- Fisheries Catch Documentation and Traceability in Southeast Asia: A Conceptual Overview (CDT 101)
- Fisheries Catch Documentation and Traceability in Southeast Asia: Technical Concept and Specifications (CDT 201)

Work is ongoing to further develop new KDE technologies, for example, to construct standards for human welfare KDEs that have become more prominent as requirements in seafood traceability. This involves looking at the KDEs on a country-by-country basis because each country has their own set of KDEs, which may be governed by law or their specific data requirements for fisheries management. The Philippines' BFAR Administrative Circular (BAC) 251, for example, mandates an extensive array of KDEs covering every step across all of the supply chain processes, which is why BFAR had to develop their own app. In Indonesia's case, the KDEs are sourced from different ministries' data systems and have to be integrated through a national fish stock and traceability system (*Sistem Telusur Stok Ikan dan Produk Perikanan*, or STSIPP).

Even more specifically, the work involves looking at when and how the data will be collected, who is going to enter the data, and what is the quality of the data, as well as looking at the challenges, and how to improve the document.

Figure 5 shows the framework used for developing the CDTS. USAID Oceans is currently testing a number of technologies, including, for example, a transponder technology for small-scale fisheries developed by the Philippine-based Futuristic Aviation and Maritime Enterprise, Inc. (FAME), Inmarsat Pointrek, Trafiz and TraceTales. The objective is to connect all the information from different systems across the supply chain so

the system functions like an ATM for the collection, transmission and access of data through the government system for product information, fisheries management, and also compliance with export requirements (e.g. U.S. Seafood Import Monitoring Program (SIMP), EU regulations).

The FAME transponder is currently being tested in the Philippines, and Inmarsat Pointrek in Indonesia, but there may be a swap test of these technologies in the future, so that each technology is being tested using a regional lens and, if it works, it can be offered to other countries.

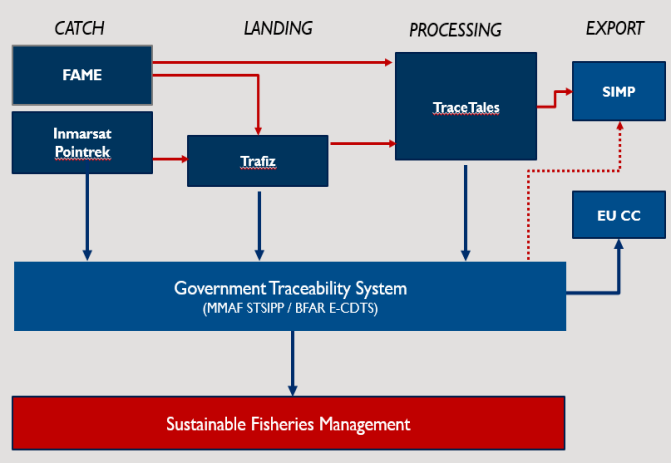


Figure 5. CDTS development framework (■ - Private sector; ■ - Government)

For traceability at sea, the CDT team is testing seven Pointrek units that support several technologies to enable catch reporting to meet the Government of Indonesia's logbook requirements. However, currently, Indonesia's logbook requirement is paper-based, so policy changes are needed to make the technology legally acceptable. To make this happen, USAID Oceans is working closely with the MMAF's fishing port operations team headed by Mr. Trian Yunanda.

Inmarsat Pointrek vessel monitoring system for medium to

The FAME technology is being tested for small-scale fisheries, which make up the major part of fisheries in Southeast Asia. There are almost a million small-scale fishing vessels in Indonesia, and about 200,000 in the Philippines, and they need to be equipped with technology to enable them to be part of the traceability system. FAME transponders have a range of up to 50km (compared to cellular coverage of sometimes only 2-3km) and will enable fishers to communicate with their families where there are gaps in cellular service coverage. About 30 units will be tested in the Philippines in August and, by request of the MMAF, the technology may also be tested in Indonesia by the end of the same month.

FAME transponders for small vessels

USAID is also developing a supplier app called Trafiz for use at the fish landing sites where there is great potential to capture the data. This technology has robust offline and online capability to meet connectivity challenges in remote coastal areas. It is now being tested in Bitung, Indonesia and could be provided to other countries as well.

All of these solutions — FAME, Inmarsat Pointrek, Trafiz, TraceTales and others — can transfer data to other systems in the standard data format based on the KDEs, and this is key to ensure traceability from sea capture to export.

To support regional expansion, the CDT team also conducted gaps analyses in three of the Expansion Sites (Malaysia, Thailand and Vietnam), looking at what traceability system is already in place in each country, and whether the SEAFDEC eACDS would be good place with which to start traceability. In keeping with the USAID Oceans' EAFM strategy, these analyses were aligned with the countries' strategic goals in fisheries management. The reports are ready to be published.

Presentation — TraceTales: Traceability in Processing
By D. Duggan

TraceTales is an internal traceability system currently being tested (through MDPI) at the Blue Ocean Grace International (BOGI) processing plant in Bitung, Indonesia. Data collection starts when the fish enters the plant and continues throughout the processing cycle. The system stores the data on computers in different locations around the plant, and at the end it prints the label with a QR code, which is put on the packaging and stamped for export through PT Bumi Menara Internusa (BMI).

At the moment in BOGI, the system only has three data stations (BOGI is a small operation), so MDPI is also looking on the next USAID Oceans contract to move to Nutrindo (PT Nutrindo Fresfood International) which is a much bigger processing plant with a more complicated operation, and connect the system with I-Fish (Indonesian fisheries information system), Trafiz and vessel registration systems. The idea is to expand across technologies and activities under the USAID Oceans project and connect these with the export end of the supply chain (BMI).

Presentation — eACDS: Electronic ASEAN Catch Documentation Scheme
By S. Siriraksophon

The eACDS, developed by SEAFDEC, includes three types of traceability documentation for fisheries: catch declaration (CD), which is submitted by the fishing master to the fishery officer at the landing site; movement document (MD) which provides a record of the transport of the fish from the landing site to the local market or processing plant; and catch certificate (CC), a state-issued and validated document that serves as proof that the fish has been caught legally.

eACDS is a software to digitize the documentation process. It has both web-based and mobile interfaces that link all of the supply chain processes into one system, and provides the ability to generate a unique trackable and traceable QR code for each documented fish catch so even the consumer can trace the fish back to its source.

Figure 6 is a simplified diagram of the eACDS system, while Figure 7 illustrates the system in greater detail, identifying controls and critical tracking events in the supply chain, including port-in/port-out permitting to regulate the fisheries. The entire process involves the use of web-based and mobile apps linked to a database server so that whatever device is used, all data will be included in the database. For example, fishing masters can use the mobile app offline to record their catch even when they are working at sea, while fish buyers with connectivity might opt to access the web-based app to record processing fees into the system.

Figure 6. Simplified schematic of the eACDS system

SEAFDEC worked alongside the USAID Oceans CDT team in the conduct of gaps analyses in Vietnam and Malaysia, looking specifically at how the eACDS can be applied in these countries. They expect to continue the gaps analysis work with the USAID Oceans team in the other Expansion Sites, such as Myanmar and Cambodia.

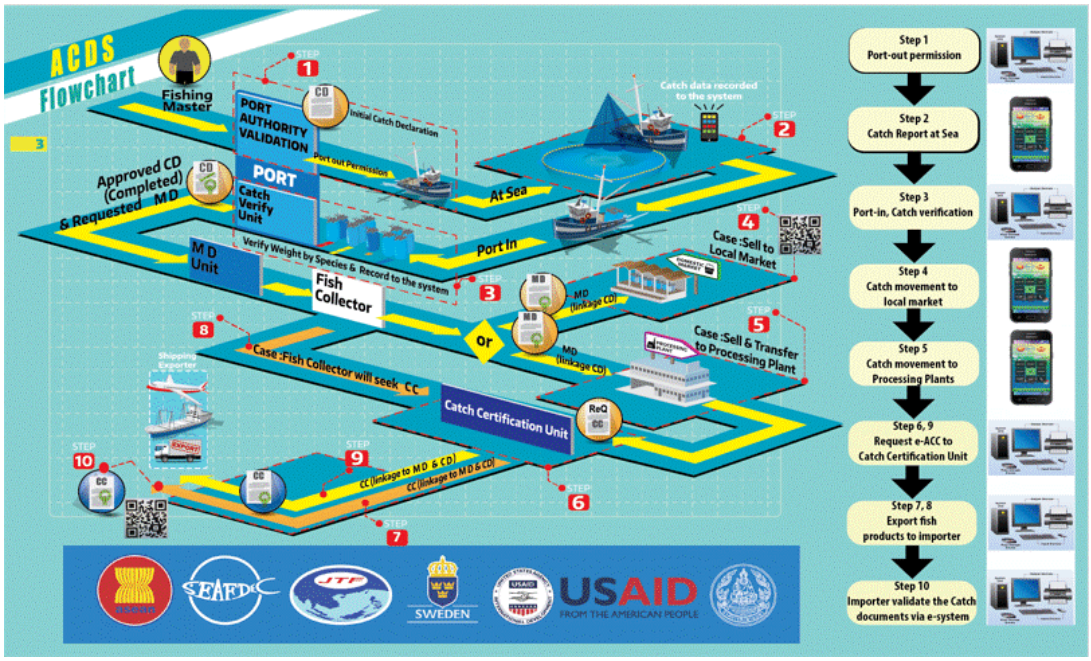


Figure 7. A detailed schematic of the eACDS system

Presentation — BFAR E-CDTS: A Comprehensive Traceability System for the Philippines
By P. Cadapan

BFAR's eCDTS is anchored on BAC 251, also known as the Traceability System for Fish and Fishery Products in the Philippines, which is the main legal framework for seafood traceability in the Philippines. It is one of eight information systems within BFAR that are integrated through a centralized database, which serves as the hub for both the data from the underlying information systems and the exchange of data between these information systems (Figure 8).

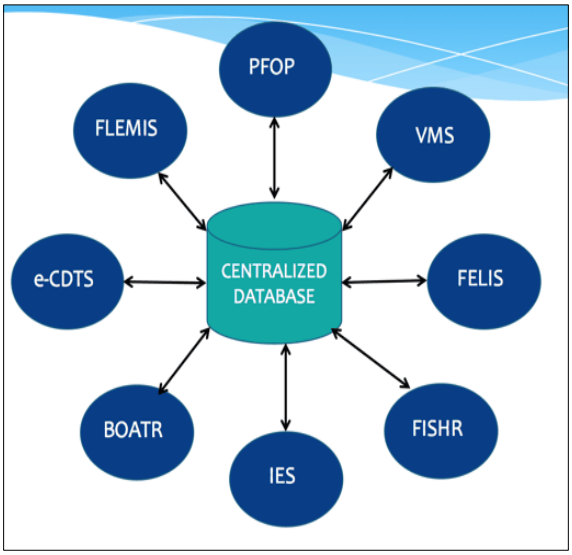


Figure 8. Integration of BFAR's various information systems and databases

The system shares data mainly from the Fishing Vessel Electronic Licensing System (FELIS) which houses commercial fishing vessel data. It also uses data from the Fisheries Law Enforcement Management Information System (FLEMIS), Philippine Fisheries Observer Program (PFOP), Vessel Monitoring System (VMS), National Program for Municipal Fisherfolk Registration (FISH-R), and National Program for Municipal Fishing Vessel and Gears Registration Program (BOAT-R).

The development of the eCDTS started in 2017 and involved BFAR's in-house programmers. Workshops with stakeholders and "development camps" allowed the programmers to focus solely on the eCDTS work and complete a prototype in time for the Philippine National Tuna Congress. This year in July, the prototype was used for live system testing in the Philippine Learning Site (General Santos City).

The live testing was an opportunity to engage, through SFFAII, 13 early technology adopters or First Movers, which included fishing companies, processing plants and canneries. During this testing, 30MT tons of handline-caught fish were documented from the point of landing using eCDTS. The documented catches are now being

processed for export and will go through the catch certification process, also using the eCDTS. (The system not only documents the catches but also allows fishing companies to apply for catch certification.)

Presentation — STSIPP: Indonesia's National Seafood Traceability System
By H. Susanto

The development of Indonesia's STSIPP is driven by the following factors:

1. The need to comply with importing countries' regulations, in particular:
    - European Commission (EC) Regulation No. 1005/2008 "establishing a system to prevent, deter and eliminate IUU fishing," which requires catch certification to guarantee that products imported into the EU do not originate from IUU fishing
    - The U.S. SIMP, which took effect in January 2018 and requires catch documentation showing that seafood products imported into the U.S. do not come from IUU fishing or seafood fraud.
2. The need to establish a national fish stock balance sheet — This entails integrating data from downstream and upstream industries in a single national data system, in order to support decision-making for fisheries management.
3. The importance of traceability and food safety — Food safety assurance and traceability are leverage factors for improving the global competitiveness of Indonesian fishery commodities and products.

STSIPP will connect data from 12 other systems across the MMAF (Figure 9), integrating the following four key elements:

1. Registration — Supplier/Processor/Exporter must register for an STSIPP number and account.
2. Ensuring traceability to Supplier — Supplier must input transaction (buying/selling) data; Surveyor must assist data entry to ensure data validity
3. Ensuring traceability to Processor/Exporter — Processor must input data at every stage of fish processing (receiving, processing, storing and selling); Surveyor assists data entry to ensure data validity
4. Surveyor Export Report — Surveyor should prepare Surveyor Export Report/*Laporan Surveyor Ekspor* (LSE) assuring validity and accuracy of the data

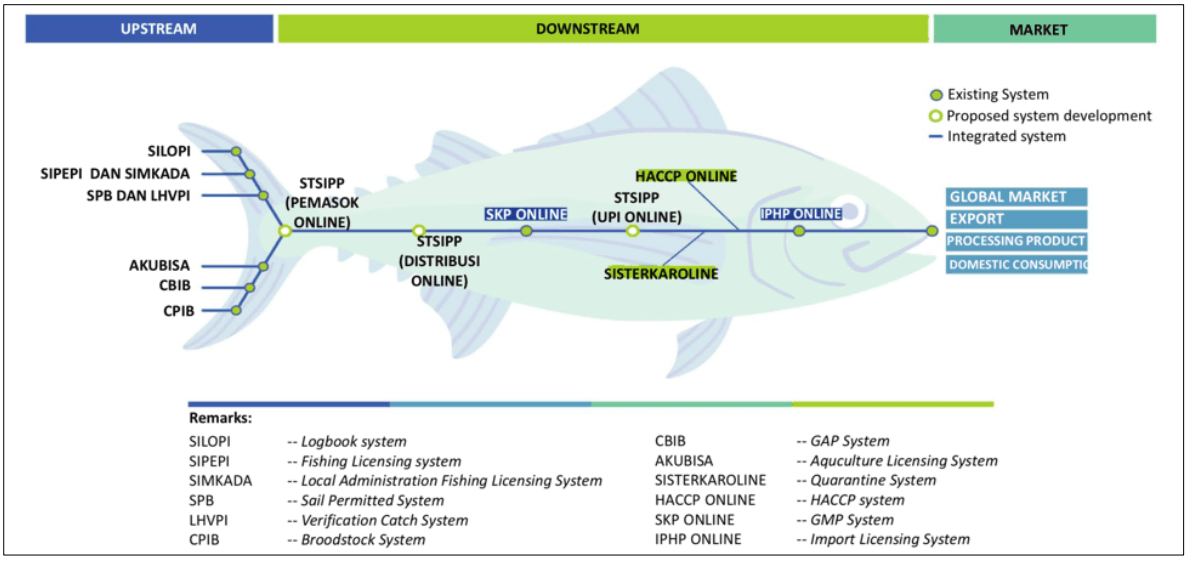


Figure 9. STSIPP integrates data from 12 existing systems across the MMAF

Figure 10 below illustrates the flow of information and interactions between the STSIPP elements, while Figure 11 shows how STSIPP will serve as an integrated backbone system for management and exchange of fish catch data and information to (1) ensure traceability, quality and safety of fish products; (2) provide timely

accurate national fish stock balance sheets to inform fisheries management; and (3) guarantee IUU-free and fraud-free fish and fishery products.

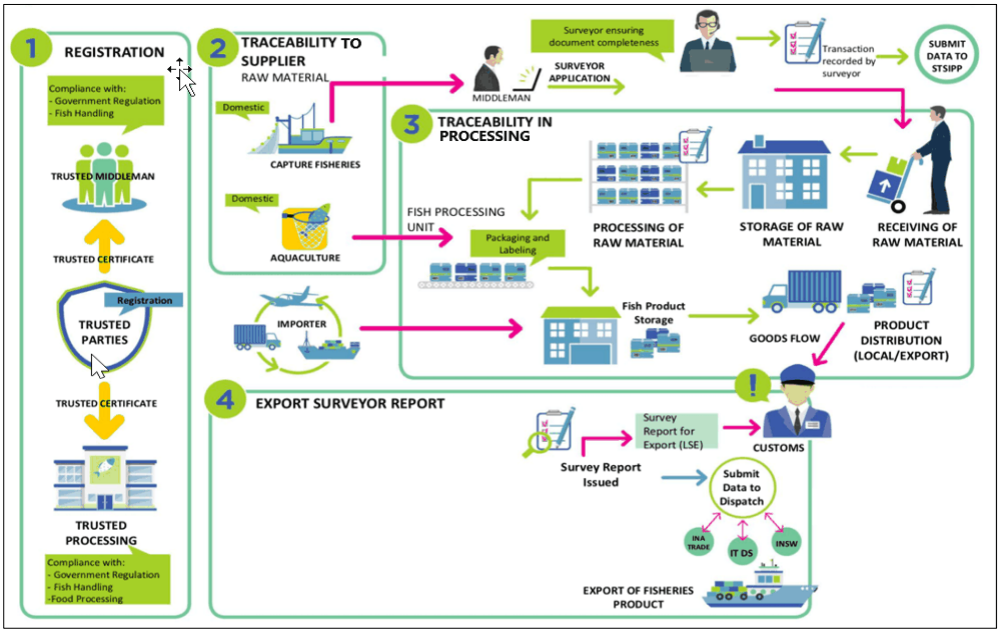


Figure 10. Flow of information and interactions between the four key elements of the STSIPP

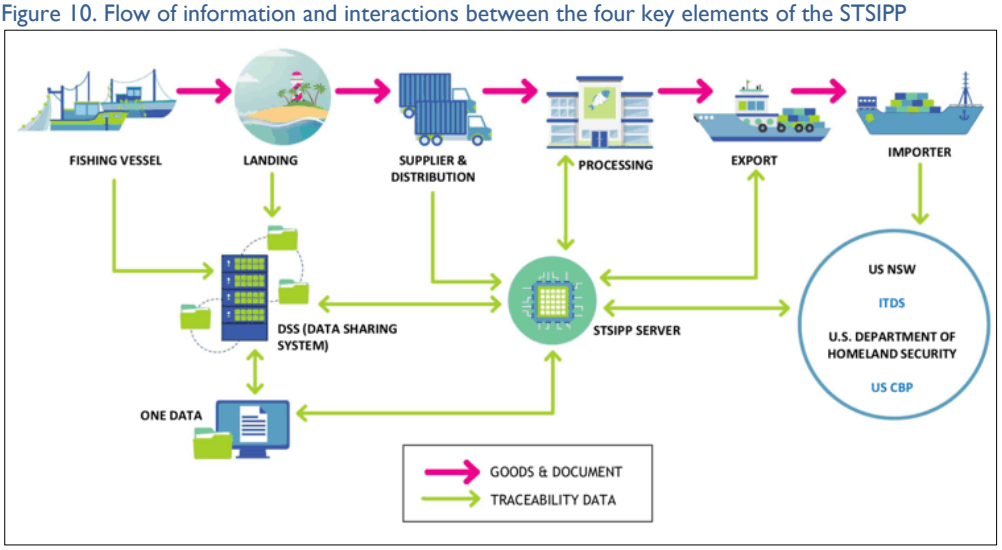


Figure 11. STSIPP as integrated backbone system for data and information management and exchange

When fully functional, STSIPP is expected to benefit key players in the fisheries supply chain:

1. The fisher will have a record of his transactions, including fish catch volume and species composition, and other information useful for fishing (time, location, climate patterns). In addition, the STSIPP can provide financial information, such as lending data and savings on loans from suppliers, and even account reports that the fisher can use when applying for a bank loan.
2. For the supplier, STSIPP can generate data in real time and provide a simplified daily, monthly and annual record of transactions, as well as the traceability documents required by processors and exporters. In addition, the system can help to generate financial information or reports that the supplier can use to support bank loan applications, and will also include savings and loans features.
3. The processor can monitor all transactions through the STSIPP's unified payments interface, as well as have access to traceability information and documents, including the LSE, which is an important export document for companies selling to the U.S. and other countries. STSIPP also includes other features useful to the processor, such as fishing port information, supplier directory and government infrastructure facilities.

4. MMAF will also benefit through improved capacity for downstream to upstream traceability and ease of access to data from supply chain processes, including information on availability of fish and installed processing and cold storage capacity, fish stock balance sheets, and data inputs to support processing and trade policy for competitiveness.

Presentation — Looking Ahead
By F. Maruf

The CDT team aims to connect the entire supply chain in each country through the eCDTS. In Indonesia, electronic catch reporting will be connected to the STSIPP which serves as the backbone for data capture, assembly, sharing and output from port (landing site) to export. In the Philippines, the BFAR eCDTS already connects the entire supply chain from point of catch to export, but it could be enhanced with the FAME technology for catch reporting. And for the rest of countries, the same electronic catch reporting technologies as those for Indonesia and the Philippines may be applied, with ACDS as the likely starting point from which to build traceability. (Figure 12)

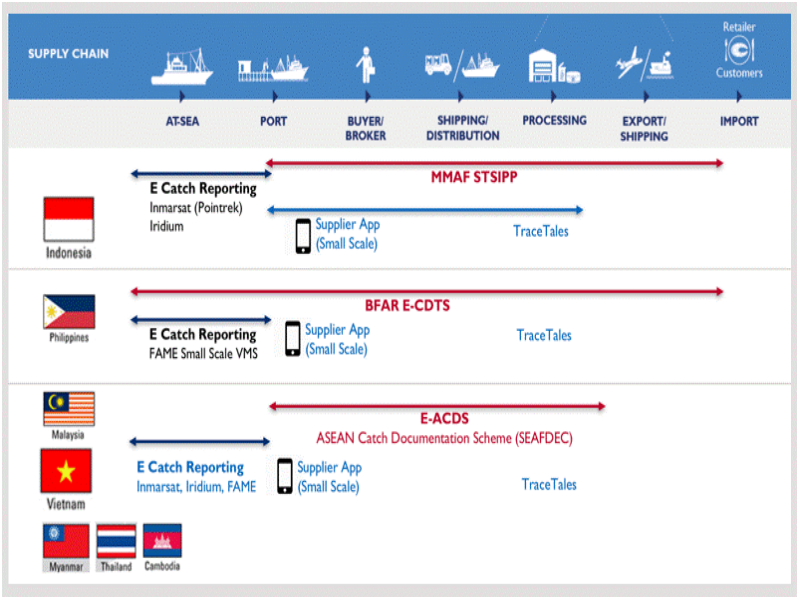


Figure 12. Connecting supply chains in the USAID Oceans Learning and Expansion Sites

There will be no one-size-fits-solution; the system will be tailored to each country's needs. USAID Oceans' role is to find and come up with innovations to fill the gaps and underwrite some of the risks, so that, by the end of the project, the whole Southeast Asian region will have traceability.

Open Forum Discussion
(See Annex V for more details)

Following the CDT team's presentation, Thailand and Indonesia raised some specific points related to traceability.

Thailand wanted to know about the activities being planned for establishing CDT in the Expansion Sites, particularly, Malaysia, Thailand and Vietnam. In reply, Mr. Parks said the broad intention is "to move more deeply beyond our Learning Sites," but that the identification of specific activities would be guided by the gaps assessments that were conducted or would be conducted in each site, and also by guidance and "concrete suggestions" from each country, at least some of which the CDT team hoped would come from this workshop.

Indonesia noted, and Thailand agreed, that "the technology we have developed is mostly for large-scale fisheries" and that there was a need to also develop traceability in SSF, which comprise the majority of fisheries in Southeast Asia and has a different supply chain from large-scale fisheries. "There is a very cheap, compact tool that may be applicable — it is an offline system, but when the eCDTS is fully operational, then maybe you can establish connectivity," Indonesia suggested, while Thailand proposed linking TraceTales to the

eCDTS: "If we can establish traceability in SSF and link it to a QR code system, we can advertise and sell SFF products to the high-end market that puts a premium on traceability."

In response, Mr. Maruf said USAID Oceans is "already testing a technology solution for SSF in the Philippines and trying to find the best incentive for small-scale fishers to submit catch data." The CDT team will talk to each country when the technology is ready, he assured, "but at this stage, we have to focus on completing the testing because this is a new solution — we need to know that it works and is self-sufficient and fair before we can introduce it to other countries."

SEAFDEC's Dr. Somboon Siriraksophon said SEAFDEC is ready to support Thailand in their traceability work, particularly in SSF. However, he cautioned that "applying ACDS to SSF for the purpose of export should not mean applying it at the individual fisher level, because the small fisher is not likely to have the capacity for export." He suggested two possible solutions: (1) Working with a community that has the needed capacity (e.g., the ability to supply the volumes required for export), or (2) including the middleman who has the means to pool the catches and bring them to the exporter.

2.1.5 Session 4: Fisheries Management Planning at Regional and Learning Sites

This session had one presentation and an open forum discussion. There were three main presenters: Mr. Len Garces (USAID EAFM Specialist), Mr. Raffy Ramiscal (BFAR-Philippines Chief of Capture Fisheries Division), and Mr. Trian Yunanda (MMAF-Indonesia Deputy Director for Fisheries Resource Management in the Exclusive Economic Zone (EEZ) and High Seas).

Also on hand to help address participant questions or comments were Ms Panitnard Taladon (SEAFDEC Assistant Coordinator for USAID Oceans), Ms Fini Lovita (USAID Oceans Site Coordinator in Indonesia), and Ms Rebeca Andong (USAID Oceans Site Coordinator in the Philippines).

The presentation covered the following topics:

1. USAID Oceans EAFM Strategy: The Regional View — Presented by Mr. Garces
2. Fisheries Management in the Philippines — Presented by Mr. Ramiscal
3. Fisheries Management in Indonesia's FMA-716 — Presented by Mr. Yunanda
4. Looking Ahead — Presented by Mr. Garces

Presentation — USAID Oceans EAFM Strategy: The Regional View
By L.. Garces

USAID Oceans' fisheries management component supports the implementation and development of the CDT system in the Learning Sites (and possibly its regional scaling-up), through EAFM, defined as: "An approach to fisheries that strives to balance diverse societal objectives or needs by taking account of the knowledge and uncertainties about biotic, abiotic, and human components of ecosystems and their interaction; and applying in an integrated approach to fisheries management within ecologically meaningful boundaries." (adapted from FAO 2003)

As already mentioned, this region has advanced EAFM as a framework in the new ways the countries have implemented fisheries management, basically to find a balance between ecology and human needs through good governance, i.e., institutions, policies and management systems. The EAFM team is working at both regional and local (site) levels to help further this goal, mindful that USAID Oceans is a regional program.

A key activity in Year 3 was the development of a sub-regional plan for managing transboundary fisheries in the Sulu-Sulawesi Seascape covering Indonesia, Malaysia and the Philippines. (Figure 13) Located at the apex of the globally significant Coral Triangle, the Sulu-Sulawesi seas are widely considered as the center of the center of marine biodiversity. This was a major factor in the choice of the General Santos City and Sarangani

Bay area as a Learning Site: USAID Oceans is working here because the program is funded through USAID's Biodiversity Program.

The EAFM team is building on the work done in 2015 under a previous program to develop the sub-regional plan. Two regional planning workshops were convened for this purpose in Year 3. The first workshop, held in Bangkok in August 2017, updated the 2015 draft plan with inputs on developments in fisheries management in the three countries. The second workshop, which took place only recently (5-6 July 2018, in Mandaue City, Philippines), was called to allow the CTI-CFF EAFM and Seascapes TWGs to review the plan together, with the intention to submit the plan for tri-national adoption through the CTI-CFF process. The team is taking a dual approach to adoption and will also present the plan to the SEAFDEC Program Committee Meeting (PCM) towards concurrence by the SEAFDEC Council at their next meeting.

Figure 13. Sulu-Sulawesi Seascape

As part of the USAID Oceans regional strategy for regional scaling, the EAFM team is looking to replicate the Sulu-Sulawesi planning process to the Andaman Sea and South China Sea/Gulf of Thailand sub-regions. They have produced a technical paper on the sub-regional planning process to document the lessons learned and make recommendations that might be applicable to the other sub-regions. This and other resources available at the USAID Oceans website (www.seafdec-oceanspartnership.org).

The team has also developed new guidelines for Rapid Appraisal of Fisheries Management Systems (RAFMS), updating the previous guidelines with the USAID Oceans approach of promoting CDT, EAFM and Human Welfare as a joint mission. This document has been peer-reviewed and will be released in Year 4 to guide replication in both learning and expansion countries.

Presentation — Fisheries Management in the Philippines
By R. Ramiscal

The implementation of EAFM in the Philippines is anchored on two important policies, namely the amended Philippine Fisheries Code, which institutionalizes EAFM as a framework for the sustainable development of fisheries, and the five-year (2016-20) Comprehensive National Fisheries Industry Development Plan (CNFIDP), which outlines the strategies and targets for the four fisheries sub-sectors (i.e., commercial, municipal, aquaculture and post-harvest).

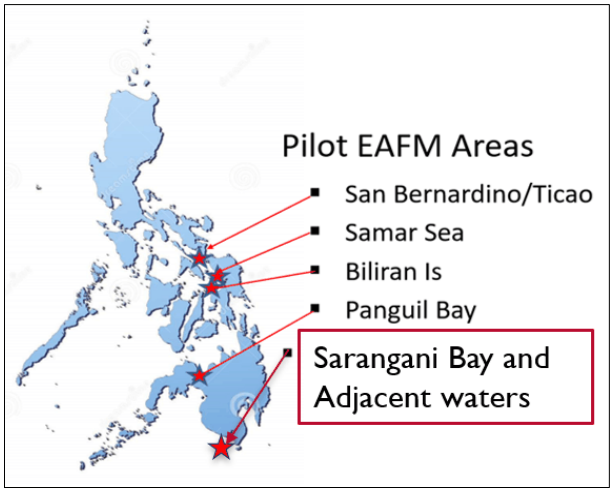


Figure 14. BFAR's pilot areas for EAFM

Both the amended Fisheries Code and CNFIDP were released in 2015 and since then BFAR has progressed the mainstreaming of EAFM in national policy planning and programming. With support from USAID Philippines and NOAA, the agency has established a national capacity program using EAFM as a guideline for developing and implementing programs and plans at all levels of government, so everybody is using it now. In addition, it has

adopted a national tuna management plan based on EAFM and embarked on a still ongoing sardines management program.

To push implementation, BFAR has set up pilot areas for EAFM. These pilot areas are in some of the country's major fishing grounds, including the USAID Oceans Learning Site in Sarangani Bay. (Figure 14) The Learning Site was launched in September 2016 after consultative visits by program staff with national and local governments. Following this, BFAR has been working closely with USAID Oceans on several activities promoting EAFM. These include:

EAFM planning workshop in General Santos City, Philippines to develop Sarangani Bay and Sulu-Sulawesi Seascape Fisheries Management Plan, 23-27 October 2017

- RAFMS
- Development of Sarangani Bay Fisheries Plan which is now officially adopted as an annex to the Sarangani Bay Protected Seascape Management Plan
- EAFM planning workshop to develop Sarangani Bay and Sulawesi Sea Fisheries Management Plan

Presentation — Fisheries Management in Indonesia's FMA-716
By Mr. Yunanda

The USAID Learning Site in Indonesia is in Fisheries Management Area (FMA) 716, which includes part of Sulawesi Sea, and the seas on the northern part of Halmahera Islands. There are four provinces involved here, namely, North Kalimantan, Gorontalo, North Sulawesi, and North Maluku.

FMA-16 covers a total of 55.85 million hectares with stock potency estimated in 2016 at around 154,000 tons a year for large pelagics and 223,000 tons a year for small pelagics. These figures exclude tuna, so the area's stock potency could potentially be much higher.

Fisheries management is guided by the relevant SSME plans (Comprehensive Action Plans of the Sulu-Sulawesi Marine Ecoregion) at the regional level and, at the national, FMA and site levels, by Indonesia's National Fisheries Management Plan (2015-19) and FMA-716 EAFM plan. A fisheries management council (FMC) has been established to coordinate and oversee the implementation, and an EAFM Learning Center to provide technical and advisory support.

The development of the EAFM Plan in Indonesia started in 2016. The plan includes medium-term and long-term strategies and targets based on the following goals:

- Reducing IUU fishing
- Developing a business climate for sustainable capture fisheries
- Developing post-harvest handling and network for marine and fisheries products marketing
- Empowering outer islands and conservation areas — one of the cities in North Kalimantan, Sebatik, is a center of development for the outer ring of islands in Indonesia
- Developing human resources capacity and innovation through research and development

Technical discussion on management measures and harvest strategy for fisheries in FMA 716, Bogor, 19-20 Sept 2017

After consultative visits with national and local governments, launching of the Learning Site and kick-off of the RAFMS studies in Bitung in 2016-17, USAID Oceans EAFM work has focused on two key activities in Year 3: (1) Technical discussions and workshops to develop fish harvest strategies to support FMA-716, and (2) finalizing the fisheries management plan for small pelagic and tuna fisheries in FMA-716 (including translation to Bahasa).

Training workshop on EAFM and harvest strategy for academe and local government in FMA 716, Manado, 7-8 May 2018

Presentation — Looking Ahead
By L. Garces

Activities planned for 2018-19 in the EAFM workstream include:

1. Finalization and adoption of the Sulu Sulawesi Seascape sub-regional EAFM plan
2. EAFM support to the development of eCDTS Regional Guidelines (to be discussed in a later session in this workshop)
3. Socialization and monitoring of the implementation of the fisheries management plans in the Learning Sites
4. Launch of grants to demonstrate the use of eCDT to strengthen fisheries management, i.e., the project should be able to look at catch data emanating from its CDT engagement in Bitung and General Santos City, analyze that data, and feed it back to sustainable fisheries management planning at the site level.

Open Forum Discussion
(See Annex V for more details)

Mr. Supol Singhapoom, USAID Oceans Monitoring and Evaluation (M&E) Specialist, started off the discussion with a question about the status of the Sarangani Bay fisheries management plan, to which Ms Andong and the Philippine delegation provided the following updates:

- Two sustainable fisheries management plans relevant to Sarangani Bay have been adopted: (1) Fisheries Annex, which is part of the Sarangani Bay Protected Seascape Management Plan that was adopted in July 2017; and (2) BFAR's tuna conservation management plan. The regional team for the implementation of the Sarangani Bay tuna management plan has been formed, and will start reviewing the plan by September 2018.
- The Fisheries Annex identifies CDT as a key management strategy, and for this reason some of the local government units (LGUs) of Sarangani Bay have issued resolutions to implement CDT, and the rest who have not are being assisted by USAID Oceans with the preparation of the appropriate legal instruments.
- USAID Oceans is also supporting the national tuna conservation management plan, which serves as a framework for managing tuna at the local level and includes CDTS and eCDTS not only for tuna but for all fisheries in all of the Philippines' 17 fisheries management areas (FMAs), including Sarangani Bay. Currently, BFAR's Tuna Conservation Management Zone (TCMZ) Project uses a manual system of reporting. With USAID Oceans' assistance, the use of FAME transponders will be piloted (24 units for SSF/municipal fisheries and five for large-scale/commercial fisheries) to demonstrate that "it can be done electronically."

Noting that Indonesia is developing harvest strategies at the provincial level, Mr. Jacob Hagberg (SEAFDEC-Sweden) wanted to know how the harvest strategy discussion will be expanded to the regional level, where there are "prickly issues with transboundary fisheries." In reply, Indonesia said the discussions should consider the policy position and decisions of the Regional Fisheries Management Organization (RFMO), and Mr. Garces added that a technical paper is in the works to explain the planning scales that need to happen to implement the Sulu-Sulawesi sub-regional fisheries management plan.

2.1.6 Session 5: Experiences and Lessons Learned in Public and Private Sector Engagement

This session was presented by a team composed of Ms Araya Poomsaringkarn (USAID Oceans Partnership Specialist), Ms Duggan (MDPI), and Ms Abdurahman (SFFAII). It was broken up into the following topics:

1. USAID Oceans Partnership Strategy: Regional View — Presented by Ms Poomsaringkarn
2. Learning Site Progress through MDPI — Presented by Ms Duggan
3. The Philippine eCDT Project with SFFAII — Presented by Ms Abdurahman

The session also included an open forum discussion.

Presentation — USAID Oceans Partnership Strategy: The Regional View
By A. Poomsaringkarn

Much of USAID Oceans' success to date is due in large part to its partners and grantees. The implementation of CDT in the Learning Sites, in particular, would not been a reality without the support of technology providers, early adopters, government, and other stakeholders. For the PPP team, the key was to figure out early on who were the right partners for the program. In Years 1 and 2, they did some did some initial identification of key stakeholders to get a picture of the partnership landscape, before prioritizing the ones that were really important. The focus in those first two years was on designing CDT, so the team engaged with several leading organizations in the traceability community, such as GFTC (Global Food Traceability Center) and FoF (Future of Fish). They also formed a Technical Advisory Group (TAG) comprising NGOs, foundations, governments and private sectors who really helped shape the CDT the way it is today.

In Years 2 and 3, the partners were reassessed to determine what went right and what were the lessons learned from existing partners and grantee activities, and from collaborations with national and local governments. To support CDT implementation, partnerships with technology companies were launched during this period, and USAID Oceans engaged in several key events, including the Boston Seafood Show, global dialogue on seafood traceability, etc.

The mid-term partnerships review was conducted in October 2017, with the partners divided up into five groups as follows:

1. CDT design development — FoF, GFTC and TAG
2. Market partnership — Seafood Watch
3. Indonesia — ICTSA (Indonesian Coastal Tuna Sustainability Alliance) composed of MDPI, IPNLF (International Pole and Line Foundation), and AP2H1 (Indonesian Pole & Line and Handline Fisheries Association); MMAF
4. Philippines — SFFAII, FAME, BFAR
5. Technology partnerships — Inmarsat, FAME, Blockchain

The results of review are outlined below:

1. CDT design development:
    - The CDT partners were very crucial in the beginning of the project because they provided valuable expertise in the CDT design and helped raise awareness of traceability in the U.S. and EU as well as within the region. And at the end of this partnership, USAID Oceans

came up with valuable legacy products, including CDT 201 and the KDE list, which are now being used in other countries and platforms.

2. Market partnership:
    - Seafood Watch, the main partner in this area during the partnership review, was instrumental in drawing interest from U.S. and EU companies
    - Seafood Watch remains a valuable partner to engage with for building awareness in key export markets so the CDTS will become well known in those markets.
3. Indonesia
    - ICTSA is crucial for scaling the CDT, not just in the Learning Site in Bitung but nationwide in Indonesia, so USAID Oceans should take the opportunity to build and really move forward with the alliance.
    - USAID Oceans is fortunate to have MMAF as a partner, especially at a time when MMAF is development the STSIPP, which is not only crucial in CDT development but has also opened up the opportunity for the USAID Oceans CDTS to be adopted.
4. Philippines
    - SFFAII activities were running smoothly as planned
    - BFAR has been a great partner and should be assisted in rolling out the development of the CDT national roadmap.
    - The partnership with FAME should be formalized (At the time of the review, FAME was an emerging partner that was able to support both SFFAII and BFAR; it is now a formal partner with USAID Oceans.)
5. Technology partners
    - In addition to FAME, the review looked at Inmarsat, which is now a partner. Inmarsat is now installing its devices in Indonesia
    - Blockchain is an exciting area to showcase for fisheries traceability, specifically to address the challenge of interoperability. The review recommended a design workshop with the TWGs to design and eventually adopt a roadmap to interoperability for CDT using blockchain.

Based on these review findings, the following Learning Site interventions and implemented:

1. Philippines — SFFAII grant, FAME partnership, collaboration with the First Movers, workshop on the Seafood Watch assessment methodology and labor assessment tool
2. Indonesia — MDPI grant, Inmarsat partnership, collaboration with the First Movers, workshop on the Seafood Watch assessment methodology and labor assessment tool

In the Expansion Sites, the PPP team focused on two main activities:

1. Rapid Partnership Appraisals to figure out the partnership landscape for Malaysia, Vietnam and Thailand, and to identify opportunities and challenges — The report from this activity is being finalized.
2. Thai Union eCDT pilot assessment involving Thai Union, Mars Petcare and Inmarsat/X-Sense and using Inmarsat's Fleet One technology together with an e-logbook and crew communication platform (Hi-chat) — The assessment revealed that CDT on vessel is possible, workable and in fact already a reality. The initial KDEs that were used during the pilot were quite minimal, but new KDEs can easily be added to suit the needs of each country. The companies that participated in the assessment really saw the benefits of CDT in terms of improved efficiency, although it was still difficult during the pilot to pinpoint exactly how much efficiency came from having CDT. The highlight of the review however was the finding that there was an increase in crew morale, largely due to the communication platform that came with the technology and enabled crew members to contact their families from onboard their boat.

Presentation — Learning Site Progress through MDPI
By D. Duggan

MDPI focuses on five types of partnership under the USAID Oceans grant:

1. DMCs made up of various stakeholders working in the province, including academia, fisheries department, transportation department, fishers, suppliers, industry, and NGOs working in the area – – The DMCs meet twice a year to discuss and review the data, specifically the data collected with MDPI's iFISH port sampling approach but generally also data from various other sources in the province. They also review any issues and challenges for fisheries management, which at the moment would be vessel registration for small scale vessels, and other concerns like catch documentation and introducing the TraceTales to wider partners.
2. Tri-Party Meetings — Currently, these meetings are primarily to resolve issues between the fisheries department and transport department with regard to vessel registration. MDPI, acting as a bridge between the two parties, convened a triparty meeting in April to discuss an MOU (memorandum of understanding) outlining which department will do what and how this would look like in the field. The discussion is still ongoing, with a few decisions left to be finalized.
3. ICTSA — ICTSA is a fairly recent development. It came about basically because the three organizations (MDPI, AP2HI and IPNLF) work on quite similar topics on small-scale fisheries and decided that joining together in this alliance would allow them to act as a unified voice and strengthen their concern for catch documentation, MSC and other regional, national and provincial issues.
4. Engagement with the industry stakeholders — In particular with TraceTales, MDPI works with PT BOGI in Bitung to pilot TraceTales with support from Anova, and with Nutrindo on further developing the TraceTales system. These two partners are key as well for other activities like testing the supplier app (Trafiz), vessel registration, data collection, and providing key contacts and encouragement for the activities.
5. Learning exchanges — Everything MDPI does and learns from its work is for sharing, within Indonesia as well as the region. MDPI organized this year (May and June) two learning exchanges between the Philippines and Indonesia. The Indonesian side shared about TraceTales, I-Fish, Trafiz, their difficulties with vessel registration, etc., and they also learned from the Philippines about FAME, port conditions and regulations and how these could these potentially be applied in Indonesia.

These types of partnership are not necessarily unique to the USAID Oceans program for MDPI. They are approaches that MDPI has found to work in Indonesia and has therefore generally followed, adapting and changing them depending on the conditions to fit stakeholder needs in the provinces. The partnerships that MDPI has in North Sulawesi take time — in fact, the majority of them were actually in motion before USAID Oceans came along although they were really strengthened with the work that is going on at the moment.

The partnership lessons MDPI has learned over the years include:

1. The partnership must demonstrate the value/return for partners/stakeholders for them to really be encouraged to participate and commit the time for involvement.
2. Technology is a new territory. For some stakeholders, technology a new item to work with, so they may be enthusiastic but may also lack the skills to implement immediately. As their partner, MPDI acts as an educator and supporter for this technology.
3. It is important to adapt to provincial and local conditions, because what works in one province may not necessarily work in others.
4. MDPI is a bridge between stakeholders, not the main leader.
5. Collaboration with other organizations such as IPLNF and AP2HI is key and vital to highlighting issues and demonstrating change.

In sum, there are three key areas that MDPI is trying to focus on to gain the respect and involvement of the different stakeholders. These are (1) commitment; (2) focus (i.e., not being too overwhelmed by the many

different activities, and being able to concentrate on what is necessary and key); and (3) consistency to deliver high quality projects.

Presentation — The Philippine eCDT Project with SFFAII
By S. Abdurahman

When SFFAII was approached about working together with USAID Oceans on the eCDTS, they strongly recommended that the government should be on board. In the Philippines, it is the government, particularly the BFAR Fisheries Information Management Center (FIMC), who designed and developed the eCDTS in accordance with BAC 251, the Philippine traceability framework. Having said that, the full and strong engagement of the industry is essential to ensure success of the eCDTS implementation. And so, it was SFFAII that presented to fisheries stakeholders BFAR's initiative to develop an electronic catch documentation and traceability system, pointing out how this will help the industry generate financial value, including operational efficiencies and potential premium market access.

SFFAII has so far engaged 12 First Movers in the eCDTS. These include two handline companies (Jebo Fishing, Tuna Explorer, Inc.), four fresh frozen processing companies (Philcinmic Industrial Corp., Sta. Cruz Seafood Inc., Rell and Renn Seafood Sphere Inc., Mommy Gina Tuna Resources), four purse seine/ring net fishing companies (Marchael Sea Venture Corp., Dex Sea Trading, Rell and Renn Corp., RD Fishing Corp.), and two canning facilities (Gentuna Canning Corp., Celebes Canning Corp.).

The handline companies mainly supply the fresh frozen sector that exports to EU, the U.S. and Japan. The purse seine companies, on the other hand, supply the canning sector that exports mainly to EU and the U.S., and to a lesser degree, to the Middle East and Japan.

Now 10 months into the project, SFFAII is pursuing several activities that support the development and implementation of the CDTS. These include:

- Systems development workshops with First Movers and other stakeholders (e.g. national government and LGUs)
- Seminars and orientations on various topics, such as legal bases of the CDTS, US NOAA SIMP, Information and Communications Technology in Fisheries: Creating a Business Value and a Tool for Regulation
- Trainings to capacitate First Movers in the use of CDTS
- Focus group discussions (FGDs) with national and local government agencies, including the Philippine Council for Agriculture and Fisheries (PCAF), City Fisheries and Aquatic Resources Management Council (CFARMC), General Santos City Council, and BFAR-12 — It is important for the success of the project that the various stakeholders are informed and consulted about the CDTS. SFFAII's presentation to the City Council has resulted in two resolutions supporting the Fisheries Annex and the eCDTS.
- Meetings with First Movers and other stakeholders — These meetings are held quarterly, and in addition special meetings may be convened to tackle urgent concerns (e.g., a recent meeting was called solely to review and update the provisions of BAC 251)
- eCDTS Live Data Testing — As earlier reported, almost 30 tons of fish are in the system, and the catch certificate may be issued within the month for export to the U.S.

With regard to transitioning from the paper-based system to a fully digitized tracing of fish and fishery products from point of catch to retail, our First Movers are committed to undertake the following activities to adopt eCDTS:

- Setting up of eCDTS Workstation for use with their operations
- Continuous engagement in meetings, focus groups, and workshops (the First Movers are supposed to complete 40 hours of training)

- Personnel capacity building
- Monitoring and evaluation of eCDTS use
- Reporting to eCDTS team in General Santos City

If everything goes well with the testing and the system is ready by August 2018, the First Movers will parallel run it with their paper-based system until such time that a legislation is passed making the eCDTS an official system. We are expecting a legislation to be passed once the eCDTS is fully functional and glitch-free, all stakeholders (especially the First Movers) are capacitated, and the requisite public consultations are completed.

There are some challenges that may need attention moving forward:

- BFAR processing time for inspection, validation, and certification
- Integration with other BFAR Fisheries Management Systems — There are a lot of advantages in having an integrated system, but the downside is, if one system fails, the others fail too as they are interdependent.
- Interoperability of existing CDTS — Some companies, including one of the First Movers, have their own eCDTS so it would be useful if these private sector systems can be made interoperable with the BFAR eCDTS
- Collection of data at sea — An offline app is used for data entry, so there are connectivity issues, as well as issues with user's knowledge of the system
- Differences in nature of transactions & fishing operations — The different sectors have different processes that need to be captured in the development of the system.
- Processors' Internal Traceability
- Municipal and small-scale commercial fisher compliance — There are ongoing initiatives to address some aspects of this challenge. For example, the CFARMC and City Agriculturist Office revealed in a recent FGD that they organized a one-stop-shop caravan to municipalities to help them register and license municipal boats in line with the CDTS development.

To conclude, SFFAII has these lessons to share from their experience:

- The full engagement of stakeholders is necessary to ensure the successful development and implementation of — This initiative cannot be industry-led only, or government doing it alone. It needs to have everyone involved.
- Open two-way communication is key
- Government support is essential
- USAID Oceans intervention expedited the process
- Supply chain analysis is critical to ensure that the different users, and the different processes across different users, are considered in the development of the system
- Exposure to a variety of available technologies and openness to these new technologies is beneficial for improving the system

Open Forum Discussion
(See Annex V for more details)

Most of the questions raised during the open forum were to clarify certain statements made by the presenter, which warranted repetition, with some elaboration, of the relevant points, such as blockchain and its application and benefits relative to eCDTS, and the various challenges the Learning Sites have faced in implementing traceability.

Cambodia asked if USAID Oceans has "a simple PPP model that Cambodia or Lao can learn from." In addition to the protocol Ms Poomsaringkarn described in her presentation, Mr. Parks and Mr. Maruf indicated

that there is a plan to do an innovation challenge "for the best minds in the region to come up with solutions that meet a double or triple bottom line."

2.1.7 Session 6: Promoting Human Welfare and Gender Equity

A team of four presented this session: Dr. Arlene Nietes-Satapornvanit (USAID Oceans Gender Integration and Capacity Building Specialist), Ms. Jariya Sornkliang (SEAFDEC Focal Person for Human Welfare and Gender), Ms. Lovita (USAID Oceans-Indonesia), and Dr. Sumagaysay of WINFISH. Ms. Lovita presented on behalf of Dr. Rignolda Djamaluddin of KELOLA, who was unable to attend the workshop.

WINFISH and KELOLA were invited to the panel as USAID Oceans' newest grantees focused on human welfare.

An open forum discussion followed the presentation. Joining the team to help address participant comments and questions were Ms. Andong, Mr. Garces, and Mr. Sang Udayana (USAID Oceans-Indonesia IT Specialist)

The team's presentation is detailed below under four broad headings:

1. USAID Oceans Human Welfare and Gender Equity: The Regional View — Presented by Dr. Satapornvanit
2. A Joint Mission: SEAFDEC, SEAFDEC-Sweden and USAID Oceans — Presented by Ms. Sornkliang
3. KELOLA Indonesia: Raising Awareness of Gender Equity and Women Empowerment — Presented by Ms. Lovita
4. WinFish Philippines: Lessons from Gender Analysis of Tuna Fisheries in General Santos City — Presented by Dr. Sumagaysay

Presentation — USAID Oceans Human Welfare and Gender Equity Strategy: The Regional View

By A. Nietes-Satapornvanit

Advancing gender equity and fair labor is part of the overall USAID Oceans strategies towards improved marine biodiversity conservation, effective sustainable fisheries management and increased sustainability of Asia-Pacific's international seafood trade. This workstream is guided by the following principles and strategic approaches to integrating human welfare aspects in a technology- and fisheries-focused program:

- Promotion of safe and humane labor practices and gender equity
- Capacity building activities that are inclusive and with enhanced, gender-sensitive human well-being components
- Consideration and integration of human welfare KDEs in the development of the CDTS
- Prioritization in program interventions of vulnerable populations (e.g., women, workers, small-scale fishers both women and men along the value chains) through targeted gender interventions

Following is a summary of key accomplishments in this workstream in 2017-18:

- Completion of Learning Site gender and labor analyses — The gender analyses were conducted by Winfish in the Philippines and UNSRAT in Indonesia, while the labor assessments were done in both countries by Verité, an international labor rights organization. All activities were implemented in partnership with local governments, private sector, local organizations and other stakeholders. The reports are now under review by USAID RDMA after they have been reviewed by the technical team and the TWG members.
- Presentation of results and recommendations at regional events contributing to a growing interest in human welfare, gender equity — Findings and recommendations from the gender and labor studies have been and are being shared at local and regional events so actions can be started.
- Application of learnings to design grants for Learning Site-specific gender interventions

- Participation in gender and labor-related workshops and events to ensure integration and increased discourse on human welfare
- Engagement with local, national and regional (even global) partners to catalyze dialogues and inclusion of human welfare aspects in fisheries policy development

In addition to these, the human welfare workstream also contributed to the development of the following tools and innovations with applications across different workstreams:

- The use of the gender dimensions framework overlaid with a gender responsive value chain analysis framework. This generated gendered value chain charts showing gender differentials along the chain (in terms of roles, issues, constraints, needs, opportunities and potential solutions).
- The open data kit or ODK system was used by Winfish in the Philippines for the paperless survey among actors in the value chain
- A set of key data elements focusing on human welfare and gender aspects recommended for consideration in the development of the catch documentation and traceability system, as well as in fisheries management plans
- Women actors along the fisheries value chain, especially fish traders/ suppliers will be trained on the use of the new mobile app, *Trafiz* being developed by Oceans CDT team, to provide leverage for their inclusion and involvement in the market place through improved access to market information and strengthened negotiation skills.
- Rapid Appraisal for Fisheries Management Guidelines (revised version) that includes guidelines on how to incorporate human welfare and gender equity components in the appraisal process for a more gender-responsive sustainable fisheries management plan.

Looking ahead, gender intervention grants will continue to be a major strategy for moving the human welfare workstream forward. These grants are awarded to Learning Site organizations that focus on raising awareness of gender equity and women empowerment in fisheries management. They aim to:

- Increase capacity of local stakeholders — particularly women who are oftentimes excluded in development interventions especially related to technology — to implement an equitable eCDTS and EAFM plans
- Identify, engage and empower relevant local stakeholders working across the fishery value chain to increase their capacities in regard to addressing human welfare in their fisheries work and \to promote equitable and fair fisheries production and management. At this time, this work is focused on the tuna value chain. It prioritizes women because they're among of the most disadvantaged sectors in fisheries.
- Engage local leaders and 'champions' in establishing an enabling environment for gender-responsive policies and advocacies aimed at improving the well-being of women and men along the fisheries value chain and promoting the implementation of sustainable fisheries management
- Contribute to regional learning on socially inclusive and gender-responsive sustainable fisheries management and other fisheries initiatives

Presentation — Integration of Gender in SEAFDEC: A Shared Mission
By J. Sornkliang

Through the support of SEADEC-Sweden and USAID Oceans, progress has been made to integrate gender into the SEAFDEC program.

With USAID Oceans, SEAFDEC has been participating in regional workshops and trainings, including many workshops on gender reform, that overall improved the gender knowledge within SEAFDEC. This year, SEAFDEC and USAID Oceans responded to a request from Lao PDR for resource persons to introduce them to gender concepts. Staff members from SEAFDEC were there for three days to share the knowledge they gained from their own participation in other workshops and trainings. Also, the next issue of the

SEAFDEC Fish for the People Magazine will have a gender theme to underscore the effort to integrate gender in the organization.

With SEAFDEC-Sweden, SEAFDEC worked with the International Union for Conservation of Nature/Mangroves for the Future (IUCN/MFF) and Stockholm Environment Institute (SEI) to do a gender analysis in South Asia, based on lessons learned from other initiatives, including USAID programs, about the importance of including gender in project planning.

These lessons will continue to guide SEAFDEC as it moves forward with its work. They include:

- Gender concepts can be integrated into all programs
- Gender analyses are a critical step in project planning
- There is work to be done! Many can gain more knowledge on gender concepts and analysis and learn from countries and organizations who have knowledge to share
- Gender-focused work provides a clearer understanding of gender conditions in several conditions in several countries and organizations
- Implementing partners, such as researchers and extension officers, have a need for gender integration tools and guidelines

SEAFDEC would like to see gender guides developed under USAID Oceans that provide practical tools that the countries can use for mainstreaming gender in fisheries and fisheries management.

Presentation — KELOLA Indonesia: Raising Awareness of Gender Equity and Women Empowerment

By F. Lovita (on behalf of KELOLA Director R. Djamaluddin)

KELOLA is an environment group in Northern Sulawesi that will implement for USAID Oceans a program to raise awareness of gender equity and women empowerment in fisheries management in Bitung. KELOLA is a local NGO and is a member of a national NGO called KIARA (People's Coalition for Fisheries Justice). KIARA is a member of the regional NGO South East Asia Fish for Justice Network (SEAFish for Justice).

In line with its vision is "to raise the prosperity of coastal people," part of KELOLA's work is to address some of root causes of gender inequity and lack of women empowerment, many of which are associated with poverty. These include:

- Cultural and societal beliefs and practices, and lack of skills that limit women's potential and involvement in fisheries
- Poor knowledge of women workers' rights and labor laws
- Inefficient management of fishery industries
- Absence of strong organizations for women in fisheries
- Lack or weak enforcement of policies and laws for the protection of women workers' rights

KELOLA has proposed the following activities and grant strategies as part of the intervention:

- Gender role mapping using the completed gender analysis in Bitung as a reference and starting point
- Establishing or strengthening an umbrella women's organization and their building capacities in eCDTS, EAFM, financial management and other relevant areas.
- Drafting of legal instruments to promote gender equity and empower women in fisheries (to be submitted to local or national policy makers)
- Developing alternative policy concepts for protecting and achieving rights of women workers
- Mainstreaming protection and fulfillment of women workers' rights through the development a multi-stakeholder network

In all this, it is hoped that an effective process documentation and communication of these efforts would also be conducted for regional learning.

Presentation — WINFISH Philippines: Lessons from Gender Analysis of Tuna Fisheries in General Santos City
By M. Sumagaysay

The National Network on Women in Fisheries in the Philippines (WINFISH) is an 18-year-old organization made up mostly of faculty members and researchers who are gender advocates. Most of the members come from the University of the Philippines Visayas where WINFISH is based, but the network also includes members from local government, civil society and other universities in the country. Currently, membership is largely individual based, but following its gender analysis work in General Santos City, WINFISH is looking at building up its institutional membership base as a way of strengthening partnerships between the stakeholders in tuna fisheries.

Conducted in 2017, the gender analysis was based on a paperless survey focusing on three tuna fisheries: municipal handline, commercial handline and purse seine. The analysis looked into the value chain of each fishery to examine gender relationships and differentials at each stage of the value chain, including differentials in gender participation, constraints by gender, ownership by gender, and gender access to resources, benefits, and opportunities.

Five key lessons came out of the analysis:

- **Engage local partners** through gender sensitization and capacity building — Local partners can be a source of sustainability for the program. If well capacitated and organized, they would be in the best position to sustain efforts on gender advocacy and mainstreaming when the project ends.
- **Identify local gender champions** to empower women — Gender champions should include both men and women from all sectors of society, including government, civil society and the private sector.
- **Engender the tuna value chain** to identify gender differentials and address practical and strategic gender needs that pose obstacles to women's empowerment — Using a gender-sensitive, rather than gender-blind, analysis is critical to both recognizing and correcting gender-based issues in the value chain. Without the gender dimension, it would easy to miss the gender differentials and where the interventions should be.
- **Raise awareness amongst value chain players** of the crucial role of women workers and entrepreneurs — The analysis included not only those who are directly engaged in the fisheries value chain but also the enablers, including development workers and their program managers both in government and non-government organizations. Understanding gender concepts is an especially important skill for community development workers on the ground, but to be effective, development workers also need their program managers and their organizations to be gender-aware and -responsive.
- Use research findings to **catalyze action, programs, and policies** for gender equality and empowerment — The research work is not complete until we have "technology transfer." This is called "research translation," which means translating the research results into practice and other meaningful outcomes. In this case, WINFISH categorized the research findings into those related to action steps like programs and those that have something to do with policies, and also identified which organizations are responsible for what.

Open Forum Discussion
(See Annex V for more details)

Country delegates used the open forum to put forward suggestions, mostly around gender actions:

- Document best practices that can be included in a status report on women in the fisheries sector in the Philippines.

- Provide gender and human welfare training for the women involved in tuna fisheries in Bitung — "not only about gender equity but also how to capacitate and empower them to contribute to real human welfare."
- Do a comparative study on the women in General Santos City and the women in Bitung.
- Use success stories in the Learning Sites as a motivation and teaching tool to help other women/disadvantaged individuals and groups both in the Learning Sites and in other areas.
- Teach women about "simple branding for their products."
- As well as gender, consider also the welfare of indigenous peoples (IPs), which is a particularly important issue in the Sulu-Sulawesi area.
- Document onboard practices, i.e., what fishers do when they are out at sea, from the time they leave the port to the time they come back (e.g., activities related to fish handling, food safety, discards and juvenile fish catches).

Mr. Singhapoom, on the other hand, used the forum to remind the TWG about the USAID requirement for sex-disaggregated data and to point out that, although the mid-term evaluation did not use quota sampling, the interview respondents were equally divided between male and female, which reflects the fact that, in terms of implementation at the site level, "we have achieved gender-balanced coverage."

Other questions (and responses) pertained to the following topics:

- Integrating gender in EAFM planning — The Sulu-Sulawesi EAFM plan identifies human well-being, which includes gender, as a high-level goal and prescribes several management actions and indicators around food security, gender equity and social benefits, including equitable access to resources, participation and engagement especially in the decision-making process. Furthermore, the CDTS includes human welfare KDEs.
- Addressing nutrition and the gender aspects of nutrition (e.g. undernutrition among girls and women of reproductive age) — Nutrition is addressed under food security based on localized studies that look at the nutritional status of fishing communities.
- Transferring technology to the community — Training is done by groups, after which individual questions are addressed as they come up, through one-to-one mentoring if needed. Generally, a parallel run of the (current) manual system and the (new) electronic system is done to develop confidence in the new system.
- Moving forward with the results of gender analysis — SEAFDEC is looking to produce a training package on gender to augment the basic gender training that has already been provided to the countries (e.g., Lao PDR).

2.1.8 Day 1 Wrap-up

This session was to get participant feedback on the day's proceedings, as well as to provide a synthesis of the discussions. The room was divided into five groups according to the sessions or topics covered.

Each small group discussed the highlights of the day, including what they liked most from the sessions and what topics they would like to know more about.

Group Report-out

➢ ***Group 1: eCDTS***

Presenter: Mildred Buazon (Philippines)

Highlights	Most Liked	Want to Know More About…
▪ Technological advances made by the different ASEAN and Asian countries in the development of the systems	▪ CDT aims to ensure quality, safety and sustainability of fisheries for food security;	▪ How eCDT in the future may be able to:

Highlights	Most Liked	Want to Know More About…
▪ Opportunities for expansion of the project ▪ eCDTS is a good measure to prevent, combat and eliminate unsustainable ways of fishing, and can also pave the way to a more effective way of sharing/using standard info for creating/updating fisheries management plan ▪ Traceability at sea ▪ Technology on VMS ▪ Important tool for catch documentation, movement documentation, catch certification ▪ Opportunity for the data safety ▪ Learned experience from the LS	Important for food security and quality of products from the sea ▪ Use KDE for standardization ▪ Use of eCDT data for stock assessment and harvest strategy ▪ Good to know that countries are already pushing for the implementation of eCDTS in managing their fishery resources ▪ With eCDT we are able to connect unorganized data and information about catch activities ▪ eCDT improves the quality of catch data from different methods and objectives ▪ Helps to establish MCS for fish species and vessels for better traceability	○ Function as forecast management system for catch by season ○ Assist conservation area designs and anticipate scaling and sustainability ○ Tool for harvest strategy to help industry sustain upstream and downstream processes ▪ How eCDT can help prevent IUUF thru ○ Sustainable FM ○ More collaboration between ASEAN countries ○ Blockchain ▪ How to simplify incorporation of eCDTS attributes to ensure HW considerations ▪ How CDT system is going to be implemented in AMS ▪ In Indonesia, key elements of STSIPP ▪ Link between eCDT and IUU reporting

➢ ***Group 2: PPP***

Presenter: P. Cadapan (Philippines)

Highlights	Most Liked	Want to Know More About…
▪ Importance of the participation of both private and government — in this project, PPP is a catalyst for good policy or program ▪ Governance is key and in order to have good governance we have to have PPP ▪ Open two-way communication — public-private should communicate with each other in a transparent manner	▪ Involvement of private companies for the good of all ▪ Strong support from the government — in order for the program to succeed, the government should be present and be supportive ▪ The role of facilitators is key to linking the different sectors — USAID Oceans facilitated a meeting of minds between private sector and the government that produced positive results	▪ Studies on inclusion of small players/entrepreneurs ▪ Successful cases of PPP, including presentations that highlight good practices and successful cases that we can all learn from ▪ How to develop a good PPP ▪ Inclusion of microentrepreneurs, including the ladies who sell fish *(F. Maruf)*

➢ ***Group 3: Opening Session***

Presenter: Thi Trang Nhung Nguyen (Vietnam)

Highlights	Most Liked	Want to Know More About…
▪ Partnership cooperation ▪ Project objectives ▪ Accomplishment of USAID Oceans Project	▪ The effort of USAID (graph) ▪ Gender and human welfare	▪ Success of projects ▪ Activities in the Expansion Sites ▪ Lessons learned from the activities so far

➢ ***Group 4: Human Welfare, Gender and Labor***

Presenter: D. Duggan (MDPI)

Highlights	Most Liked	Want to Know More About…
▪ Technology transfer/training for women, effort put into capacity building ▪ Support for livelihood for women, and looking at value adding for the sector	▪ Involvement of women and trying to empower women ▪ Gender balance during the presentations and also the photos — it was not just the women but also the men who were involved	▪ Legal instruments for protecting women ▪ Mental health support for the care of women ▪ Better working conditions for all/protection/social benefits

Highlights	Most Liked	Want to Know More About…
▪ How gender issues differed across geography between Indonesia and the Philippines and potentially the other countries	▪ Strategies and approaches for achieving gender equity	▪ Gender in PPP and how to support that ▪ Issue of child labor ▪ Regional cooperation and coordination ▪ Different working conditions targets along the VC ▪ Success stories for replication — they felt success stories were not really highlighted in the presentations

➢ ***Group 5: EAFM***

Presenter: Jasmin Mohd. Saad (CTI-CFF)

Highlights	Most Liked	Want to Know More About…
▪ Draft Sulu-Sulawesi plan and scaling of EAFM — CTI hopes to get the plan endorsed during the next SOM ▪ Ongoing implementation in the two Learning Sites ▪ Inclusion of ecological and human well-being/governance issues in the EAFM discussion	▪ For the first time we have more time for discussion — When we are separated into groups for breakout sessions, certain topics are sometimes not well represented, so this is a good method ▪ Stakeholders involvement and acceptance of how EAFM activities have been conducted ▪ Gender equality issues in fisheries that were also considered in the plan	▪ Development of eCDTS Regional Guidelines ▪ Human welfare in small-scale fisheries, especially protection of labor welfare ▪ Knowledge products from EAFM workstream ▪ Grants to demonstrates the use of eCDT in strengthening fisheries management

2.1.9 Reflections on Day 1

To close Day 1, Dr. Theparoonrat delivered the day's reflections on behalf of Dr. Silapajarn, who was originally scheduled to speak but was unable to attend because of another commitment. The reflections were focused on the technical sessions.

- **EAFM** — SEAFDEC is willing to support the initiative to promote and strengthen the capacity of the government staff for EAFM through the conduct of training courses for member-countries. However, consideration should be given to achieving meaningful impacts from promoting and implementing EAFM, such as, improved fisheries production, enhanced resource condition and better income and livelihood for the community.
- **CDT** — During the recent SEAFDEC Committee and Council meetings, several countries said they were not clear about the linkage between the CDTS being promoted by USAID Oceans and the SEAFDEC ACDS. Noting that the concept of the SEAFDEC ACDS has already been endorsed by the AMS, USAID Oceans should to integrate and align its CDTS with the ACDS and promote understanding of such linkage among the member countries when introducing the CDTS. Furthermore, USAID Oceans should look at the potential of packaging the CDTS into a suite of tools that the countries can continue to use even after the completion of the project.
- **Gender** — Besides USAID Oceans, SEAFDEC has several other programs that address gender. Moving forward, we should continue the cooperation and sharing of lessons that we have started. In this regard, we need to agree on a timetable of results for our Gender in Fisheries workstream. We have been directed by the SEAFDEC Council at their 50th meeting to develop the SEAFDEC gender strategy to ensure that our organization is gender-responsive. We now have a draft gender strategy, but we would welcome inputs from people in this room who are working in the gender area. Your views and experience would be very useful to ensure that the gender strategy will result in the mainstreaming of gender in our work.

- The **planning and implementation of the USAID Oceans Project** should not only consider achieving our targets but should also create benefits for the countries. Although the TWG mechanism has been established at the regional level, we should continue consulting directly with the member-countries at the policy level to ensure that we are steering the project in the right direction.

2.2 DAY 2 PROCEEDINGS

Day 2 started off with a recap of previous sessions and an overview of what's ahead for the day: Four technical sessions, two of which were done in plenary (including report-out) and one in small groups, with the final session using a mix of plenary presentation and small group discussions. Three of the sessions were focused on the human dimensions of the USAID Oceans work, and the last session on the proposed development of Regional Guidelines for the eCDTS.

Agenda:
- Recap of Day 1 and Overview of Day 2
- Session 7: Plenary — Introduction to People, Prosperity and Food Security
- Session 8: Small group discussions — Surfacing the Human Dimensions of the Work We Do (People, Prosperity and Food)
- Session 9: Plenary — Report Out by Groups on Session 8 Outcomes
- Session 10: Plenary presentation and small group discussions — Regional Guidelines Development
- Plenary — Day 2 Wrap-up

2.2.1 Recap of Day 1 and Overview of Day 2

Both recap and overview were done by Lead Facilitator Dr. Lando. In her recap, Dr. Lando provided not only a summary of Day 1 sessions but also a participant profile showing the participant mix by organization and gender and highlighting the perfect gender balance in the room (Annex IV). To introduce the day's topics, she also remarked on a dinner event held after the workshop sessions on Day 1 to recognize and celebrate WINFISH and KELOLA. As USAID Oceans' newest grantees under the human welfare workstream, these two NGOs each received a plaque of recognition from USAID Oceans Grants Manager Michael Kidd.

The Day 2 overview noted the addition of an optional session on the USAID Asia Counter Trafficking in Persons (CTIP) program.

2.2.2 Session 7: Introduction to People, Prosperity and Food

This session consisted of plenary presentations by the main session speaker, USAID's Dr. Schuttenberg, and a reactor panel composed of Dr. Sumagaysay of WINFISH, Ms Leakhana Chin (Cambodia's Focal Point for Human Welfare) and Ms Saad from CTI-CFF.
The core premise of the main speaker's presentation was that the goals of fisheries management are unlikely to happen without thoughtful consideration of the human dimensions in fisheries. The presentation was divided into three topics, as follows:

1. Global status
2. Feedback and vision
3. Four categories for action

The first topic of global status was presented using a true/false quiz as a mind warm-up exercise — only the key points and explanatory narratives for the quiz items are included in this report, not the actual quiz and answers.

The main presentation was immediately followed by the reactors' presentations, which provided regional, country and local partner perspectives in response to two questions:

1. What in the presentation were the themes or key points that resonated with you or made sense in your context? What rang true to you based on your experiences?
2. Is there a story from where you are along the key points presented (e.g., case study or real life example)?

Main Presentation — Human Dimensions in Fisheries

By H. Schuttenberg

Global status

- Trade and opportunity for fisheries to be a driver for development — Fish are the world's most widely traded food products, and in fact the export value of fish from developing countries is greater than the value of rice, tea, bananas, sugar and cocoa combined (Figure 15); and wild fish support a $260-500 B seafood industry. But how much of that is being reinvested in fisheries management to ensure that fisheries can continue to be a driver for development?

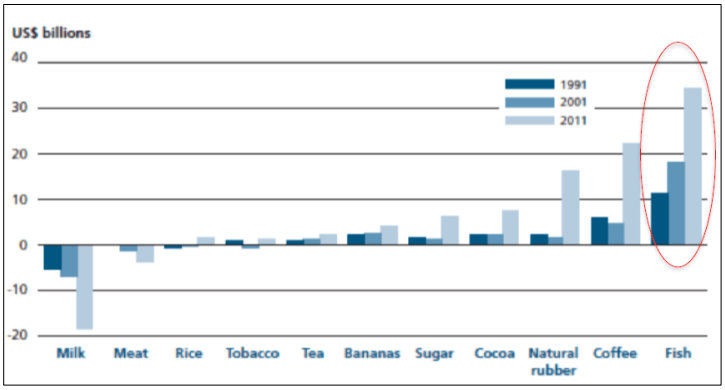


Figure 15. Net exports of selected agricultural commodities in by developing countries

- Food Security — The FAO Committee on Fisheries (COFI) has highlighted in their just ended (July 2018) meeting in Rome the importance of fish as a very bioavailable form of micronutrient. Fish accounts for at least 20% of the daily animal protein intake of 3.1 billion people worldwide (including those living in the Asian region), and there are a number of studies that show its high nutritional value. For example, a systematic study done in 2008 looking at the developmental gains of children (controlled for socio-demographics and duration of breast feeding) found that children whose mothers consumed more fish during pregnancy showed higher developmental outcomes in the first 18 months of life (Figure 16). There was also a 2016 study published in the journal *Nature* that predicted that 11% of the global population could face micronutrient and fatty acid deficiencies if the management of wild fisheries is not improved and fish populations are allowed to decline.
- Livelihoods — FAO estimates around 40 million people are involved in the primary sector of capture fisheries, but combined with aquaculture and all supporting industries, the figure is close to 12% of the world's population. (State of World Fisheries and Aquaculture, SOFIA) Approximately 90% of all people that are directly dependent on capture fisheries work in the small-scale sector and, interestingly, the amount of catch that is used for human consumption as opposed to other uses of fish is equally provided by the small-scale sector and the large-scale sector. However, the status of management of small-scale fisheries is actually behind that of large-scale fisheries. The Marine Stewardship Council (MSC), for example, has certified 312 fisheries globally, accounting for 10% of the global catch, but only 43 (14%) of those are considered small-scale, which means quite a disproportionately low number of fishers are benefiting from the higher prices and the sustainability and assurance they might get from a well-managed fishery.

- Women in Fisheries — FAO has reported that women make up only 15% of those directly involved in primary production (capture fisheries and aquaculture) but, in processing, the figure goes up to 90%. Overall, FAO estimates the sector is approximately 50% women. Anecdotally, it is also known that women's income from fisheries plays a very unique role as it is often the woman's income that is paying for school fees, health care costs, etc.

Women make up approximately 50% of seafood workers worldwide

- Safety — Fishing is considered to be one of the world's most dangerous occupation. Based on a 1999 study (there appears to be no recent data available, as everyone is quoting this study), there are around 24,000 deaths on fishing vessels annually, the majority on small vessels, and this is an accepted underestimate because many countries do not have a formal way of reporting these incidents. According to International Labor Organization (ILO), "the lack of a minimum wage for fishermen and the vagueness associated with fishing income may… lead some fishermen to fish harder and take unnecessary risks." They also emphasized that the way fishers are paid could incentivize them to engage in risky behavior, i.e., if they are being paid for a portion of the catch, they have a strong incentive to maximize that catch, which can also lead to very long hours and fatigue, which can then result in them making mistakes. At the COFI 2014, many FAO Members also pointed out the link between safety at sea and forced labor and the occurrence of IUU fishing activities.
- Decent work — It has been established that fishing vessels engaged in forced labor are also likely to engage in illegal fishing. There has been a lot of investigative reporting on this in the last few years, including the AP investigation that led to the rescue of over 2,000 fishermen. While it is difficult to get numbers on the scale of forced labor because it is an illegal activity, the estimates range from tens of thousands to hundreds of thousands of people, largely migrant workers who find themselves in dire situation. Perhaps the most disturbing finding of the study was the severity of the abuse of fishers trafficked for the purpose of forced labor on board fishing vessels. A UNODC (United Nations Office on Drugs and Crime) from 2011 said: "These practices can only be described as cruel and inhumane treatment in the extreme. Fishers are held as de facto prisoners of the sea, and the study documents instances of reported deaths, severe physical and sexual abuse, coercion and general disregard for the safety and working conditions of fishers."

Feedback and vision

As fisheries decline and become less profitable, fishers have to go farther at sea, where they are exposed to higher risk, while also enduring long periods away from their families longer and yet making less money. As fishing becomes less desirable as a profession, it creates a pull for forced labor situations, where people are trafficked and put on fishing boats and in situations that they would not choose by themselves. And, with more boats crewed by people who do not have a say in what the boat is doing, illegal fishing increases, which results in even more overcapacity in fisheries. This is blood subsidy. The fishery goes into a downward spiral, where the depleted resource is creating very bad working conditions and forced labor in the fisheries is driving overcapacity and illegal behavior in fishing.

The invitation is to change that spiral, i.e., to switch it so it goes in the other direction. Fisheries management works best when there are empowered fishers that are able to make good choices about what is in their own long-term best interest. And when fisheries are managed, they can recover and be more profitable — there have been a number of studies recently showing the economic losses from lack of management on the one hand, and, on the other, the biodiversity and fishery production gains from managing fisheries well, i.e., protecting the underlying ecosystems that fish depend on, as well as paying attention to the reproductive

cycle and stock requirement. The World Bank has estimated that ineffective management of fisheries results in annual economic losses of $50-100 billion, while California Environmental Associates (CEA) has estimated in a 2015 study that, with improved management, the recovery potential of fisheries productivity would be about 23% in food production, 112% in fish biomass, and 315% in profits (Figure 17). In 2016, there was also a study that found that improving the management of global fisheries could generate annual increases of more than 16 million MT in cash.

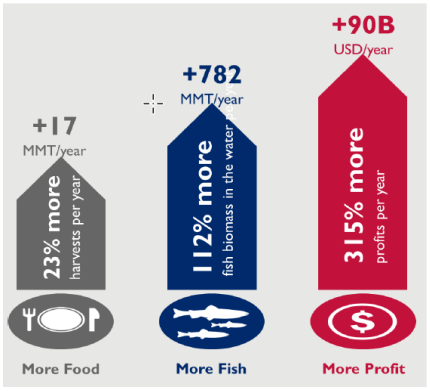


Figure 16. Potential to recover fisheries productivity through improved management

Four categories for action

And what is needed for good fisheries management to happen is to empower fishers in making good choices in their own long-term best interest. There are four categories for action that should be considered:

1. Access to Fish
    - Is there secure access to fish? — This is the critical underlying condition. If fishers forego some harvest today will they be able to benefit from that in the future?
    - In the fishery, how are the costs and benefits of fisheries being shared, e.g., between small and large-scale fishers? Is this a situation where the large-scale fishers are encroaching in areas that are supposed to be for small-scale fishers and essentially creating conflict and putting the small fishers in a precarious situation?
    - How are decisions made and how are they enforced?
    - What voice do women have in decision-making? In Ghana, where the sardinella fishery is on the brink of collapse, USAID has a fisheries management program that is trying to implement a fairly significant fisheries reform, the centerpiece of which is closing the fishery during the spawning season — sardinellas are fast breeding and can recover fast if given a break. The program includes a strong focus on women's empowerment and engaging women in the decision-making around the reform, and it is not simply because they want to empower women. That would be a positive side event, but the main motivation is that the women play a very significant role in the fishery and, without their support, the reform will not be effective.
2. Freedom and Safety at Sea
    - Fishing is a dangerous profession made worse by resource scarcity and fishers having to go farther out at sea or into more dangerous situations. There is ongoing work to improve safety through technology, such as providing weather forecasts so fishers can make better decisions about whether to go out or not; tracking vessels and equipping them so the crews can report distress; links to registration that provide health and life insurance, etc. Potentially, there is a real role for technology in increasing safety at sea.
    - Characteristics of forced labor — Technology is also being applied to help counter trafficking in persons and forced labor, such as the pilot that USAID Oceans has done with Thai Union to make sure that workers have ways to report grievances or bad conditions. There is another pilot program that USAID funded with International Labor Rights Forum (ILRF) which went a step further than just reporting and included both technology and organizing to empower migrant fishers working in Thai fisheries. Working with the Migrant Workers Rights Network (MWRN) in Myanmar, the program negotiated with boat owners to say they wanted to help them with this technology on their boat that would also allow the fishers to report on a daily basis in real time about their working conditions. There was an upfront agreement with the boat owners that no negative actions would be taken against fishers for reporting truthfully what their conditions were, and subsequently the boat owners, the crew and the MWRN would discuss the implications of what they found. And this is what they found: There is a very big gap between what the owners think is going on in their boat versus what is actually going, and being able to report in real time about their working conditions creates for migrant workers a very

empowering dialogue about what kinds of changes would be needed to create a safer work environment. In another study, boat owners who said they were against forced labor described as "normal" fishing practices that actually constitute the ILO's definition of forced labor, showing there is a gap that must be addressed to improve the sector's understanding of what working conditions are acceptable in line with the ILO definition of decent work.

3. Product quality and value chain
    - How are benefits distributed along the value chain? Arguably, the hardest and most dangerous part of the value chain is the harvesting of the fish, which ironically is the part of the chain that considered the least valued for a number of reasons.
    - The price that fishers get for their fish can charge is determined by their, which is influenced by factors related to the perishability of the product, price information availability, and how many other people the buyer could buy from. For example, without ice, fishers do not have much room for negotiating price because they will lose the value of their fish altogether in a short timeframe.
    - On the women's side, how will processing techniques influence value and price? How can processing techniques be improved to allow women to get more money for the same fish?
    - Of even greater interest to USAID Oceans, how can traceability increase price, value and efficiency? Could technology be used to create a virtuous cycle where fish catch value is optimized so that becomes a real incentive for fishers to shift to more sustainable behaviors? A possible gold standard for this, at least in some places where it can actually work, is Fair Trade certification for fisheries. There are only a few examples of this right now, but they are looking to expand were they will certify a fishery as Fair Trade using traceability to show that the fishery is following sustainable practices with safe and fair labor, and as a result enable a price premium that goes into a fund of that fishery community, who can then decide how they are going to use the fund.

Improved fish processing techniques can hep women get more money for the same fish

4. Financial flows
    - Many fishers are in debt and thus do not have a free choice about what or where or how much to catch, or whether or not to go fishing at all. If they have to pay someone off, they will go fishing regardless of whether it is in their own long-term interests. Similarly, fish are essentially a bank in the poorest communities, i.e., it is the fastest way for them to get cash, so if they have an emergency medical expense, they go fishing. This kind of financial instability influences the choices that that they are able to make about their fishing behavior.
    - Credit and financial management tend to be real problems in fishing communities, where there is often lack of access to credit and banking facilities, as well as lack of financial management skills and tools
    - In fishing households, women make a substantial contribution to the family expenses. Recognizing this, a program in Ghana is helping the women and their families to earn an income even during the closed fishing season by developing financial mechanisms that will allow women to know when the closed season is coming and to save in advance, and also to learn processing techniques that will allow them to stockpile some of their fish so they can continue selling during the closed season.

To sum up:

1. Attending to human well-being is central to achieving sustainable fisheries management — The goals of sustainable fisheries management cannot be achieved without a very intentional approach to thinking about aspects of human well-being.
2. Women, small-scale fishers, migrant workers and IPs all play key roles in achieving human well-being.

3. Solutions may include technology in combination with organizing and capacity building activities.

Reactor Presentation — Regional (CTI-CFF) Perspective
By J. Mohd Saad

In CTI-CFF, the main venue for gender discussion is the Women Leaders' Forum (WLF). WLF was set up in 2015 to serve as a peer learning network for women leaders, a means for recognizing the achievements of women at the grassroot level, and a platform to build the capacity of women to take leadership roles in preserving and sustaining the region's unique marine and coastal resources. The Forum is currently chaired by Solomon Islands' Ms Agnetha Vave-Karamui, who took over the post in 2017, replacing Prof Dato' Noraieni Hj Mokhtar (Malaysia), who now serves as WLF ambassador.

WLF has its own members database with more than 202 contacts compiled from past activities, including researchers, country representatives, members of the CTI-CFF National Coordinating Committees (NCC), community leaders, etc. It has served its functions mainly through representation in various conferences and the conduct of training workshops in each of the CTI-CFF countries, focused initially on capacity building and organizational development. The activities WLF participated in or organized are listed in Table 1.

The Forum's focus is now also on developing a gender policy and supporting the integration of gender principles into CTI-CFF. As well as fisheries, the policy will cover the other priorities of CTI-CFF, such as climate change, marine tourism, conservation, etc.

This work is currently in the proposal stage, which includes taking stock of the gender policies and legal frameworks that are in place within the CTI-CFF countries. Moving forward, the plan is also to develop strategies and action plans, and this is where programs like USAID Oceans could help with toolkits, strategies, and whatever is already out there that WLF can learn from and work off of rather than starting from scratch.

Table 1. Activities that CTI-CFF WLF attended or organized (2014-17)

- CTI-CFF Women Leaders Peer Exchange to the United States (16 Apr 2014)
- CTI-CFF WLF Basic Training on the Principles of MPA (Marine Protected Area) in Bali (2 Nov 2014)
- CTI-CFF WLF Roundtable in PNG (23 Mar 2015)
- Launch of Malaysia's Network for Women Leaders in Marine Conservation (27 Mar 2915)
- Women Leaders in Biodiversity Forum, Philippines (21 Jul 2015)
- Workshop in SI to form women's network for natural resource management (2 Aug 2015)
- CTI-CFF Women Leaders' Entrepreneurs' Roundtable (26 Aug 2015)
- CTI-CFF Grassroots Women Leaders Small Grant Awards (28 Aug 2015)
- 2nd Roundtable of the national PNG Branch (15 Jun 2016)
- CTI-CFF WLF at the Intl Coral Reef Symposium (23 Jun 2016) – we invited one of the grassroots women leaders to speak at this conference
- CTI-CFF WLF at the International Symposium on Capacity Building for Sustainable Oceans (19 Jul 2016)
- 1st Capacity Building Workshop for the Malaysian WLF Branch (12 Oct 2016)
- CTI-CFF WLF's Women's Intergenerational Leadership Learning Forum (17 Nov 2017)

Other areas of human welfare outside gender issues are currently not a priority for WLF, so the following comments on Dr. Schuttenberg's presentation come from my own experience and the Malaysian perspective:

- Human welfare research — I noted that the Expansion Site in Malaysia is Kelantan, where women are known for their entrepreneurial skills and therefore may be relatively well-off, but this will not be the case in other states in the country. Also, within the same state or site, land ownership or access to finances, for example, is not the same for all women — it depends on how affluent you are, or how well you are educated. If research is going to be done about human welfare in Malaysia, it should consider differences across sites, and even across social classes within each site, in terms of cultural and social norms, customs, and the laws, rules and regulations, otherwise the research is not going to be representative of the whole country.
- Freedom and safety at sea — We need to consider labor issues in fishing operations across the entire supply chain, and not only those at sea. For example, most workers in ice factories toil at hard labor for long hours in poor working conditions for

very little pay, and many are driven to using drugs to fight off fatigue. Sometimes, when these workers are jailed for drug use, business owners would pay bail or go to court to represent them, but many workers are left to fend for themselves. There are also many activities onshore involving primarily women (e.g., gleaning for shellfish) that need to be documented because they contribute to the family's expenses, especially during the off season for fishing.

- Capacity building — With the best intention, many programs try to capacitate fishers in business, rather than just fishing. For example, Malaysia provided trainings to teach fishers how to run a business and manage accounts, but we found that many fishers were not interested, saying they just wanted to fish. Perhaps the younger generations would be more open to that, but the older folks are uninterested in trying out new practices.
- Sustainability of programs — Programs can only be sustained with consistent political will and commitment from our leaders to support human welfare and gender education.

Reactor Presentation — Country (Cambodia) Perspective
By L. Chin

About 51% of Cambodia's population of 16 million are women, about 29.4% of whom are under 15 years old. In total, about 9% of children under the age of 15 are working, 62% of them in agriculture (including fishing). Women and children actively participate in various fishery activities, including fishing, post-harvest activities, repairing fishing gear, fish trading, etc. Unfortunately, there has been a lack of recognition of women's and children's role, and them problems they face, in the fisheries sector. At the community level, child labor and gender inequality are caused directly and indirectly by poverty and lack of community development associated with poor fisheries management, where women have little or no control over decisions about resource use, or even the future of their children.

To address women's issues and to achieve a better gender balance in our sector, the Fisheries Administration (FIA) implemented in 2008-12 a gender mainstreaming policy and strategies emphasizing gender awareness among fisheries officials. As a result, women now hold 40% of high-level management positions (deputy director, etc.) and more than 20% of top positions in line departments and provincial and local offices in FIA. In 2016, FIA started implementing an action plan to promote gender equality and eliminate child labor by 2020, and called all development partners, including the private sector and stakeholders, to integrate this action plan into their project design, plan and implementation. In this regard, we are looking forward to cooperating with USAID Oceans towards gender equality and the elimination of child labor in our country and the region.

Reactor Presentation — Local Partner (WINFISH) Perspective
By M. Sumagaysay

Fisheries or the production of fish for food is usually defined in terms of the value chain from sea to plate or from farm to fork but, in fact, the production of fish for food involves not just the value chain but a "value web" linking not only fishers, processors and markets but also policy makers, research organizations, technology providers, media, development workers, and other "enablers." This is important for the following reasons:

1. Occupational health and safety — Given that fishing is the most dangerous job in the world it is important to understand the occupational health and safety hazards that fishers face and the social resources needed by them and their families. However, it is also important to sex disaggregate the occupational health and safety hazards to ensure that correct interventions are put in place, such as, for example, adequate facilities and support for women working in fish processing, who are often required to stand for long periods. The welfare of *both* men and women along the value chain is paramount, but often the value chain is gender-blind. It is only when the value chain is examined for gender differentials that the multiplicity of the woman's burden is brought to light.

2. Justice and equity — This is about fairness, and not necessarily equality. It does not mean that if the man gets one dollar then the woman should also get one dollar. It is more about fair access to resources and the benefits that are worth their contribution in terms of the risks they take, and the effort, time, competencies, experience and costs they put in fish production.
3. Water-food-energy nexus — Water and energy, the key ingredients for food production, are in ever increasing demand because of rapid population growth, climate change and urbanization. Policy makers in the fisheries sector must recognize this fact, and that it threatens every country's prospects for real prosperity, i.e., prosperity that is shared so that everyone — men and women fishers, processors, and traders — have a guarantee of good quality life, security, and well-being. Such prosperity can only be achieved if policy makers recognize and understand the gender differentials and the need to address such differentials accordingly.
4. Women are partners, not just beneficiaries; they are co-managers and team mates, and not just clients. Men and women need to be equal partners in decision-making to ensure that the practical and strategic gender needs of both men and women are recognized and properly addressed.
5. At the recent launch of the International Science Council in Paris, the scientific community agreed that they should bring science into public discourse and listen more to people outside academia if they want to continue to help shape policies that are evidence-based and will benefit the public. This underscores the importance of the application of public science (participatory action research) in gender analysis to identify gender differentials.

The discourse on engendered prosperity should be heightened because when prosperity is faceless or neutral, it defaults to men. This is key because if prosperity is not engendered, prosperity will be endangered.

2.2.3 Session 8: Surfacing the Human Dimensions of the Work We Do (People, Prosperity and Food)

This session began with a plenary introduction and then broke into four small group discussions. (Table 2)

Table 2. Groupings for small group discussions in Session 8

Group 1: Sulu-Sulawesi	Group 2: South China Sea/Gulf of Thailand	Group 3: Andaman Sea	Group 4: Regional Partners
Indonesia	Cambodia	Indonesia	CTI-CFF
Malaysia	Malaysia	Lao PDR	CTIP
Philippines	Philippines	Malaysia	US DOI
SEAFDEC	Singapore	Myanmar	NOAA
WINFISH	Thailand	Thailand	USAID
MDPI	Vietnam	SEAFDEC	SEAFDEC
SFFAII	SEAFDEC		

During the plenary part of the session, the groups were instructed to discuss solutions and actions needed to address human welfare and gender equity, and then identify the priorities using six colored "thinking hats," as follows:

1. BLUE — Process and control: This is the facilitator's hat. It means managing the thinking process and making sure the conversation stays on topic/moves forward.
2. WHITE — Objectivity: Think about the topic objectively, keeping emotions neutral and focusing only on information and facts: What is it, where is it, who has it, how do we get it, what is missing?
3. YELLOW — Positivity: Dwell only on the positive aspects of the topic: what are the solutions, what is good about them, how will they work?
4. BLACK — Negativity: Focus on the negative aspects of the topic: Why is it a bad idea? What can go wrong?
5. RED — Feelings/intuition: Focus on initial impressions and gut reaction. Do not overanalyze the topic.
6. GREEN — Creativity: Think outside the box and come up with creative solutions: Is there a better way to do something? If the solution is obvious, is there another solution? Or can the obvious solution be done a different way?

Each group was given a handout containing results from the 2nd Regional TWG Workshop in 2017 as a reference and take-off point for discussion (Annex VI).

2.2.4 Session 9: Report-out by Groups on Session 8 Outcomes

In this session, the small groups from Session 8 reported out to plenary. Listed below are the priority action areas and "creative solutions" presented by the groups. High on the four groups' recommendations for priority action areas were capacity building, policy, financial access, and some form of financial assistance targeting issues of human welfare and social justice, and in many cases emphasizing labor and gender needs. For both countries and regional partners alike, the top-of-mind issues revolved broadly around the economic insecurity experienced by low-income sectors of the fisheries industry (especially SSF and migrant fish workers), with all groups listing as "facts" or "negative aspects" such issues as lack of access to banks, lack of financial management skills, difficulties with paying loans, financial policies that are "unfriendly" to SSF and women, pay discrimination and fair pay issues, cost of technology, and just poverty in general. Correspondingly, many of the solutions (including technology-based solutions) that were suggested were related, either directly or indirectly, to increasing these disadvantaged sectors' economic power and well-being, such as direct livelihood interventions, post-harvest facilities to reduce loss and allow for value-adding to existing processes and products, government policy and direct assistance to facilitate access to livelihood or business-related skills training and finance, and various forms of pay and compensation, tangible benefits, incentives and other intangible rewards for sustainable practices.

Gender equity was also a top concern for all groups, with Group 3 (Andaman Sea group) taking care to point out that while they did not specify "gender" in any of their top three priority action areas, they "considered gender equity in all actions," and the rest of the groups proposing specific actions to address gender concerns, including "gender-responsive technology," even an app or game to improve people's understanding of what gender equity and equality is.

(For the complete outputs of Session 8, please see Annex VII.)

Group 1 Report-out — Sulu-Sulawesi Sub-region
Presenters: D. Duggan, T. Yunanda, M. Sumagaysay

The group identified and presented five action areas, as follows: (See Annex VII for the complete outputs.)

1. Capacity for financial management, organization, training, effective bargaining or entrepreneurship
    - Build on linkages and networks to involve other organizations for the training
    - Provide training in cash flow management
    - Develop social enterprises and social entrepreneurship
    - Find donor support for management
    - Undertake technology transfer/capacity building activities
    - Provide access to the banks
    - Establish micro-enterprises
    - Support local women fishers/processors/ traders as resource speakers, trainers, monitors, decision-makers to help them transfer knowledge to their own network
    - Provide negotiation and communication skills training, especially for communities that may be quite reserved sometimes
2. Improving post-harvest to reduce losses
    - Provide alternative power sources (e.g. solar power) in remote locations where electricity is not reliable or even available
    - Develop/improve design of post-harvest facilities with women-workers in mind (dove-tail design)
    - Look into how cold chain system can be introduced to remote locations

3. Fair Trade particularly for SSF, including more "open local and export markets" for SSFs and small-scale entrepreneurs (access to markets, wider market engagement, finance flow), market guarantee for those that promote sustainability and gender activities to improve access to fish/alternative activities
    - Need market to recognize fair trade (driven by market requirements)
    - Diversify products
    - Develop and promote branding initiatives and advertise SSF for applying sustainable methods/practices
    - Use e-Commerce to improve supply chain efficiency
    - Strengthen the value of the supply chain
    - Register/accredit all actors in the supply chain especially the middlemen (some in Indonesia have suggested that we should eliminate the middleman, but the middleman's role is also important)
    - Support and strengthen supply chain with Marine Stewardship Council certification
    - Promote/replicate success story — There is a need to promote success stories to encourage others to follow the same process that has already led to success
    - Encourage small brother-big brother partnership/big brothers paying premiums to small suppliers applying sustainable practices
4. Policy review and fisheries governance that are gender-responsive, result in improved policies particularly on *jamboleros* (middlemen) buying fish catch from fishers in the fish center, promote development and recognition/legalization of local access rights sytems, and enhance fisheries documentation
    - Strengthen fishers' organizations
    - Use bottom up not top down approach
    - Increase awareness and education among the stakeholders, e.g., tapping public figures to promote and disseminate the information, especially eCDT and eACDS
    - Embrace public science; research translation and consider women as partners and not clients in everything that we do
    - Engage with labor groups/NGOs in documentation and welfare
5. Awareness and promotion of occupational health and safety along the value chain, including safety at sea for fishers
    - Ensure insurance for fishers/fishery workers (small traders, etc.), e.g. through mandatory insurance for fishers as a requirement for fishing license
    - Use information tech to prevent/minimize disasters, including real-time reporting using technology (distress signals/ injury/accident reporting) — The technology should be gender-responsive, and M&E tools and processes should be gender-sensitive
    - Promote cooperation between relevant agencies for exchange of information and data for safety at sea

Group 2 Report-out — South China Sea/Gulf of Thailand Sub-region
Presented by K. Teh

The group came up with a long list that included legal framework, regional guidelines, local implementation, health/nutrition, business management, labor safety/salary and research, and then grouped actions under three broad action areas, namely, policy, capacity, and livelihoods. (See Annex VII for the complete outputs.)

1. Policy
    - Incentivize compliance through branding or priority access (ensure fishers fair access to fishery resources and access to finance) — This needs a lot of study because we also do not want to cause overfishing, but the basic idea is to use a carrot-and-stick approach.
    - Mandate government assistance to help facilitate access to finance for small industry players including the fishers

- Promote PPP to strengthen the value network and provide incentives for actors across the value chain

2. Capacity
   - Scan for best practices/models, benchmarking to improve and measure sustainable practices
   - Implement learn-by-doing projects (not just classroom style training, should be hands-on in real on-the-job situations)
   - Develop targeted curriculum (should be more focused to specific audiences)
   - Start them young (start with the children)
3. Livelihood
   - Promote value addition and use of by-products
   - Use e-Commerce to expand markets
   - Develop agri-fishery tourism/glamping (luxury/glamorous camping)
   - Leverage PPP to create livelihoods for small-scale fishers

Group 3 Report-out — Andaman Sea Sub-region
Presenter: J. Sornkliang

The group identified four action areas that need to be addressed — access to fish, freedom and safety at sea, product quality and value chains, and financial plans. Based on this, they came up with a list of actions from which they picked their top 3 priorities listed below. (See Annex VII for the complete outputs.)

1. Capacity building to address safety at sea, product quality
   - Build the capacity of small and medium enterprises to value-add
   - Promote fishery products through the OTOP (One Town/*Tambon*, One Product) platform.
2. Sub-regional cooperation
   - Establish labor standards aligned with international standards
3. Application of sustainable fisheries management

Group 4 Report-out — Regional Partners
Presenters: *Larry Dohrs (iRespond Global) and Kanchana Aksorn-Aree (U.S. Embassy*

The group identified four action areas, but went in-depth only on three of them, namely, gender equity and addressing gender issues in the field, fair pay, and forced labor and human trafficking, as presented below. The fourth action area that was not fully discussed was labor and health conditions and sea safety. (See Annex VII for the complete outputs.)

1. Gender equity and addressing gender issues in the field
   - Strengthen women's influence in fisheries, management decisions, and power in supply chains for profitability
   - Showcase how women can be in a leadership position — It is important to have a woman leader able to see her current and previous roles in society
   - Illustrate the imbalance of reward by gender in the seafood supply chain — this goes across all sectors or all industries, not just fisheries
   - Encourage women to engage in management and financial decisions — Women are well organized, including with support from men, and can contribute significantly to decision-making
   - Focus on mission where along the supply women are generally the prime decision makers/value providers
   - Promote and support women leaders by providing them with the leadership skills and mentor/mentee skills so that they have the confidence to move forward and have a place in the society
   - Teach and reinforce education thru success stories that girls can be involved throughout the value chain, educating them while they are young to know that they can be involved

- Develop an app or game that promotes gender equity (use new technology to improve people's understanding of what gender equity and equality is).
- Break cultural and social norms by allowing women access to education and resources, and to influence decision
- Develop a technology "gap squeeze" that collects pay gap data and uses it to close gaps, etc.

2. Forced labor and human trafficking
   - Transparency — Just like we have the ability to track the fish from when it is taken from the sea to when it is sold in the store, we have the ability to follow a person from labor recruitment through hiring to their work process.
   - Issue in the spotlight and actions being taken — There is interest, people are concerned and more knowledgeable about this than they used to be.
   - Much deeper social issue that goes far beyond just fishing — This reflects much deeper social problems than solving in this one industry.
   - Compensation for people who have been trafficked and enslaved — Fishers who were enslaved and freed went home empty handed, and ended up getting right back into the fishing industry, so those who have been harmed in this process should be given some level of compensation, otherwise they are likely going to be stuck there.
   - Educating/talking about gender issues or trafficking issues so people are made aware and understand the possibilities, both positive and negative — We have the data, there is the concern and there is the opportunity to educate and prepare people so they do not get sucked into this problem situation.
3. Fair pay (the ability to pay each actor equally/fairly by using modern technology)
   - Provide organizing support and good information for workers
   - Promote transparency in pay structures
   - Create awareness of consumer desire for fairness (opportunity to reward good practices)
   - Improve controls and regulations to ensure effective monitoring of the underground labor market
   - Pay to include mandatory benefits (e.g. forced savings, medical insurance, etc.)
   - Reward consumers for good practice
   - Address gender pay gaps (women usually get paid less regardless of the types of job, because of stereotype that is across all industries)
   - Link profits to fair sustainable behaviors through technology and information
   - Do contract employment regardless of gender
   - Improve efficiency of money movement — How we can track the money that moves through the supply chain so we can see how fair payment is being carried out throughout the supply chain?
   - Use blockchain for small contract/transparency

Country Comments

Myanmar — In the past, we attended so many meetings, but it was all talk (and no action). Now that we have a bilateral cooperation with DOF-Thailand and we have also an important sub-regional cooperation, we are seeing some tangible decrease in IUU fishing. What we notice with this project is that the focus is on the ocean sector, but labor is a concern of many different agencies and thus needs to be properly coordinated not only within the country but also with other countries. Perhaps through USAID Oceans we can come up with some good ideas on how we can better coordinate at the sub-regional level so we can improve the labor situation in our fisheries. We need to create an environment for improved cooperation and coordination among us.

Vietnam — Although we come from different countries and deal with different issues, when we sit together, we can see a common view of how we can collaborate. We still have many things to do, but if we work together we can solve our problems.

Thailand — We already have a common stand on this issue. What we need to do now is to develop a strategic action plan to move forward.

Philippines — The issues we discussed particularly in my group are not new to us. We have been to many forums in this region that talked about these issues, so I support what Thailand said. ASEAN already has common stand. It's time to move forward and look at practical implementable actions or measures that we could take, and I believe the green part of our workshop is very useful to us. Small things, small steps that are very useful can be very beneficial to us.

Malaysia — Most of the main issues there need to be strengthened with information and development of certain guidelines and standards that are acceptable to the country members.

Lao PDR — Our country needs to learn from the countries that have marine fisheries, because we don't have that, so we are looking forward to doing that through USAID Oceans or other organizations.

Cambodia — We are particularly interested in the human trafficking problem which is a very important concern that the Cambodian government has been trying to address, especially in the fisheries sector, where cheap labor from Cambodia is trafficked to foreign countries on commercial fishing vessels. This is a challenge for us.

2.2.5 Session 10a: Regional Guidelines Development

This session was a plenary session that served as an introduction to the small group discussions that would tackle the proposed development of Regional Guidelines for eCDTS (Session 11). It consisted of a presentation by USAID Oceans' EAFM Specialist Mr. Garces and clarifying comments from the floor.

Mr. Garces began his presentation by referencing the countries' comments in the previous sessions about the need to "move forward, take small steps, develop implementable action plans," and establish the link between ACDS and eCDTS, and CDT and fisheries management. "The number one objective for this workshop is to get guidance from the countries on how USAID Oceans should proceed in terms of developing regional guidelines for eCDTS that are relevant to the countries," Mr. Garces said.

Presentation — Developing the Regional eCDTS Guidelines/Roadmap
By L. Garces

There are a number of concepts and frameworks developed at both global and regional levels to establish seafood traceability. These include:

- ASEAN Catch Documentation Scheme (ACDS) — This aims to enhance intra-regional and international trade and has been endorsed by the AMS.
- ASEAN Guidelines for Preventing the Entry of Fish and Fishery Products from IUU Fishing Activities into the Supply Chain
- SEAFDEC sub-regional approach as a platform to enable countries to discuss and address fisheries management in transboundary areas and in combating IUU fishing
- FAO Voluntary Guidelines for Catch Documentation Schemes

What this means is that the development of the Regional Guidelines is not going to start from scratch but will consider all these developments, as well as the relevant initiatives that are already in place in the countries. The Guidelines will build off of and reference existing policies, such as those in place to combat IUU fishing; catch documentation and traceability requirements; and existing CDT initiatives and systems, such as the SEAFDEC eACDS and the USAID Oceans-developed learning site technologies.

Mr. Garces explained that USAID Oceans is looking heavily to its TWG members to guide and inform the development of the Guidelines, including the process that will be used. As such, in Day 3 participants will be asked to break out into small groups (Session 11) to cover the following points:

- Specific guidelines based on the human welfare concerns — Participants may reference the concerns that came up in Session 8 and Session 9. As Dr. Yuttana (Theparoonrat) said, the Regional Guidelines should be beneficial to your countries. The reason for developing the Guidelines is not just because SEAFDEC wants it, or because it is a deliverable, but because it is relevant and of interest to the countries.
- Initial outline for Regional Guidelines and Activities — The USAID Oceans team prepared a draft outline for the body's consideration.
- Endorsement process and timeline — What would be the doable or practical outputs to target between now and 2019?
- Nominees for Technical/Writing Committee members and alternates.

Time permitting, the discussions should also include the following:

- Review of summary of baselining matrix and highlights — handouts to be provided (and updated if not complete)
- Country level CDT roadmap based on the matrix, especially for CDT development and implementation

Two outputs are anticipated from the small group discussions:

1. Key elements of framework plan towards developing Regional ACDS/CDTS Guidelines and roadmap (agreement on the proposed outline, timeline, nominees for Technical/Writing Committee)
2. Updates on status of CDT in the Southeast Asian (national and regional initiatives) including review of policy and institutional frameworks.

Clarifying Comments on the ASEAN and SEAFDEC Process

Y. Theparoonrat — If we follow the SEAFDEC process, this is not yet the time to start the actual development of the Regional Guidelines. What should happen is that we first need the countries to agree that having this Regional Guidelines is important for the region and will benefit member countries individually and the region as a whole, so they will propose, through the SEAFDEC Secretariat, for the PCM to endorse, and eventually the Council to approve the development of those Guidelines. It is only when the Council gives the go-ahead that we can begin the process of drafting the Guidelines. Right now, in this workshop, what we need to establish is that the countries agree that CDT is useful for them, and that having the Regional Guidelines would be appropriate for the region. If we have that agreement, we can pass it on to the SEAFDEC Secretariat so they can make the recommendation to the PCM and the Council.

Vietnam (Ms Nhung) — The idea of getting the countries' inputs through this workshop is good purely from the perspective of increasing their understanding of the Guidelines. But because the objective is to formulate guidelines for implementing the eCDTS in ASEAN, we also have to consider the ASEAN decision-making process. SEAFDEC has their own collaborative mechanism with the ASEAN, which is the Fisheries Consultative Group (FCG). (Figure 15) So, if we want to have the Guidelines adopted by ASEAN, this discussion that we're planning to do in this workshop should happen at the PCM level and, if the countries agree at that level to proceed, then we can submit to the Council the letter saying we agree to develop the Guidelines. The Council will then provide the directive to establish a drafting committee, maybe from this group or the nominees that may be put forward by this group. Then we can form the committee (through the national coordination mechanism) and assign the members that will draft the Regional Guidelines. When completed, the Guidelines will be submitted to the Council meeting, then the ASEAN Sectoral Working Group on Fisheries (ASWGFI), and finally the ASEAN Ministerial Meeting on Agriculture and Forestry (AMAF) for official adoption.

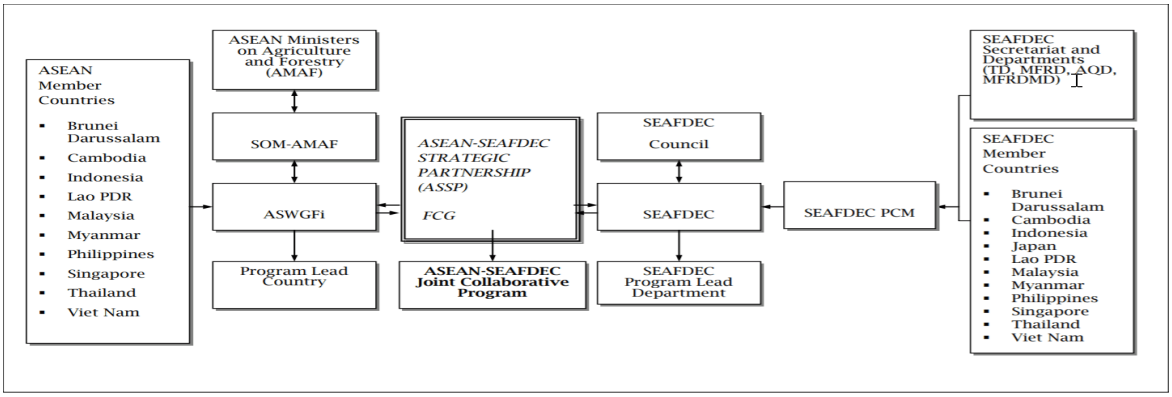


Figure 17. ASEAN-SEAFDEC collaborative mechanism *(Source: SEAFDEC)*

2.2.6 Session 10b: Introduction to Regional Guidelines Development

In this session, participants went back to their small groups from Session 8 to discuss the following questions:

- How would a set of Regional Guidelines focused on the adoption and implementation of eCDT systems be most useful to ASEAN member countries? (Purpose)
- How could these proposed Regional Guidelines best support the existing ASEAN Catch Documentation Scheme? (Relationship to ACDS)
- What content should be included under these proposed Regional Guidelines? (Outline/Contents)
- What process should be used to best develop these proposed Regional Guidelines between July 2018 and April 2020? (Timeline)
- Who from the region should nominated to sit on the small group that guides and supports the 2-year development process for the proposed Regional Guidelines? (Steering Committee)

Each group was provided with two sets of handouts:

1. Summary of country inputs — This is a regional summary on catch documentation, human welfare, EAFM and PPP based on the countries' inputs (Annex VI)
2. Handout containing information to guide discussion, including guiding questions, strawman outline, proposed timeline and criteria for nominating "Steering Committee" members (Annex VIII)

The groups would report out in Session 11 (Day 3).

2.2.7 Day 2 Wrap-up

Before adjourning for the day, participants reconvened in plenary for a short wrap-up by the Lead Facilitator Dr. Lando. In her wrap-up, Dr. Lando reminded participants of the salient points of the day's events, briefly asking them for feedback. She also reminded the groups that they would report out the next day.

2.3 DAY 3 PROCEEDINGS

As with the second day, the first session of the last day of the workshop was a recap session, which was followed immediately by the small group report-outs from Session 11. There was a change in the day's schedule to address lingering questions from the countries about the eCDTS and ACDS. A highly interactive discussion on the proposed development of the Regional Guidelines took up most of the morning. In the afternoon, there was another feedback session and a final wrap-up circling back to the workshop objectives and previous sessions before identifying actions for moving forward. The workshop ended with closing statements from Tetra Tech, SEAFDEC and USAID.

Agenda:

- Recap of Day 2 and Overview of Day 3
- Session 12: Plenary — Report Out by Groups on Session 11 Outcomes and Discussion
- Session 13: Plenary — Overview of Proposed Year 4 Work Plan
- Session 14: Plenary — Communications and Outreach: Legacy Products
- Session 15: Plenary — Open Forum and Feedback for Moving Forward
- Plenary introduction and small group discussions with plenary reporting — Workshop Wrap-up: Circling Back
- Closing Session

2.3.1 Recap of Day 2 and Overview of Day 3

The recap was delivered by SEAFDEC's Dr. Theparoonrat, who presented the highlights of each of the Day 2 sessions, and then provided an overview of the next sessions.

2.3.2 Session 11a: Report-out by Groups on Session 10 Outcomes and Discussion

The report-outs from the four small group discussions in Session 10 were delivered in plenary. For the most part, the groups answered the following five breakout questions that were intended to generate inputs for the development and adoption of the proposed Regional Guidelines:

1. How would a set of Regional Guidelines focused on the adoption and implementation of eCDT systems be most useful to ASEAN member countries? (Purpose)
2. How could these proposed Regional Guidelines best support the existing ASEAN Catch Documentation Scheme? (Relationship to ACDS)
3. What content should be included under these proposed Regional Guidelines? (Outline/Contents)
4. What process should be used to best develop these proposed Regional Guidelines between July 2018 and April 2020? (Timeline)
5. Who from the region should nominated to sit on the small group that guides and supports the 2-year development process for the proposed Regional Guidelines? (Steering Committee)

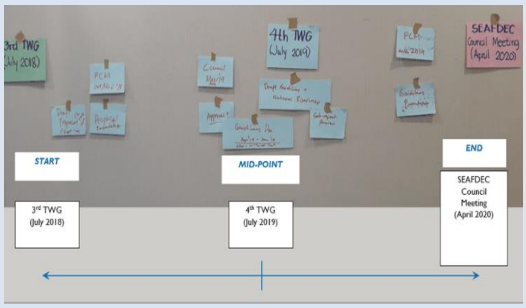
But while there were many commonalities across the groups on Questions 3-5, there was no clear agreement on the first two questions about the purpose of the proposed Regional Guidelines and it could support the ACDS. Group 2 (South China Sea/Gulf of Thailand Sub-region) expressed the confusion that many participants shared around eCDTS and ACDS, noting "a lot of similarities between the two, which sound like there's duplication. Many of the components of eCDTS mirror the ACDS and, in that sense, the eCDTS in itself is sufficient to meet the ACDS requirement, which the ASEAN countries have already agreed to implement, albeit on a voluntary basis."

Group 1 Report-out — Sulu-Sulawesi Sub-region
Presenter: Kongpathai Saraphaivanich (SEAFDEC)

GUIDING QUESTIONS	OUTPUTS
How would a set of Regional Guidelines focused on the adoption and implementation of eCDTS be most useful to ASEAN member countries? (Purpose)	• Harmonization of policies among the regional countries noting that ACDS have a regional guideline in place (note: review the ACDS regional guidelines) • Unity of purpose — have the same goal and direction in the regional level (e.g. facilitate data exchange) • To enable the countries to understand why they need the eCDTS and to assess their capabilities ○ System requirements before implementation- Technical consideration Data management (infrastructure) • Interfacing of systems among the countries
How could these proposed Regional Guidelines best support	• ACDS is currently for Marine Capture Fisheries • Allow countries to develop their own CDTS • How each country CDTS are interoperable.

GUIDING QUESTIONS	OUTPUTS

the existing ACDS? (Relationship to ACDS)	• Must have the adequate capability in the context of data custodianship and data security
	• It could support the countries to meet/comply the different market requirements- EU, US
	  ○ Technical considerations, system requirements
	  ○ Specify minimum KDE to be captured whether B2B or G2G
	• Enhance verification of documents among countries and establish communication and network among countries

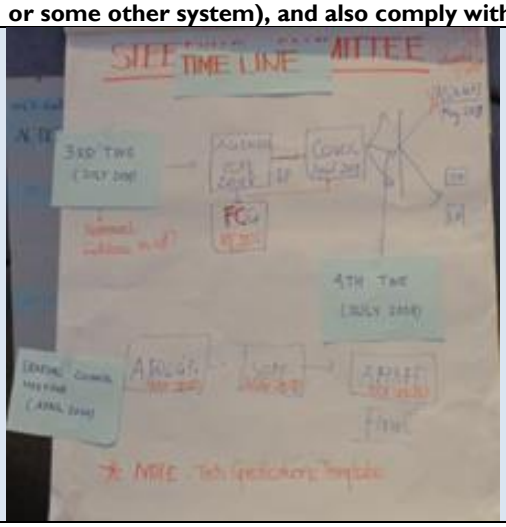
What content should be included under these proposed Regional Guidelines? (Outline/Contents)	I. Introduction (background, rationale) — We are not replacing the ACDS but to enhance and complement it II. Purpose (goal/objectives of Guidelines) III. How to Use the Guidelines — Technical guideline to support the implementation of the ACDS — Each country can customize the development and implementation of their CDT based on ACDS IV. Terms and Definitions V. Principles for Adoption of eCDT Systems (include intended beneficiaries) VI. Principles for Implementation of eCDT Systems — Compatibility/alignment with KDEs required under import requirements like SIMP and EU Catch Certificate — Enhance or complement the ACDS to include human welfare, gender equity and labor VII. Timeline for Regional Adoption and Implementation VIII. Conclusion
What process should be used to best develop these proposed Regional Guidelines between July 2018 and April 2020? (Timeline)	**Jul 2018** — 3rd TWG Meeting agrees to develop Regional Guidelines **Sep 2018** — TWG coordinator facilitates draft proposal to develop Guidelines **Oct/Nov 2018** — PCM endorses proposal to develop Guidelines for Council approval  **Apr 2019** — Council approves proposal to develop Regional Guidelines ▫ National level inputs on development of Regional Guidelines sections/language **May-Jun 2019** — Committee is formed and drafts technical guidelines and roadmap ▫ National level inputs on draft Guidelines and roadmaps **Jul 2019** — 4th TWG Meeting adopts Guidelines and roadmap ▫ Sub-regional review of draft Guidelines and roadmaps **Oct/Nov 2019** — PCM endorses Guidelines for Council approval **Apr 2020** — Council Meeting approves Guidelines

Who from the region should nominated to sit on the small group that guides and supports the 2-year development process for the proposed Regional Guidelines? (Steering Committee)	• Fisheries Agency representatives from all SEAFDEC -ASEAN Member Countries
	• SEAFDEC
	• USAID Oceans
	• FAO Asia Pacific Office
	• Industry Associations/ NGOs
	• Others for consideration:
	  ○ CDT Users/ Beneficiaries
	  ○ Gender balance representation
	  ○ 3-4 Representatives from member countries with CDTS experience, SEAFDEC, and USAID Oceans

Group 2 Report-out — South China Sea/Gulf of Thailand Sub-region

Presenters: Zaldy Perez (Philippines), K. The (Singapore)

GUIDING QUESTIONS	OUTPUTS
How would a set of Regional Guidelines focused on the adoption and implementation of eCDTS be most useful to	• Inter-connect data between the eCDTS and ACDS • Increase competitiveness of fishery products • Facilitate intra-regional trading • Combat IUU fishing — main purpose

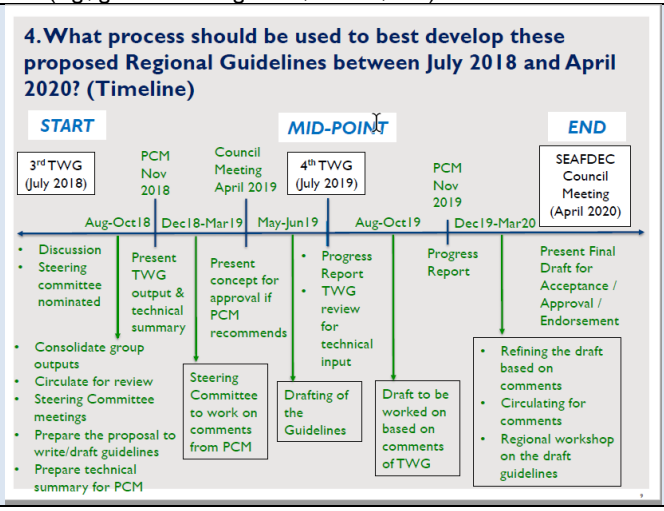
GUIDING QUESTIONS	OUTPUTS
ASEAN member countries? (Purpose)	• Basis for developing an eCDTS • Ensure that common systems are in place • Serve as a tool for increasing transparency in fisheries governance, human welfare and gender equity
How could these proposed Regional Guidelines best support the existing ACDS? (Relationship to ACDS)	There are a lot of similarities between the two, which sounds like there is duplication. Many of the components of eCDTS mirror the ACDS and, in that sense, the eCDTS in itself is sufficient to meet the ACDS requirement, which the ASEAN countries have already agreed to implement, albeit on a voluntary basis. Based on this, the group's recommendations are: • Countries that have already started or completed their own eCDTS can carry on and maintain that system — they do not need to implement ACDS, since their eCDTS is sufficient to meet the ACDS requirement. • Countries that have started ACDS with SEAFDEC assistance will continue and have that process. • Countries that have not started either process will decide which one they want to do.
What content should be included under these proposed Regional Guidelines? (Outline/Contents)	The proposed outline is generally sound — no changes suggested. However, noting the long process of getting the Guidelines adopted through SEAFDEC/ASEAN (see below), the group suggested that, **instead of having regional guidelines, it would be more useful for the countries to have a technical specifications template that can help jumpstart the development of a system of their choice (eACDS, eCDTS or some other system), and also comply with the ACDS.**
What process should be used to best develop these proposed Regional Guidelines between July 2018 and April 2020? (Timeline)	 The chart at left is an illustration of the ASEAN/SEAFDEC process. As shown, the process to have the Guidelines adopted by the ASEAN goes through several bodies. To begin with, Council approval is needed before the development of the Guidelines can even start, the entire work will probably not be completed until April 2020 at the earliest, which is quite long.
Who from the region should nominated to sit on the small group that guides and supports the 2-year development process for the proposed Regional Guidelines? (Steering Committee)	Countries that are interested to participate can decide who to nominate.

Group 3 Report-out — Andaman Sea Sub-region

Presenters: Nyunt Win (Myanmar), Napat Somwadee (Thailand), Achmad Fauzie (Indonesia), Namfon Imsamrarn (SEAFDEC), and Vonsamay Dalasaen (Lao PDR)

GUIDING QUESTIONS	OUTPUTS

How would a set of Regional Guidelines focused on the adoption and implementation of eCDTS be most useful to ASEAN member countries? (Purpose)	• Markets: enhance access and increase price
	• Data/information:
	  ○ Access reliable data, sharing, validation, transparency, integration with existing databases, availability, standardization (ecological, economic, social/human welfare)
	  ○ Labor management, fisheries management
	  ○ Safety, disaster preparedness/management, emergency response

GUIDING QUESTIONS	OUTPUTS
	○ Regional cooperation on data: compatible eCDTS (enhance data cooperation for data sharing) • Promote understanding of traceability 1. Link with food safety guidelines 2. Simplified eCDT 3. Strengthen traceability system in the region • Promote better understanding of benefits/value of eCDTS • Beneficiary communications • Strengthen regional cooperation in the reduction/elimination of IUU fishing, sustainable fisheries and biodiversity conservation • Prevent entry of seafood from IUU fishing (this is the main purpose of having regional eCDTS)
How could these proposed Regional Guidelines best support the existing ACDS? (Relationship to ACDS)	To support the existing ACDS, the Regional Guidelines should: • Provide information on ACDS • Show the similarities and differences in the KDEs between eCDTS and ACDS • Provide clarity between ACDS and eCDTS • eCDTS might need to be "renamed" to reflect its regional nature
What content should be included under these proposed Regional Guidelines? (Outline/Contents)	I. Introduction (background, rationale) II. Purpose (goal/objectives of the Guidelines) — Add scope and limitations; who can use these Guidelines (who are the Guidelines for?) III. How to Use the Guidelines IV. Terms and Definitions — Explain fisheries supply chain, for example, matrix for baselining current information like we already before; relationship between eCDTS and ACDS V. Principles for Adoption of eCDT Systems (include intended beneficiaries) — include requirements (infra, tech), minimum system requirements, indicators to measure readiness implementation VI. Principles for Implementation of eCDT Systems — Does this include connecting data to FIS? — For both V and VI: include requirements (infra, tech), minimum system requirements, indicators to measure readiness implementation VII. Timeline for Regional Adoption and Implementation — The timeline will differ from country to country depending on national laws and regulations, government structures and practice — Explain how the Guidelines will be reviewed for improvement VIII. Conclusion — To help the AMS implement the Guidelines, add "Helpdesk" information such as how to implement eCDT) and who to contact when for assistance (e.g., government agencies, NGOs, etc.).
What process should be used to best develop these proposed Regional Guidelines between July 2018 and April 2020? (Timeline)	
Who from the region should nominated to sit on the small group that guides and supports the 2-year development process for the proposed Regional Guidelines? (Steering Committee)	All ASEAN / CTI-CFF member-countries should be represented, including the CTI-CFF Pacific countries, as follows: *Andaman Sea states:* Indonesia: MMAF; Lao PDR: DLF; Malaysia: DOF; Myanmar: DOF; Thailand: DOF *Other ASEAN:* Brunei; Cambodia; Philippines; Singapore; Vietnam *CTI-CFF Pacific countries:* Papua New Guinea; Solomon Islands; Timor Leste *Regional partners* SEAFDEC; CTI-CFF; USAID Oceans; Private sector representatives

Group 4 Report-out — Regional Partners

Presenter: Napak Tesprasith (USAID/RDMA)

GUIDING QUESTIONS	OUTPUTS
How would a set of Regional Guidelines focused on the adoption and implementation of eCDTS be most useful to ASEAN member countries? (Purpose)	• Provide a CDTS that is dynamic/changeable through time (use examples of dynamic guidelines), and broad, general, non-specific • Reflect range of regional disparity • Demonstrate ASEAN integration efforts/discussion and successful approaches (ASEAN or non-ASEAN/global?) • Explain what will work best at the global and regional level (Should we use existing framework of SEAFDEC, and should the regional one be a sub-set of that? What is the value of having greater set of regional guidelines?) • Provide guidance that can be applied at the local/national level (the system customizable to the needs of the countries) • Increase demand for catch certificate by buyer countries (i.e., standardized and meet requirements of importers, e.g., EU/U.S.) • Explain general principles needed to establish CDT, including: o QA/QC o Process for adoption o Public review/social impact study prior to eCDT implementation o Addressing human welfare explicitly 4. Work each ASEAN country through process of adoption and implementation by providing guidelines for: o National roadmap o Main "ingredients" (required national guidelines) o Process in national roadmap o National adoption and implementation (regional intention) • Set minimum requirements and standards • Add value to ASEAN guidelines (ask importing countries to comply)
How could these proposed Regional Guidelines best support the existing ACDS? (Relationship to ACDS)	Already discussed by the other groups, no further recommendations
What content should be included under these proposed Regional Guidelines? (Outline/Contents)	• Form/format o Not a 200-page document, but portable, such as NEC (RFID) card, QR code or smart card o A virtual document that may include a downloadable form of the guidelines o Not a prescriptive document o A technical document that constantly adapting • Link risk factors with KDEs (why KDEs are important to reduce risk) o No child labor o Gender equity o Age distribution o Fair pay/working conditions) • Include incentives/subsidies which can be a driver to scale up eCDT adoption. For example: o Benefit to use by fishers o Work smart fisher o Technology + Site inspection — identification of "Problem" fishers/processing companies; "Risk" fishers o Trust traders • Shift burden of eACDS maintenance and cost from SEAFDEC to national governments (to promote sustainability of implementation) — This offers the following advantages: o Minimum cost paid by national governments o More focused support from SEAFDEC o Flexibility — National governments are in a better position to detect problems, update the guidelines, and apply the changes
What process should be used to best develop these proposed Regional Guidelines between July	Already laid out by the other groups, but in addition, the group suggested that there should be a small group consultation with each PCM member and the SEAFDEC Secretariat by late Oct 2018 to come up with a design. The PCM should be there to review and submit the proposed design to the Council. The process leading up to this may involve the following:

GUIDING QUESTIONS	OUTPUTS
2018 and April 2020? (Timeline)	• Decision makers of PCM • Submission of issue (Agenda) — August 2018 • Working paper — mid-September 2018

Who from the region should nominated to sit on the small group that guides and supports the 2-year development process for the proposed Regional Guidelines? (Steering Committee)	SEAFDEC
	• PCM
	• Council
	• Representatives of the 10 AMS:
	  ○ Designate
	  ○ Alternate
	
	CTI-CFF (observer role, learn from ASEAN process)
	• EAFM TWG process
	• Seascape TWG, MPA TWG
	  ○ NCC must approve through national TWG process
	
	(Note: It is assumed that USAID will support the process)

2.3.3 Session 11b: Synthesis and Decisions

(See Annex V for more details)

This session was originally intended to develop agreement about the proposed Regional Guidelines, specifically, its purpose and content, and the process and timeline for its development and adoption. Following the small groups' report out in Session 11a, however, the focus of the discussion shifted to addressing the questions the countries had about the proposed Guidelines and the confusion about how eCDTS and ACDS relate to each other.

The session ended in general agreement that:

- What the region needs is not so much another set of regional guidelines but practical guidance that the countries can use to implement CDT.
- The TWG needs a simple, two-page overview that explains in simple terms CDTS/eCDTS and ACDS/eACDS.

A number of specific points raised during the session led to this agreement, including the following:

- At the outset, the direction from the SEAFDEC Council was for USAID Oceans to create one system for CDT.
- The ACDS is "the paper" that contains guidelines for implementing catch documentation and catch certification in the ASEAN and serves as a policy instrument to encourage voluntary compliance by the AMS with the catch reporting requirements of certain markets, primarily the EU. Compared to ACDS, the CDTS that USAID Oceans has developed includes a very clear trade component with different catch documentation requirements. In this sense, the CDTS is quite advanced, and if the AMS can use it, they will be more adaptive with the market level (requirements) for traceability.
- What is eCDTS and how does it relate to or differ from ACDS? Why do we need eCDTS? The eCDTS/Regional Guidelines should complement/enhance the ACDS, not replace it.
- The eCDTS — or for that matter the eACDS and other systems that may be developed for or by each country — is a technology tool and as such does not require regional guidelines but technical specifications and guidance for users (maybe even for developers).
- Care must be taken in introducing a new regional catch documentation and traceability proposal to SEAFDEC/ASEAN. The ASEAN decides by consensus, and arriving at a consensus will require all of the AMS to be clear about the concept of regional catch documentation.
- The ASEAN/SEAFDEC approval process involves several bodies and can go well beyond USAID Oceans' timeframe of two years for implementing traceability.
- What the countries need from USAID Oceans is practical guidance in terms of how ACDS should be linked to policy, so the countries can use it. Such guidance should explain and illustrate what ACDS and eACDS are, what USAID Oceans is trying to improve through the eCDTS, and the policy direction needed to implement traceability.
- Instead of regional guidelines, USAID Oceans should develop technical papers, for example on how to comply with traceability in inland fisheries, in small-scale fisheries, commercial tuna, etc.

- The TWGs need a two-page brief describing the difference between eACDS and eCDTS ("without too much detail or technology"), and the requirements for developing and implementing each system; a matrix showing the similarities and differences between the two would be helpful.
- The results of the implementation of the CDTS in the Learning Sites should be documented and shared with the other countries so all countries can "learn together."
- It is important to link this project with the guidelines that have already been agreed by the countries, particularly the *Joint ASEAN-SEAFDEC Declaration on Regional Cooperation for Combating IUU Fishing and Enhancing the Competitiveness of ASEAN Fishery Products*. The second paragraph in this declaration is a provision for "enhancing traceability of fish and fishery products from capture fisheries through the implementation the 'ASEAN Guidelines for Preventing the Entry of Fish and Fishery Products from IUU Fishing Activities into the Supply Chain,' and 'ASEAN Catch Documentation Scheme for Marine Capture Fisheries'."
- ASEAN/SEAFDEC should think about getting ACDS recognized by all stakeholders (processors, buyers, etc.), "otherwise we can just let the market drive traceability."
- To facilitate compliance, the fishers' viewpoint should be taken into consideration in developing the eACDS/eCDTS.
- The different AMS have different levels of capacity that must be taken into consideration when developing a system (e.g., Lao PDR indicated that what they needed most at this time is assistance in data collection, so "we will know how much we are catching in one year.")

In response, Mr. Maruf clarified, "We are not trying to create two products. What we are trying to do is to develop one traceability solution that can be adapted to the different capacities, circumstances and needs of the different countries in the ASEAN. USAID Oceans support for implementing traceability is driven by country priorities."

Dr. Silapajarn assured, "We heard your suggestions and we will sit down with the USAID Oceans team to discuss the way forward."

2.3.4 Session 12: Overview of the Proposed USAID Oceans Year 4 Work Plan

USAID Oceans COP John Parks delivered this plenary session, which focused on activities proposed for the 12-month period beginning October 1, 2018, which constitutes Year 4 of the USAID Oceans program. In his introduction to the presentation, Mr. Parks said the plan had changed from the time this workshop started, based largely on feedback received from the TWG.

A session dedicated to an open discussion on proposed activities for Year 4 and other outstanding issues was scheduled for later in the day, so no questions were taken from the floor during this session.

Background

The proposed plan was developed based on three inputs:

1. Progress and directions out of Year 3 — This includes progress in the two Learning Sites in implementing electronic traceability systems
2. Adaptation to results of Mid-Term Review — One of the key points that came out of this review is the need to adjust the program's Year 4 and Year 5 directions to maximize its potential for impact and success.
3. Inputs from key partners
    - SEAFDEC and CTI-CFF — USAID Oceans has had three meetings with SEAFDEC to discuss the mid-term review results, and how those then inform what actions should be taken in Year 4. The project is also working closely with CTI-CFF about supporting the Sulu-Sulawesi sub-region with their EAFM planning.

- ASEAN members (through TWG) — This workshop is the final critical milestone before the Year 4 work plan is submitted to USAID.
- "First mover" private sector partners — Early adapters or first movers were also consulted, providing important inputs to the program.
- US Government partners, including USAID, DOS (Department of State, through the embassies), DOI, NOAA, Department of Defense/Pacific Command (DOD/PACOM)

Three major components make up the plan:

1. Regional level — USAID Oceans is a regional project, so this is the most important component of the plan. The approach is primarily through the ASEAN-SEAFEC collaborative mechanism and CTI-CFF, so the program covers 13 countries in all, including the three Pacific CTI-CFF countries, namely, Papua New Guinea, Solomon Islands, and Timor-Leste. (Figure 19)

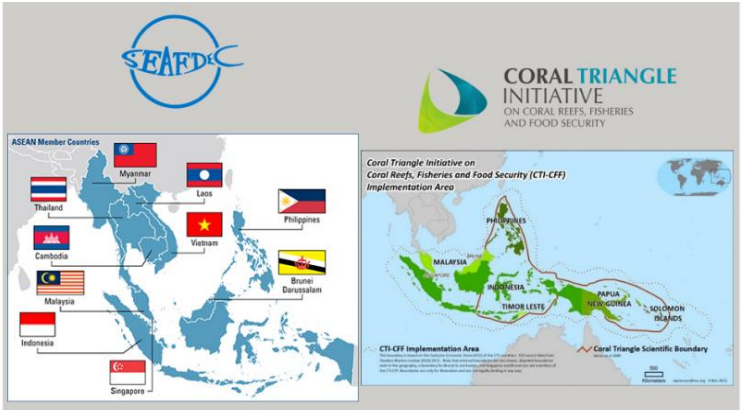


Figure 18. USAID Oceans supports 13 countries through the ASEAN-SEAFDEC collaborative mechanism and CTI-CFF

2. Site level — This includes not only the two Learning Sites but also the Expansion Sites. One of the key findings of the Mid-term Review from the 200 stakeholders that were interviewed is that they need to see USAID Oceans, as a regional project, working in and supporting the other countries and not just Indonesia and the Philippines. In Year 4, the project is looking to expand to other sites (Expansion I and II), as well as continue its work in Bitung/Manado and General Santos City, where much progress has been made and important lessons are being learned.
3. Communications — It is important that the TWG contribute to the development of the communication products, because these products will be created primarily for their use.

Key Regional Activities for Year 4

Year 4 activities at the regional level were identified based on the following key recommendations that came out of the review:

- Expand the use of eCDT systems across the region in Year 4 and Year 5 — The project plans to apply learnings from the two Learning Sites in the Expansion Sites and will need each country's and each sub-region's help in figuring out how best to do that.
- Strengthen the capacity of regional bodies to support the implementation of eCDT after USAID Oceans — The project is looking forward to working closely with both SEAFDEC and CTI-CFF to discuss how they can sustain this traceability initiative and bring the voice of ASEAN and the CT6 to the rest of the world.
- Promote regional harmonization and use of key eCDT concepts, terms, standards, and tools — Currently, this terminology is not harmonized, so people are confused. The project will clarify and harmonize the terminology, standards and tools, so by this time next year, everyone will be speaking in the same terms and will have a clear understanding of how these all relate to each other.
- Advance the 'scaling' of implemented EAFM plans from the local level — One example of such scaled implementation is in Sarangani Bay, which is a protected seascape that is nested and scaled inside a national EAFM plan, which is in turn nested inside a sub-regional plan.
- Explore private sector role in providing traceability services to national governments and the fishing industry — USAID Oceans plans to engage the private sector at the regional and national levels, and not just at the site level. This will help build private sector relationships to support ASEAN and the national governments. As already noted, private sector interest is growing rapidly and the project is

confident that this time next year, and maybe even beyond the project, private sector support for traceability and EAFM will continue to grow stronger.

Regional activities planned for Year 4 include:

1. Prioritize development of regional guidance for eCDT application — The TWG has been clear about needing technical and practical guidance (rather than regional guidelines) to help them implement traceability, even in freshwater fisheries.
2. Scale-up eCDT approaches and learning within Expansion I & II countries
3. Broaden private sector engagement at region level
4. Pursue regional adoption of sub-regional EAFM plan — There is a lot of excitement around the sub-regional plan for Sulu-Sulawesi, because this is the first time that an attempt is being made by multiple countries to manage transboundary fisheries under EAFM. If it succeeds, the approach can also be applied to the Andaman Sea and South China Sea/Gulf of Thailand sub-regions.
5. With private partners and venture capital, compete and incubate start-up companies to provide traceability services — The project will host an innovation challenge with some private companies (venture capital) that are bringing resources to award to the competitors (small companies that apply to compete). The winners will receive funding and support as they grow so they can thrive and serve the region's interests for years to come, and may be even asked to bring their solutions to other parts of the world.

Site Level Activities for Year 4

Learning Site implementation will continue because it is producing so much learning that provides remarkable value to the rest of the region. Key recommendations related to this that came out of the mid-term review include:

- Complete testing of eCDTS across full supply chains (catch to export) at both learning sites — There are a few pieces in the supply chain that have yet to be completed to establish traceability across the entire supply chain from point that fish is caught all the way to the consumer's plate.
- Build partnerships to demonstrate the use of eCDT data not just for traceability but also to support national/local fisheries management — The plan is to have a grant competition to bring out the best ideas for testing out the use of eCDT data in fisheries management.
- Investigate how eCDTS might be applied within small-scale fisheries — This was not part of the original design of USAID Oceans, but following the mid-term review findings and feedback from this workshop, the project will test the technology with small-scale fisheries. This is innovative and going above and beyond what the project was originally designed to do. For the last two months, the project has been working with small-scale handline fishers in General Santos City to test the technology. The hope is that, with this technology, the fishers will meet traceability requirements and can start selling the US market.

Following the mid-term review and findings, USAID Oceans has begun testing the application of eCDTS in small-scale fisheries.

- Empower women within fishery supply chains to improve human welfare conditions — One of the major ways that the project is doing this is through grants to local partners that can pave the way for additional actions in the future.

The approaches used for program implementation in Bitung/Manado and General Santos City are shown Figure 20 and Figure 21, respectively.

Specific activities for Year 4 that were identified based on these mid-term recommendations are as follows:

- Measure impacts and document benefits of eCDTS application across full fishery supply chains — At the request of the TWG, USAID Oceans is going to measure empirically the volume, value, timeliness, efficiencies, and benefits within the supply chain — where is it most beneficial, and who is

benefiting the most? At the same time, the project will gather the stories about traceability in Indonesia and the Philippines so they can be shared with the rest of the region.

- Initiate a 3rd round of grants to demonstrate how to use real-time eCDT data for fisheries management and decision making
- Demonstrate eCDT application within small-scale fisheries through private sector partnerships — How is it useful to the small-scale fishers? Is it cost-effective? How will it help give fishers them access to markets they have never had before?
- Empower a network of women "champions" to promote human welfare and support gender equity — This is not only to make the supply chain more effective and just, but also to make fisheries better managed, because this network of champions can help push for stronger fisheries and biodiversity.

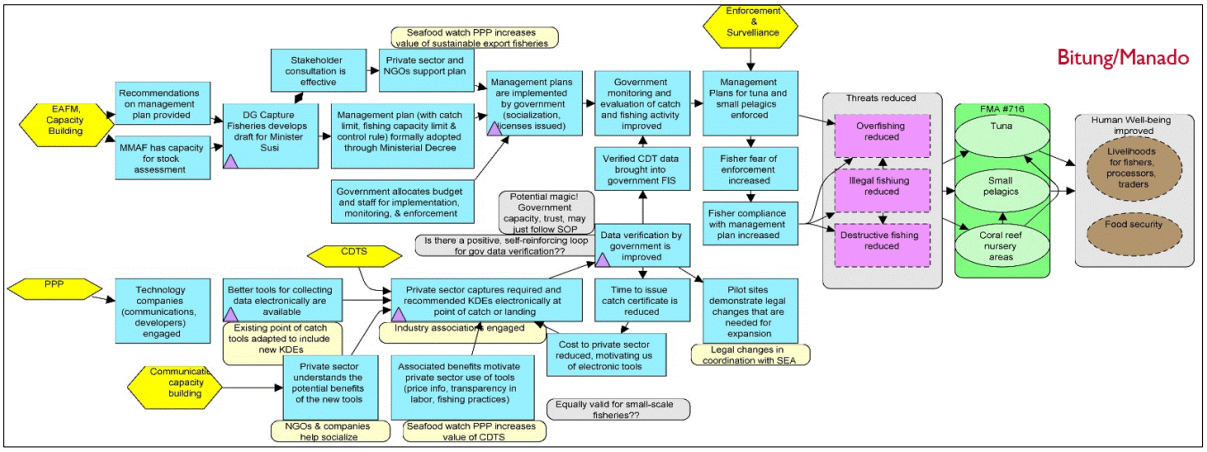


Figure 19. Approach to program implementation in the USAID Learning Site in Bitung/Manado, Indonesia

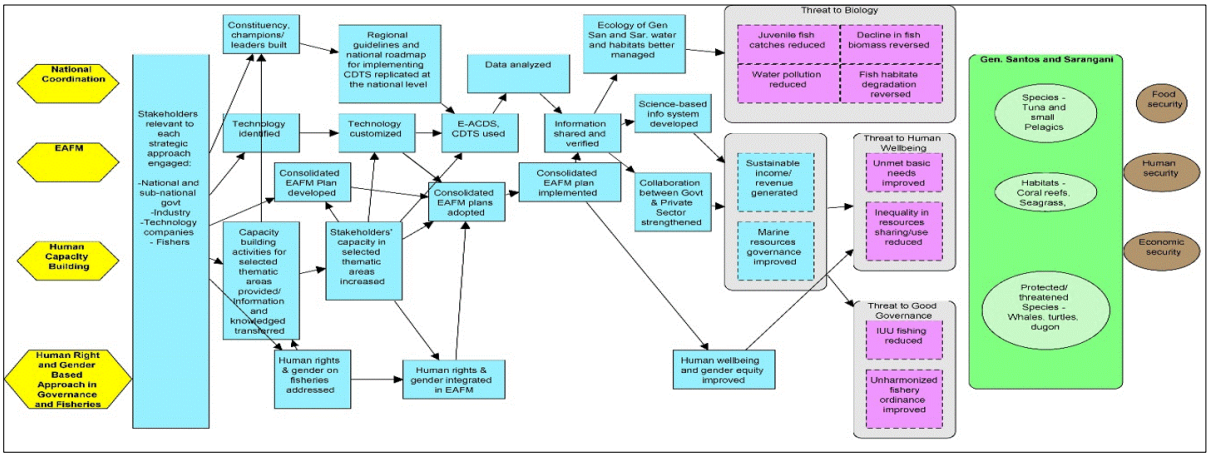


Figure 20. Approach to program implementation in the USAID Learning Site in General Santos City, Philippines

Overview of Communications Approach and Introduction to the Next Session

The project's approach includes the following components:

- Messaging scaled to target audiences — The confusion over terminology may be because of a lack of communication and an indication that we need to message more clearly what we are learning and why we are doing what we are doing. This will be done at different levels:
    - Site level — translate to local language and make sure that stories at the sites are getting out e.g., about small-scale fishers in the Philippines that are participating in CDT
    - National level — All countries have a story to tell. For example, it is fascinating to hear about the possibility of applying eCDT in freshwater fisheries in Cambodia, which is the

most freshwater biodiverse on earth — stories about fishers around the Tonle Sap Lake using this technology would be very interesting to get out (when it happens)
    - Regional (ASEAN, CT6) — USAID Oceans will be working to support the ASEAN voice through SEAFDEC
    - International (including within the US) — There is interest from the U.S. Congress and the White House in what the region is doing. This is an opportunity to get the message out to that audience and connect the ASEAN countries and regional voices to the rest of the world.
- Communicate innovation, impact, and lessons learned
- Focus on sustainability: Development and release of products and tools for use beyond the project – – The project is going to conclude in two years, so the focus is going to be on packaging communication products that are useful to the countries beyond USAID Oceans.

2.3.5 Session 13: Communications and Outreach: Legacy Products Development

In this session, USAID Oceans Communications and Outreach Specialist Melinda Donnelly took the participants through the project's communications and outreach strategy for the rest of Year 3 and through the end of the project. The presentation was divided into the following topics:

- Communications and the Project Cycle
- Critical Elements of a Communications Strategy
- Aligning Project Goals
- Defining Communication Objectives: Behavior Change Communication 101
- Audiences
- Messaging
- Tools and Tactics
- Fostering Sustainability

At the end of her presentation, Ms Donnelly requested the TWG to fill up suggestion worksheets asking for inputs on the target audiences, messaging and information, and the format and delivery "that would be helpful for you in your work."

As in Session 12, no questions were taken from the floor in this session, as the next session would be a dedicated open forum session, which enabled the participants to probe issues further and focus on what interested them the most.

The presentation is detailed below.

Communications and the Project Cycle

On Day 1, an overview of the project cycle was presented showing the different stages of project management (Figure 22). Currently, the project is in Years 3-4, where implementation is in full swing, the mid-term review has just been completed, and the team is analyzing what is happening in the field so the system can be scaled appropriately. From here, the next step (Step 5) will be sharing all the knowledge learned from project processes and outcomes. This step involves developing information products, disseminating lessons learned, and gathering feedback and evaluations.

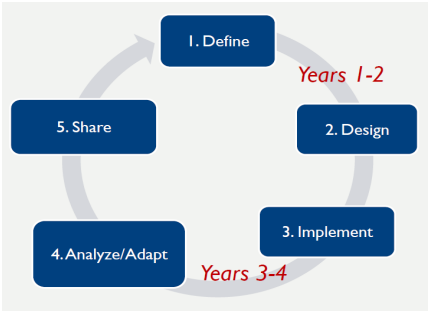


Figure 21. Communications and the project cycle

Critical Elements of Communications Strategy

A good communication strategy includes six critical elements: (1) Program goals (What are the overall goals?); (2) communications objectives (How do communications fit in and align with the program

objectives?); (3) audience; (4) key messages both at the broad level and for each of the key audiences; (5) tools and tactics (How should the messages be operationalized so they reach their intended audiences and make an impact?); and (6) Assessments and evaluation (assessing and evaluating as implementation progresses, and adapting as needed)

Aligning Program Goals

The program goals at the high level that the communications strategy is looking to support are as follows:

- Encourage/support adoption of electronic catch documentation and traceability
- Improve fisheries management through traceability
- Improve human welfare, gender equity
- Leverage public-private sector partnerships to achieve the above goals (cross-cutting)

Messaging should incorporate all of these goals in a holistic approach.

Defining Communications Objectives: Behavior Change Communication (BCC) 101

This involved looking at the steps in behavior change that lead to adoption, and identifying which steps to focus on and design communications around. Starting from 0, the behavior change steps are as follows:

Step 0. Unaware — Not knowing that Oceans exists, or what CDT is, or why fisheries management is important (this is the very basic, ground zero)

Step 1. Aware, concerned, knowledgeable — Knowing what Oceans is and what traceability is, but not being motivated enough to take action

Step 2. Motivated to change — Intending to take action or make changes in the immediate future

Step 3. Tries new behavior — Learning the challenges and adopting new behavior

Step 4. Sustains new behavior — Maintaining behavior changes and serving as a model/champion

Based on this and recognizing that target audiences throughout the region have different levels of knowledge and motivation to take action, three communications objectives were identified, as follows:

Objective 1: Awareness — Increasing awareness of the challenges around the world and in the region, the challenges in Southeast Asia's fisheries, USAID Oceans' approach and proposed solutions, and available tools and resources the project has to offer.

Objective 2. Action — Not only motivating action but supporting action, so people who might know about the tools and are willing to take action but need to be supported are provided with the resources to be able to do that

Objective 3. Sustainability — Sustaining USAID Oceans' program learning, progress and achievements to ensure that actions can continue beyond 2020 and to support future actions.

Audiences

The project is working to reach audiences at the regional, national, and site levels and also internationally. As shown in Figure 23, each of these stratospheres has sub-audiences within it that almost run through all levels. These include TWG members and a whole host of other government agencies that are not part of the TWG but are important to facilitating the project's work, whether they be in government or regional fisheries management or NGOs. Then there is the industry and private sector whose expertise can be leveraged to support the PPP workstream. Most importantly, there are the fisherfolk and beneficiaries at the ground level that should be engaged in the project, and educated about CDT, IUU fishing, and what they can do to be involved. And finally, there's the general public, academia, media (which is very important to harness and engage in getting the message out) and, internationally, the USG and U.S. public.

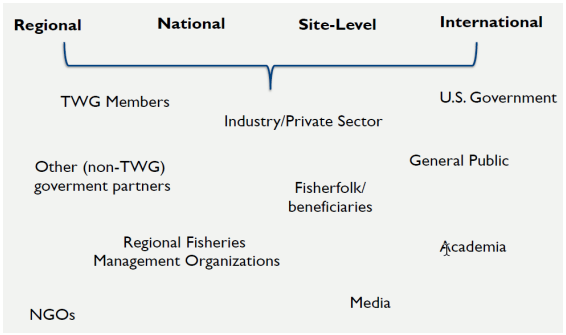


Figure 22. USAID Oceans target audiences

Messaging

The BCC model is also applied to identify what type of targeted messaging is appropriate for people at each stage of behavior change:

Step 0. Unaware	• Raise awareness of the problem • Recommend a solution
Step 1. Aware, concerned, knowledgeable	• Identify perceived barriers and really champion the benefits'
Step 2. Motivated to change	• Provide better, practical and logistical information • Use outreach and communications through community groups and on-the-ground research to counsel and motivate — It is not enough to provide tools and resources because beyond access to information, there needs to be support
Step 3. Tries new behavior	• Provide information on correct use • Encourage continued use by emphasizing benefits — Communicate and frame the messages around the benefits
Step 4. Sustains new behavior	• Continue follow-up and messaging reminding about the benefits of new behavior • Assure them of their ability to sustain new behavior and offer support • Empower them to share new behavior with others — This is key to sustainability

Tools and Tactics

Below are some of the tools and tactics that the project will be using over the next two years based on broad behavioral objectives.

- ***Objective 1: Generate awareness***

  Increase awareness of challenges in Southeast Asia's fisheries, USAID Oceans' approach, proposed solutions, and available tools and resources.

  Tools and tactics:
  - USAID Oceans website — continue the outreach to the project's constituency
  - Quarterly eNewsletter
  - Program and partner social media to raise awareness of broad public
  - Engagement in key events and participation in regional dialogues
  - Localized awareness campaigns on IUU, traceability, human welfare basics in local languages
  - Engagement of regional, national, and international media partners — now that the project is in Step 5 (sharing) and is gathering stories and experiences in the Learning Sites, it will be crucial to begin to engage more with media partners to share stories regionally and internationally.
  - Development of Web/print/multimedia informational materials providing overviews of potential solutions

- ***Objective 2: Support action***

  Support audience in adopting proposed solutions through guidance, support networks, and encouragement.

  Tools and Tactics:
  - Capacitate with informational materials, including technical guidance and guidelines — Based on discussions during this workshop, there is a need to produce more informational materials. The last session, in particular, provided a lot of good notes about what technical guidance and documents

would be useful, so the project will continue to produce more robust technical guidelines and guidance for the TWG and partners to use.
- Develop more in-depth, technical multimedia informational materials
- Leverage program grantees to conduct outreach at local and national levels through local groups and organizations to provide counsel and support — Based on the today's discussions, there is a need for more on-the-ground support and outreach to bring the learning to the countries.
- Publish case studies on examples of successful implementation and guidance on replication — As the Learning Sites move through regional implementation, it is really important to hear from the TWGs about what specifically is going well in the Learning Sites or regionally that can be shared across the region for possible replication (if appropriate)
- Continue to engage media — Send out/develop and publish news articles through journalists and photojournalists to raise awareness of program work and champions

➢ ***Objective 3: Foster sustainability***
Sustain USAID Oceans' program learnings and achievements to support region beyond the life of the program, catalyze future actions (e.g. by making sure TWG members have all the tools they need to continue the great work they are doing).
- Building, from a communications standpoint, partnerships with regional and international organizations that can be a home for all the resources the project is developing — These include colleague programs in USAID, the Indonesia Coastal Tuna Sustainability Alliance and grantee partners that USAID Oceans has already built partnerships with. It is important that these partners are further strengthened so they feel capacitated with all of the tools that they developed with the project
- Highlight champions and capacitate them as ambassadors — The project will continue to identify gender champions and First Mover partners in the Learning Sites and grow champions at the regional level by highlighting their stories and how they have been able to successfully implement CDT and FM
- Development of a suite of capstone information and communication products — These are the products that will capture project learning and successes, and serve as the key resources that the project will leave behind — products characterized by their ability to create change, spur action, and influence future initiatives. They can take many forms, but the project is envisioning these as a set of materials that are not just research reports, or journal articles, or other stand-alone pieces but are each tool kits in and of themselves that are made up of various components. The goal is that they will harness all of the expertise that has been gathered through this program and working with the TWG to capture the unique knowledge, guide policies and actions in the region, and influence behavior for years to come."

There were a number of questions brought up in this workshop that could potentially be addressed at least partly by the right communications products. These include:
- How has USAID Oceans connected gender aspects with EAFM planning?
- Is there a model to follow for forming PPP?
- How can blockchain be used for traceability?
- Are there documented labor and human welfare "best practices" that can be used to guide fisheries agencies?
- What examples of success have we come across that can inspire our partners to take action?

In response to these questions, the project will develop over the next two years a suite of communications materials that includes:
- eCDT for Fisheries Management and Biodiversity Conservation — Focuses on leveraging eCDT for fisheries management and biodiversity and conservation to provide guidance on how the CDT data can be used in fisheries management planning and decision making; will also share documentation on

how CDT data for fisheries management in the Learning Sites; communicate the impacts and benefits achieved through implementation; discuss other use cases and applications such as aquaculture

- eCDT Infrastructures and Technology Solutions
  - More robust CDT 301 that provides tools and resources
  - Comprehensive review of all the technology solutions, including the mobile apps and satellite providers that the project has partnered with (and maybe they have not partnered with) that may be viable options for the region to provide guidance on the range of possibilities that may be applicable and beneficial for fisheries. Package all of the software and apps that were developed over the past 5 years
- Promoting Gender Equity in Fisheries — This piece brings together and speaks to the question, how have the USAID Oceans human welfare and gender equity workstreams been brought into the CDT and fisheries workstreams. It also highlights gender champions and the development of a capstone training piece that can be used within SEAFDEC and all of the fisheries management agencies that provide a basic training for some of our local partners on the importance of gender equity in fisheries.
- Developing Meaningful Partnerships and the Case for Private Sector Engagement — This will package all of the great trainings that the PPP team has provided on not only partnership appraisal and development management but also case studies on the partnerships that USAID Oceans has made to-date and their realized benefits and impacts
- Practical Technical Guidance for Implementing eCDT (Standards, Architecture and Roadmap)

2.3.6 Session 14: Open Forum and Feedback on eCDT, ACDS, and Sessions 12-13

(See Annex V for more details)

This plenary session was intended to provide participants the opportunity to express their views, ask further questions or seek clarification about CDTS/eCDTS, ACDS/eACDS, and the last two sessions. The questions, all of which came from the Indonesian delegation, generated the following new information that was not already covered in the previous sessions:

- The innovation challenge is being considered for the Philippines, Indonesia and Mekong Delta.
- The EAFM team is looking at a follow-up meeting around the first week of October with the Indonesian TWG to discuss their inputs to the activity plan; there will also be a similar meeting with the Philippine TWG.
- The Philippines (through BFAR) has developed a mobile app for SSF that will record the data at point of catch. USAID Oceans is working with the TCMZ Project so they can use the CDT data for feed fisheries management.
- Thirty tons of fish catch in the Philippines has entered the eCDTS and has gone through several tracking events, including eLogsheet, fish unloading and monitoring report, VMS validation, catch origin, landing declaration and approval. It is now in the processing stage.
- In Indonesia, USAID Oceans is working with MDPI to implement eCDT alongside EAFM, starting with two supply chains from Sangihe Island to Manado and then Bitung, and from Nain Island to Manado to Bitung, involving small-scale tuna handliners using boats under 5GTs.

The Indonesian delegation also suggested that:

- More attention should be given to human welfare, gender and labor in the next TWG Meeting
3. Advocacy pieces should also focus on the positive, e.g., instead of just highlighting IUU fishing as the motivation for CDT, showcase also the benefits of traceability

2.3.7 Session 15: Workshop Wrap-up: Circling Back, Next Steps and Post-workshop Evaluation

This session was in three parts: (1) a plenary presentation to recap the workshop, (2) small group discussions on "moving forward," and (3) report out by the small groups.

Lead Facilitator Dr. Lando delivered the recap, highlighting key points from the workshop, notably the initial objective to get an agreement on how to proceed with developing regional guidelines for the implementation of eCDT, and the subsequent decision of the TWG that "it was not guidelines that we wanted but guidance, [which] shifted more or less the intentions for our next discussion."

To introduce the small group discussions, Dr. Lando briefly referenced the day's morning sessions on progress made in the USAID Oceans workstreams, before asking participants to think ahead to the next steps they proposed the project should take.

Participants were divided into three groups corresponding to three "bus stops," each with two facilitators:

Bus Stop 1: Session 8 — Human Dimensions of Fisheries *(A. Nietes-Satapornvanit, J. Sornkliang)*
Bus Stop 2: Session 10 — Regional Guidelines Development *(L. Garces, P. Taladon)*
Bus Stop 3: Regional Priorities *(J. Parks, Y. Theparoonrat)*

The small group discussions also served to evaluate the content and conduct of the workshop, as participants were also asked to state what they liked most about the workshop and what should be improved about it.

The report-out was done in plenary, with the participants moving together from "bus stop" to "bus stop" to listen to the group reports. The reports are shown below as presented during the report-out.

Group 1 Report-out — Human Dimensions in Fisheries
Presenter: J. Sornkliang

PROPOSED ACTIONS MOVING FORWARD	LIKES (SESSION 8)	WHAT CAN BE IMPROVED
Capacity Building 1. Technical input to stakeholder 2. Training workshop for our stakeholder Policy 1. Countries should develop policy to support eCDT with human welfare integration 2. Strengthen law and policy enforcement for labor and gender and gender in fisheries Financial support 1. Encourage insurance system for fisheries industry 2. Provide community saving to fund community welfare 3. Develop marketing network (both national and international) for fishing households, women traders 4. Check market demand or interest before trying the same idea (i.e., fair trade needs exporters and willing to pay higher price) Best Practices 1. Pilot or learning site for addressing human welfare and gender issues for fair trade implementation 2. SEAFDEC to develop a system of reporting on occupational safety and health (OSH) on board/safety at sea	1. Session emphasized the importance of human welfare in achieving SFM 2. More specific and detailed in linking human welfare considerations with eCDTS 3. Discussion gender aspects/roles in value chains — felt free to discuss about human welfare e.g., OSH, labor, women traders, but did not really elaborate due to time constraints 4. The way it was handled made us think deeper on how suggestion can impact our target sites. 5. Exercise was an innovative way of soliciting ideas from participants 6. The process encouraged participants to think out of the box 7. Use of hats was new for most participants and allowed them to think differently 8. What I liked most about the session is that I was able to bring up issues / challenges that countries present share and together come up with possible solutions to these challenges 9. Systematic way of soliciting inputs on actions to take on every issue raised in the particular region	1. We need to review the creative hat session and see/discuss country situation to identify appropriate actions 2. Many hats, need more time — one day for discussion 3. Need real hats to make it more real 4. Too many hats, confusing

Group 2 Report-out — Regional Priorities

Presenter: Y. Theparoonrat

PROPOSED ACTIONS MOVING FORWARD	LIKES (SESSION 8)	WHAT CAN BE IMPROVED
1. Move Learning Sites from "proof of implementation" to independent and long-term implementation 2. Have Learning Sites in Vietnam and also Cambodia and Myanmar 3. Promote CDT systems in the other pilot sites and AMS 4. Support further the technology deployment and connections in SSF (not only commercial but SSF as well) 6. Improve/provide financial support for CDT 7. Method of financial support — Cambodia: Provide scholarships for the young generation (fisheries) 8. Technical support — technical assistance on implementation of fisheries port management, CDT, fisheries, post-harvest, EAFM	1. Group brainstorming 2. Good approach on theory and group discussion 3. Good presentations and good discussion 4. Open sharing among participants/sharing of ideas	1. Strengthen network among TWG 2. Specific discussion by each TWG (mostly plenary discussion, need specific TWG discussion) 3. More information on the pilot, SSF, CDT for SSF 4. Demonstration on electronic (eCDTS) used in the two landing sites for the whole supply chain 5. Regular reports (every three months) to TWG, update on status of implementation 6. Need 1 day more for the meeting

Group 3 Report-out — Regional Guidelines Development

Presenter: P. Taladon, L Garces

(See Annex VII for the complete outputs)

PROPOSED ACTIONS MOVING FORWARD	LIKES (SESSION 8)
Development of **guidance**[1] document 1. Convene technical experts/policy group to prepare the initial draft guidance for update in the SEAFDEC PCM/ASSP (Nov 2018) 2. Include/survey info from countries to develop the guidance 3. Need steering committee 4. Guidance should align with FAO guidelines for CDS (2016) 5. Technical guidance would be an approach for each country, incorporates their practices and their implementation 6. Develop workplan and timeline for the development of the guidance 7. Technical meetings and consultations, preferably at the country level 8. Incorporate lessons learned from the 2 pilot sites 9. Agreement on KDEs 10. Consider gender and human aspects as well as FM 11. Include of implementation and evaluation Implementation 1. Standardized or flexible implementation? — the technical team will elaborate on this 2. Hands on and more practical application as part of that guidance 3. More collaboration among countries 4. Scale up best practices of the learning site experiences 5. Provide help desk during the implementation stage Advancing political support, if needed through the ASEAN-SEADEC mechanism? (Consult with Dr. Kom) 1. Convene policy meeting	1. Many liked the facilitators, the techniques and the way they facilitate 2. Friendly, open discussion, sharing of info can come openly 3. Session brought out good collaboration among countries, that we are doing something together 4. When countries highlighted the needs and the wants 5. When we come up with the conclusion, we can see, altho the countries shared their needs wants, we came up with similar/same conclusion 6. Interactive discussion, allowing ideas and info to be exchanged freely according to the HW and GL and impacts on fisheries 7. Clarification on eCDT and eACDS

[1] The discussion in Session 10 was about the development of regional guidelines for the implementation of the eCDTS. These proposed actions are focused on developing a **guidance** document (or document) based on what appeared to be a general agreement among TWG members that a technical guidance document, rather than regional guidelines, would be more useful to the countries

2.3.8 Closing Session

Three speakers closed the workshop:

Dr. Gina Green, Tetra Tech's Program Manager for USAID Oceans, gave a round of thanks to everyone that participated in the workshop, making specific mention of the contributions of certain key people and the commitment of partners like SEAFDEC, CTI-CFF and the TWG members. In particular, she addressed the TWG members with a special request, saying: "You are going back to your countries to advocate something very critical and important, and that's sustainable fisheries management. We are developing something new not just for Southeast Asia but for the world… so please be our champions, be our ambassadors."

SEAFDEC's Dr. Silapajarn expressed satisfaction with the results of the workshop, remarking he was "very glad" the USAID Oceans agreed to modify some of their Year 4 and Year 5 activities to be more responsive the needs of the countries in the region. He said, "In my view, we cannot have only two pilot sites, because we need to share the benefits with every county in ASEAN." He also said he hoped the next meeting would be held in Bitung or General Santos City, so participants "can see the actual Learning Site."

Dr. Schuttenberg gave her assurance of USAID's commitment to the region. "USAID is committed to helping support each country as you move forward with fisheries and traceability, improve human welfare and conserve biodiversity, she said, adding: "Even though the situation is different in your countries, there are a lot of similarities that can help us move forward together, and help the countries that are just moving into this space leap forward based on the learnings of those countries who have doing it longer. There is a common thread or fishing line that binds us together in knowing the very real impacts of unjust and illegal fishing practices, and in the tremendous opportunity to create change right here and right now. This is the window to do it. To achieve that, in the partnership's final two years, regional collaboration and sharing are going to be increasingly important."

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ANNEX II. AGENDA

The below agenda was provided at the beginning of the USAID Oceans 3rd Regional Technical Working Group (TWG) Workshop held on 16-18 July 2017 at Windsor Suites Hotel, Bangkok, Thailand. It does not reflect agenda or schedule changes made during the meeting.

Day 1: JULY 16, 2018 (Wed), Paetai Room,14/F	
8:30-9:00	**Registration**
9:00-9:30	**Opening Session:** • **Introduction** Dr. Heidi Schuttenberg Coastal Resources and Biodiversity Advisor Office of Forestry and Biodiversity USAID Bureau of Economic Growth, Education and Environment Washington D.C. • **Welcome Remarks** Dr. Kom Silapajarn Secretary General, SEAFDEC Mr. Richard Goughnour Acting Mission Director USAID Regional Development Mission for Asia (RDMA) Bangkok • **Opening Remarks** Dr. Chumnarn Pongsri Deputy Director General, Department of Fisheries Thailand
9:30-10:00	**Introduction of Participants** Dr. Lily Ann Lando, Lead Facilitator
10:00-10:30	Group Photo and Coffee Break
10:30-11:00	**Session 1: Introduction to the TWG Planning Workshop and Expectations** Dr. Lily Ann Lando, Lead Facilitator
11:00-11:15	**Session 2: Status/progress update of the USAID Oceans and Fisheries Partnership** Mr. John Parks, USAID Oceans COP
Sessions 3-6:	**Program Updates and Learning Sessions**
11:15-12:00	**Session 3: Development of an electronic catch documentation and traceability system and sharing of experiences** Mr. Farid Maruf, Dr. Somboon Siriraksophon (or designate), BFAR/SFFAII, MMAF/MDPI
12:00-13:30	Lunch
13:30-14:15	**Session 4: Fisheries Management Planning at Regional and Learning Sites** Mr. Len Garces, Ms Fini Lovita, BFAR, MMAF

14:15-15:00	**Session 5: Experiences and lesson learned in Public and Private Sector Engagement** Ms. Araya Poomsaringkarn with SFFAII, MDPI
15:00-15:15	Coffee Break
15:15-16:00	**Session 6: Promoting Human Welfare and Gender Equity** Dr. Arlene Nietes Satapornvanit, Jariya Sornkliang (SEAFDEC), WINFISH, KELOLA
16:00-16:45	**Day 1 Wrap-up - Synthesis and connect to Day 2**
16:45-17:00	**Reflections on Day 1** Dr. Kom Silapajarn
18:00-22:00	**Celebratory Dinner with the Gender Interventions Grantees** Budsarakham Room, 32nd Floor, Windsor Hotel
Day 2: JULY 17, 2017 (Thu), Paetai Room, 14/F	
9:00-9:15	**Recap of Day 1 & Overview of Day 2** Dr. Lily Ann Lando, Lead Facilitator
Sessions 3-6:	**Wealth and welfare: Conversations on the human dimensions of fisheries and Regional Guidelines Development**
9:15-10:00	**Session 7: Plenary - Intro to People, Prosperity and Food** Dr. Heidi Schuttenberg **Panel Discussion:** Dr. Marieta Sumagaysay (WINFISH, Philippines), Dr. Rignolda Djamaluddin (KELOLA, Indonesia), Ms Chin Leakhana (Fisheries Administration, Cambodia)
10:00-10:15	Working Coffee Break
10:15-12:00	**Session 8: Small group discussions 1 — Surfacing the human dimensions of the work we do (people, prosperity and food)**
12:00-13:00	Lunch
13:00-14:00	**Session 9: Report Out by Groups on Session 8 Outcomes (Plenary)**
14:00-14:30	**Session 10a: Plenary — Introduction on Regional Guidelines Development (RGD)** Rationale and Introduction to the Group Discussion on RGD
14:30-14:45	Coffee Break
14:45-16:45	**Session 10b: Small group discussions 2 on Regional Guidelines Development**
16:45-17:00	**Day 2 Wrap-up - Plenary**
17:30-19:00	**(Optional) Seminar:** USAID Oceans Mid Term Review Findings John Parks *(light refreshments to be served)*
Day 3: JULY 14, 2017 (Fri), Paetai Room, 14/F	
9:00-9:15	**Recap of Day 2 & Overview of Day 3** Dr. Yuttana Theparoonrat, SEAFDEC TWG
Sessions 13-15:	**Synthesis, Communications and Year 4 Workplan**
9:15-10:00	**Session 11a: Report out by Groups on Session 10 outcomes and Plenary Discussion**

10:00-10:30	**Session 11b: Synthesis and Decisions** Dr. Lily Ann Lando, Lead Facilitator
10:30-10:45	Coffee Break
10:45-11:15	**Session 12: Overview of Proposed Year 4 Work Plan** Mr. John Parks
10:45-11:15	**Session 13: Communications and Outreach** Ms. Melinda Donnelly
12:00-13:30	Lunch
Sessions 16-18:	**Sustainable Partnerships & Closing Session**
13:30-14:30	**Session 14: Circling Back** Dr. Lily Ann Lando, Lead Facilitator
14:30-15:15	**Session 15: Next Steps, Feedback and Post-Workshop Evaluation** Dr. Lily Ann Lando, Lead Facilitator
15:15-15:30	Coffee Break and Post-Workshop Evaluation
15:30-16:30	**Closing Session** Remarks from USAID Oceans, SEAFDEC, USAID RDMA

ANNEX III. USAID OCEANS PARTNERS

The Oceans and Fisheries Partnership 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 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

SEAFDEC is the technical and operational authority for fisheries matters in Southeast Asia engaged in the ASEAN-SEAFDEC Strategic Partnership (ASSP), which works to enhance cooperation between ASEAN, SEAFDEC, and ASEAN member countries. USAID Oceans is officially recognized 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

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. It 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 to serve as a network and mechanism to facilitate regional collaboration. The TWG is comprised of individual members appointed at the regional, national and local level that mirror the USAID Oceans team structure. 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

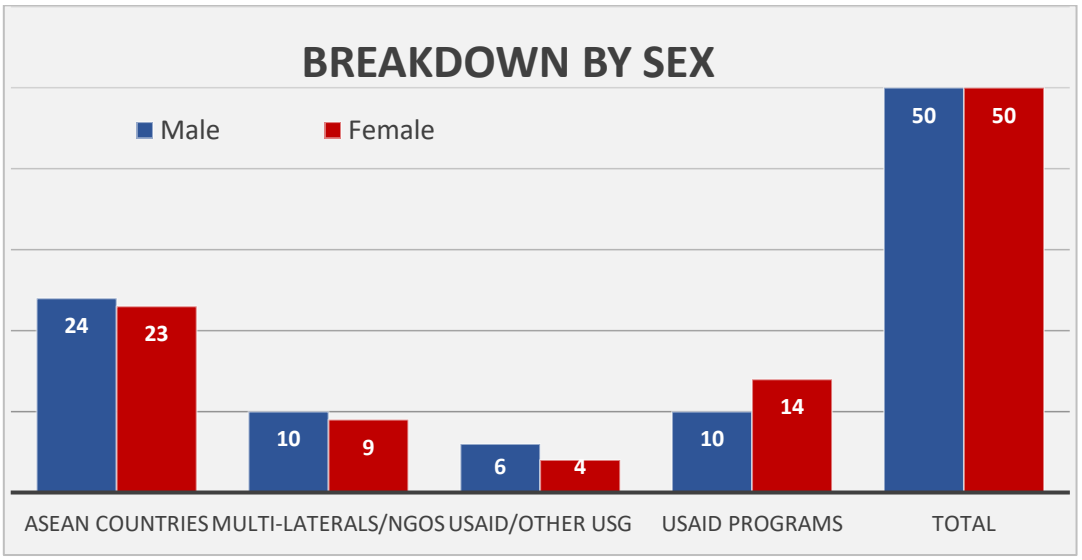
Verité is a global non-profit with a mission to ensure that people work under fair and safe conditions. Verité aims to ensure that globalization is made to work for poor and vulnerable populations around the world. As part of the Oceans and Fisheries Partnership, Verité is conducting the program's Gender 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.

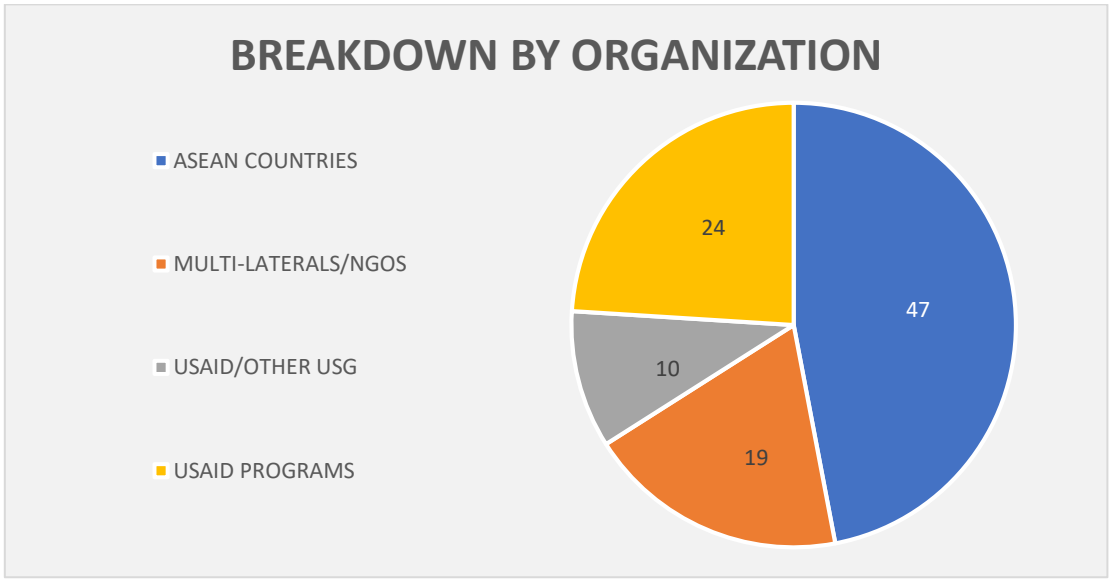
COOPERATING U.S. GOVERNMENT PARTNERS

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. PARTICIPANT BREAKDOWN BY SEX & ORGANIZATION

Category	No. of Males	No. of Females	Total
ASEAN Countries	24 (51%)	23 (29%)	47 (47%)
Multi-laterals/NGOs	10 (53%)	9 (47%)	19 (19%)
USAID/Other USG	6 (60%)	4 (40%)	10 (10%)
USAID Programs	10 (42%)	14 (58%)	24 (24%)
TOTAL	50 (50%)	50 (50%)	100 (100%)





ANNEX V. Q&A AND OPEN FORUM DISCUSSIONS

Session 3: Development of an Electronic Catch Documentation and Traceability System and Sharing of Experiences

Q: Thailand — What activities will be implemented in the Expansion Sites (Malaysia, Thailand and Vietnam)? Should we expect the same activities as those in the Learning Sites?

A: J. Parks — I would like to answer your question more specifically on Wednesday when we discuss how we should engage with the expansion countries in the next two years, but broadly, we want to move more deeply beyond our Learning Sites. I understand the gaps assessments in the Expansion Sites went well, but how do we move forward? How can we apply the CDT technologies in other countries? Does it have to be marine fisheries, or should we also consider freshwater fisheries, as suggested by Cambodia? I hope to have answers to these questions and concrete suggestions by the close of this workshop. In Thailand, there is a lot to be done between USAID Oceans and your government. We would like to share the project's regional experience and see how it applies to Thailand, whether it is Songkhla or anywhere else.

S. Siriraksophon — We know that Thailand has moved very fast in their traceability work, even in terms of adopting the eACDS. But if you have some issues that you need USAID Oceans to address, we are ready to support that.

Q: Indonesia — I would like to make two points: First, as already mentioned, in Indonesia we have already started the deployment of our eCDTS, mainly for products to be exported to EU. But I have to say frankly that we still have issues with its validity. For example, we need to figure out the link between the supplier and the processor — how should we deal with mass balance issues? I think USAID Oceans can help in this case to really establish that link from supplier to processor, so we can truly say we have traceability from sea table. Second, knowing that the technology we developed is mostly for large-scale fisheries, I would like to suggest that USAID Oceans should consider developing a traceability system for small-scale fisheries, which comprise the majority of our fisheries. There is a very cheap, compact tool that may be applicable — it is an offline system, but when the eCDTS is fully operational, then maybe you can establish connectivity.

A: F. Maruf — I agree that we should also look at small-scale fisheries, and not only the large-scale. We are already testing a technology solution for small-scale fisheries in the Philippines. We will talk to your leadership, but at this stage, we have to focus on completing the testing because this is a new solution — we need to know that it works and is self-sufficient and fair before we can introduce it to other countries.

Q: Thailand — I support Indonesia's point about having traceability in small-scale fisheries. I think we're quite developed in terms of technologies for commercial fisheries, but we don't have a solution for the small-scale, which has a totally different supply chain. Can USAID support us with developing one?

A: F. Maruf — Our CDT work in small-scale fisheries is actually already in the testing stage, and we're trying to find that best incentive for fishers to submit data. For example, the eCDTS will provide them with catch documentation that will allow them to participate in the export market. And the technology allows them to communicate with their families while they are at sea. We have 13 users in General Santos City in the Philippines, and we are getting good support from the local management unit (LGU). We are also looking to include the POKMASWAS (*Kelompok Masyarakat Pengawas,* community surveillance group) in Indonesia, so this is something we're looking to scale up regionally.

S. Siriraksophon — Applying ACDS to small-scale fisheries for the purpose of export does not mean applying it at the individual fisher level, because the small fisher is not likely to have the capacity for export. Perhaps we can work with a community that has the needed capacity (e.g., the ability to supply the volumes required for export). Or maybe we can include the middleman who has the means to pool the catches and bring them to the exporter. We know that Thailand already has its own system and we don't want to duplicate the work, but we can continue to pilot the eACDS, and maybe we can work with USAID Oceans on this.

Q: Thailand — I think we can link TraceTales to the traceability system to add more value to our product. If we can establish traceability for the SSF, and link it to a QR code system, we can advertise and sell the product to the high-end market that puts a premium on traceability.

Session 4: Fisheries Management Planning at Regional and Learning Sites

Q: Supol Singhapoom (USAID Oceans) — The fisheries management plan of Sarangani Bay was adopted in August 2017. Is the plan now being implemented or are we still waiting for the seven LGUs to implement the plan? The eCDT technology will be ready in September — can it be applied without the official implementation of the plan? When can we expect to announce that the plan is being implemented by the LGUs?

A: **R. Andong —** Before BFAR answers your question, allow me to give some updates. We actually have two sustainable fisheries management plans. The first is the Fisheries Annex, which is part of the Sarangani Bay Protected Seascape Management Plan that was adopted in July 2017. During the National Tuna Congress in September 2017, a resolution was passed encouraging all LGUs to adopt the Fisheries Annex, and I'm happy to report that some of them have each already issued their own resolution adopting the Annex. The CDT is one of the management strategies identified in the Annex, so some of the LGUs have also issued resolutions to implement CDT in their municipal LGUs, and we are assisting the others who have not with the preparation of the resolutions and ordinances.

The second plan is the tuna conservation management plan that we are supporting in collaboration with BFAR. This work started in April this year, and it involves using eCDT to obtain small-scale and municipal fisheries data that will be fed into fisheries management. The grant that Len (Garces) mentioned will ensure that this work is continued, and that we are able to make use of eCDT data for fisheries management. As of now, BFAR's Tuna Conservation Management Zone (TCMZ) Project uses a manual system of reporting. The 30 FAME transponders that we will be installing — 24 in municipal fisheries and 5 in commercial fisheries — is just to demonstrate that we can do it electronically. The national director of BFAR has given us the go signal to work with the TCMZ project on this piloting activity.

A: **R. Ramiscal —** Just to reiterate, the implementation of VMM (vessel monitoring measures) for the small-scale fisheries and its integration with eCDTS in collaboration with USAID Oceans is actually a BFAR program under our TCMZ project, which also includes setting up zones exclusive for handlines to conserve small tunas. This program covers both artisanal boats and small-scale commercial boats. Also, to clarify, we are do not use the term VMS (vessel monitoring system), which we define as satellite-based. We say VMM, which is basically based on radio frequency or cellular technology. We are in the process of issuing a Fisheries Administrative Order (FAO) to cover this.

At the local level, our framework for implementation is the national tuna management plan, which includes CDTS and eCDTS not only for tuna for all fisheries in all of the 17 fisheries management areas (FMAs) that we have identified in the Philippines, each of which will have a management plan to manage those fisheries. For Sarangani specifically, the development of the

fisheries management plan was carried out by our regional EAFM team, led by our BFAR Region 12 Office, so perhaps we can request Glenn (Padro) to give us some updates on the progress of their work.

Glenn Padro (Philippines) — We have just recently organized our regional team for the implementation of the Sarangani Bay plan. Based on our timeline, we should start reviewing the plan by September 2018. We hope USAID Oceans can help us with this.

Q: Jacob Hagberg (SEAFDEC-Sweden) — You said you're using EAFM, so I'm wondering what other species you are working on.

A: L. Garces — At the sub-regional level in the Sulu-Sulawesi Seascape, the priority species are small pelagics, which are transboundary. At the site level, the plans we developed mirror the sub-regional plan, but in addition to small pelagics, they also include the tuna species to support local implementation of the tuna management plan. The reason for this is that, in both the Philippines and Indonesia, it is the local government that is responsible for local fisheries management, so it is crucial to have a local plan that is owned by the province in the case of FMA 716 in Indonesia or, in the case of Sarangani in the Philippines, by the LGUs together with BFAR-12.

F. Lovita — Just to add some thoughts from Indonesia, in FMA 716, we also have a DMC — Data Management Committee — that is looking specially at tuna and tuna-like species. This DMC is coordinated by the MMAF Office under the provincial services, and it includes as members UNSRAT (Universitas Sam Ratulangi, a local university in Manado) and MMAF offices from all over the province (e.g., Sangihe Island, Manado City, Bitung, and others). MDPI has facilitated this Committee since it started in late 2016, and we've had four meetings focused on how to manage data on tuna and tuna-like species and make that data available to the provincial government to improve fisheries management in the area.

T. Yunanda — Related to that, we recently held the 3rd Bali Tuna Conference (31 May-1 June 2018), where we launched the harvest strategy framework for tuna in our archipelagic waters. We need to accelerate the development of the harvest strategy itself and connect that to the CDT, because while the regional plan and our national management plans are important, from the operational standpoint, we also need the harvest strategy. And if we can link that to the CDT, we will have a very clear connection between EAFM as a kind of umbrella framework and CDT.

Another important point: We need regionalization of some sort at the national level — from the national to the local, to all concerned stakeholders — and it should happen soon.

Q: J. Hagberg — This is a question for Indonesia: It sounds very interesting that you're working on the harvest strategy at the provincial level and that, as you mentioned, for the transboundary species there will be a need to regionalize. I know there are prickly issues in the region with transboundary fisheries, but do you have any thoughts on how you will expand this harvest strategy discussion to the regional level?

A: T. Yunanda — Our harvest strategy framework is for archipelagic tuna fisheries, so it's not limited to FMA 716. The framework we have now also covers FMA 714, 713 and 715 — areas within Indonesia's archipelagic waters, so it's just Indonesia's concern. For the Sulu-Sulawesi sub-region, where we also have Malaysia and the Philippines, we really need to consider what the Regional Fisheries Management Organization (RFMO) has to say. My point is there are lessons from the Indonesian experience that we can share with other countries.

L. Garces — There are several planning scales within the Sulu-Sulawesi sub-region. At the sub-regional scale, the focus is on the transboundary fisheries between Indonesia, Malaysia and the Philippines, namely, tuna and small pelagic fisheries. At the national and local levels in the Philippines, we have a fisheries management plan for Sarangani Bay and adjacent waters that we are still finalizing, and a protected seascape management plan involving seven LGUs. And as Pak Trian (Yunanda) explained, in Indonesia, they have a national plan and a plan for FMA 716 that need to be linked to the sub-regional plan. We are developing a technical paper on this topic that we will share for wider distribution when it's been finalized.

Session 5: Experiences and Lessons Learned in Public and Private Sector Engagement

Q: Lao PDR — Could you explain what blockchain is and how it applies here?

A: F. Maruf — It's not yet clear how that works, but we know it has potential, so we are looking at bringing together blockchain experts, eCDTS experts, fisheries experts, and our private sector stakeholders in two design workshops for an orientation on blockchain applications and to figure out how blockchain can contribute to the eCDTS work.

A. Poomsaringkarn — Just to add to Farid's point, we want to co-design this together, because we don't want to develop a system that people will reject later. We want to bring everyone in the room, have everyone have the same knowledge and identify all the problems so these problems can hopefully be solved using blockchain or any other technologies that are out there.

Q: J. Parks — How would that benefit the countries?

A: A. Poomsaringkarn — Like I mentioned, interoperability, but blockchain also has other benefits such as data privacy and security, which are very important to the parties involved, because there are certain types of data that you want to share and others that you want to keep private. A technology based on blockchain and is also time-stamped and cannot be tampered with can help solve data privacy and security issues.

Q: Cambodia — My question is for the Philippines. You said data collection is a challenge. Why is it a challenge, and how can we cope with the challenge?

A: S. Abdurahman — The challenge is not so much that the fishers are not willing to report their catch because they are. It's more about the technology. Because using a VMS or transponder would be expensive, we're using an offline app, so connectivity is an issue. And if the user is not familiar with the device, that could also be an issue.

F. Maruf — That is true. Collection of data at sea is a challenge because the primary concern of fishers is to catch fish, not to enter data. There are a lot of rules that require reporting at point of catch, but maybe because they do not see the benefit, some fishers would do it (or ask somebody else to do it) when they get home, and the location coordinates stored in the device would be wrong. If you plot them on a map, they will point to a location onshore, or on a mountain. So, we need to show fishers that data collection would benefit them. This is what we're trying to do through the use of the Pointrek System in Indonesia, for example. This system can be equipped with sensors so the operations can be monitored even from a remote location, informing the fleet owner, for example, of the catch status of a gear (e.g., empty or full), and even the depth, temperature, fuel level, etc., so they can manage their fleet's operations. At the same time, at a press of a button, they can produce documents required by the government, which otherwise would be tedious work for them. So, from this viewpoint, when we say the collection of data at sea is a challenge, we actually see this as a good challenge

Zaldy Perez (Philippines) — In the Philippines, we have already developed the mobile technology that will allow electronic data entry at sea and data transmission through a transponder. It could still be a challenge, because of the number of fishing vessels we have to monitor, and also because we are an archipelagic country, where there are some really remote sites spread out over a very wide area throughout the country that do not necessarily have Internet or mobile networks. Even so, we've already demonstrated with some of our systems that it can be done. For example, our municipal (small-scale) fisher and fishing boat registration systems, FISH-R and the BOAT-R. We have deployed a mobile app that will register both municipal fishers and municipal fishing boats. Through BOAT-R, we have already registered almost 300 municipal fishing boats, more than half of our initial target of 500 boats.

Q: Thailand — Under challenges, you mentioned processors' internal traceability. Does this mean they already have their own traceability, and if so how do you convince them to use the system that's being set up by the government?

A: S. Abdurahman — Our processors export to EU and the U.S., so they have their own internal traceability systems. The challenge is how to make these existing systems interoperable with BFAR's eCDTS. We're working with our First Movers and BFAR to develop a solution.

Z. Perez — In addition to that, BFAR itself maintains a lot of systems — BOAT-R, FISH-R, FLEMIS, FELIS, etc. — that originally were not designed to share data. To meet the requirements of CDTS, we redesigned the database architecture and centralized the recording of all data so now these different systems can share data with each other. With regard to making the processors' systems interoperable, what we're going to do is set minimum data standards for all these processing units, so data can be collected into our eCDTS.

Q: Malaysia — In Malaysia, we also have compartmentalized systems in seven districts and agencies, so our first challenge will also be integrating our systems. But what I would like to know is the level of acceptance of eCDTS among the fishers themselves.

A: F. Maruf — Let me just give you an example: The ATM (automated teller machine). The ATM is popular to bank customers because it is very convenient — if you have an ATM account, you can do a variety of bank transactions through an ATM anywhere in the world as long as that ATM is connected to the same network as your bank. This is the level of acceptance and interconnectivity we're trying to achieve with CTDS, so we can have an ATM-like network where fishers and fishing companies share and exchange data with each other and with government. You don't have to share all your data, only relevant data so the transaction can proceed. We're not there yet — at the moment, much of our focus is on collecting data, the quality of data collection and establishing standards (KDEs). But this is something we keep thinking about, how to do this, noting that there is one industry at least that does it very well, which is banking. Later, as eCDTS develops, we will be able to tell you about the layers, how the data can be shared and exchanged.

Q: Cambodia — Do you have a simple PPP model that Cambodia or Lao can learn from?

A: A. Poomsaringkarn — In general in the USAID Oceans program and when we did our rapid appraisal we have basically been following the same model or protocol. For any type of partnership, whether regional or national, we start by listing potential partners, engaging in a discussion with them, and then identifying who to prioritize. Once we prioritize a partner, we start working with that partner to formalize the partnership, and identify and implement activities together. It's a kind of continuing process: You start revisiting the activities after a year or two to see whether they still make sense and then it's a loop of engagement. But we start with understanding the partnership landscape and prioritization. We do have materials on this that I can forward to you.

J. Parks — The rapid partnership appraisal is a standardized methodology that is used by organizations. Five of the ASEAN countries have done this rapid appraisal, but there is another more open and creative process, which is to do an innovation challenge. So, instead of putting people through a standard rapid appraisal, you create a competition where small companies put forward their most innovative idea and where there is usually some funding through venture capital for the winners. The rapid appraisal approach is good, but the innovation challenge approach is also very important.

F. Maruf — The basic principle is to meet a double bottom line or triple bottom line, which essentially means creating not only profits but also positive social impact. We are thinking about doing an innovation challenge for the best minds in the region to come up with solutions that meet a double or triple bottom line — for example, solutions for coastal fisheries conservation, livelihood, traceability, etc. Then we will invite investors that might be interested to provide funding. This is what we're discussing now with some partners including the big tech names like

Amazon, Intel, and Microsoft. We hope we can make it happen next year, so then you could have young people from your countries receiving funding for their bright ideas.

Session 6: Promoting Human Welfare and Gender Equity

Q: Mina Guliman (Philippines) — I would like to see more of the documented best practices that BFAR can use to develop a status report on women in the fisheries sector in the Philippines.

A: Dr. Nietes Satapornvanit — We have a lot of products in the pipeline that we are developing with our communications and outreach team, and of course we are collaborating with the TWGs in regard to some of the information that came out of the gender analysis. We do have a lot of information that we can translate into reference materials that the TWGs can use, so thank you for the suggestion.

Q: Dr. H. Schuttenberg — Could Len (Garces) give us a taste of the ways gender was brought into the EAFM planning?

A: L. Garces — Because we are using the EAFM framework, human well-being and socioeconomic concerns — including gender — are brought to the forefront in planning, alongside ecological and governance concerns. For example, the Sulu-Sulawesi sub-regional plan identifies human well-being as a high-level goal and prescribes several management actions and indicators around food security, gender equity and social benefits, including equitable access to resources, participation and engagement especially in the decision-making process. At the subnational level or site level, the fisheries management plans include even more specific measures based on the findings of the gender analysis and rapid appraisal studies. Furthermore, and I think this is the most important link to our USAID Oceans program, our CDTS includes human welfare KDEs.

I'd just like to add another point that was made by BFAR when I attended the finalization of their national tuna management plan: BFAR would like to see some documentation of onboard practices, i.e., what fishers do when they are out at sea, from the time they leave the port to the time they come back. These would be practices related to fish handling, food safety, discards and juvenile fish catches.

Q: Aniza Suspita (Indonesia) — We hope USAID Oceans can come up with gender and human welfare training for the women involved in tuna fisheries in Bitung — not only about the gender equity but also how to capacitate and empower them to contribute to real human welfare. Maybe USAID Oceans can provide training for women who cook the fish so they will know how to improve the quality of their products, or how to sell their products online. So then, in our report, we can say this is the significant change resulting from this project.

A: Dr. Nietes-Satapornvanit — In fact, we did meet one young lady who is using Facebook to sell her fish products (both fresh and processed). She takes pictures of the products and post them to Facebook, and she says that since she started doing that, she's had more buyers contacting her. But many of older sellers don't own or know how to use smartphones and most generally just prefer the traditional way of selling.

Q: Ms. D. Sibounthong (Lao PDR) — First, I would like thank the gender team for responding to our request for gender-in-fisheries training. In Lao PDR, slash-and-burn by families has contributed to forest depletion. Because of the training, the government is helping the families by helping the women sell fish. So, thank you. But I would like to ask how we should move forward. Do we need gender analysis? Lao women are excluded from many economic activities in capture fisheries and aquaculture, so they are left behind. How can we improve their economic participation?

A: J. Sornkliang — The workshop we did was just basic gender training, and we did feedback from our trainees that they would like to know more about gender, gender analysis and how they can address gender gaps in their area. From our end in SEAFDEC, we are training department, so we have a lot of training packages on gender analysis from many organizations that we have worked

with, including IUCN and SEI. If we have a chance, SEAFDEC would like to produce a training package on gender. This is my hope in the future and I will fight for this package for you all.

Q: R. Ramiscal (Philippines) — I have been involved in many EAFM planning workshops in the Philippines, and I see one persistent issue: the welfare of indigenous peoples (IPs). I work in sardines, etc. and this issue always comes up when we consult with stakeholders. The welfare of IPs is an important issue in the Sulu-Sulawesi area, but I'm not hearing anything about IPs here.

Q: B. Subki (Indonesia) — I have two points I would like to address: First, WINFISH from the Philippines just now mentioned their research findings. I would like to ask if the research also involved human geographic studies, because it would be very interesting if we can make a comparative study between the women in General Santos City and the women in Bitung. Second, it would be useful to also bring out the positive developments in this area. Some of our colleagues here have given us some good feedback about the trainings. I think that's something we can communicate to others — e.g., to the women in Bitung or women in other areas — that by using internet they can promote their homebased products, and also that we can teach them how to create simple branding for their products, which I think is another important area for capacity building.

A: Dr. M. Sumagaysay — WINFISH does a lot of gender sensitivity trainings and skills development trainings as well as doing community work to improve the participation of women in decision making, so their opinions are heard and become a significant part of everything that is done. As to our research results, they're with USAID Oceans now, and there are products that are underway about how we can capture and exchange learnings and best practices related to gender. In the Philippines, we have tools tools to measure whether a policy, program or plan is gender-sensitive, gender-responsive or gender-blind. It's a ready-to-use package that can be easily modified or adapted to specific requirements. We have used this tool as basis for helping LGUs and other agencies determine if their program is gender-blind or already gender-responsive, and how they should address the gaps.

Dr. Nietes-Satapornvanit — We do recognize that there is much capacity building that needs to be done to improve the lives of women, and men of course, especially in fisheries, but we can only do so much within our program framework. This is why, as you know, our focus is on building capacity for implementing the eCDTS and EAFM, and the many small items and sub-items under the workstreams, for example, the Trafiz app, which Sang (Udayana) will tell you more about.

Mr. S. Udayana — Trafiz is an app developed primarily for data collection at the landing point, for fish buyers to record the fish they buy from the fishers, mainly for the purpose of traceability. To make the app more attractive to fish buyers, we included additional features for recording transactions that may not necessarily be required for traceability, but are useful to our target users (who are mostly women). This way, the app also provides some form of capacity to help users manage their business.

Q: Ms Sok Daream (Cambodia) — I have two questions. First, for Len (Garces), about food security — did you address nutrition and the gender aspects of nutrition, e.g., undernutrition among girls and women of reproductive age? And second, technology transfer was mentioned in the presentation — how will you transfer the technology or capacity building to the community?

A: L. Garces — To your first question, yes, we addressed nutrition when we discussed food security. There are some very localized studies that look at the nutritional status of fishing communities, both at household level and individual level, so we do recognize that.

S. Udayana — To answer your question about capacity building for technology transfer, it can be challenging, especially for those who have never even used a touchscreen device. We train by groups first, and then we address individual questions as they come up, through one-to-one mentoring if needed. And because this is a business application, we usually encourage them to run the manual and electronic systems in parallel. When the electronic system is proved to be working correctly, then they can start using the technology.

Supol Singhapoom (USAID Oceans) — I have two points to add to the gender discussion: First, as a matter of USAID policy, we need the data to be disaggregated by sex (male/female). As you may have noticed when you attend a workshop organized by USAID Oceans, in the attendance sheet, you are asked to put male or female. So that's one point: Don't forget to disaggregate data by sex. This is a USAID requirement.

My second point is about the mid-term evaluation. We didn't apply quota sampling in our study. Quota sampling means gathering representative data from a group so, for example, we might ask to interview 100 males, and 100 females, so there's equal representation of men and women. That is not how it happened. Our midterm interview respondents were the key stakeholders proposed by our site coordinators — it just turned out that 50% of them were male and 50% female. To me, that reflects the fact that in terms of implementation at the site level, we have achieved gender-balanced coverage.

Session 11b: Synthesis and Decisions

USAID Oceans (J. Parks) — The intention of bringing us all together is to ensure that your voices are heard and demonstrated, and you've given us a lot of strong foundation with which to begin programming for the next two years. We will synthesize and digest everything that the three sub-regions and regional partners have proposed. But in addition, we have our own concerns and questions about what the regional guidelines are meant to do and how it would be useful to the region and all of the AMS, so we would like to take a few more minutes to ask you to reflect on what you've heard across the three sub-regions and maybe propose some very specific directions or actions that the USAID Oceans team can take moving forward.

Indonesia — I found the discussion very interesting because I used to work with SEAFDEC as a member of the ASEAN Fisheries Policy Working Group (as it was called at the time) and I was also part of the team that developed the catch certification scheme in Indonesia in 2008-2010. I would like to make three points: First, in our presentation (Sulu-Sulawesi group), we noted that the objective of the regional guidelines is not to replace the ACDS, but to complement or enhance it. I think this is key for us to move forward. For example, it appears to me that the ACDS is mostly based on the EU scheme. Now that we have the U.S. SIMP and other developments such as progress in ecolabeling, I see a need for SEAFDEC and AMS to update the current ACDS, which I think should always be a living document. From this viewpoint, the development of regional guidelines (to complement or fill gaps in the ACDS) would be a very good project for USAID and the SEAFDEC countries to undertake.

My second point is that we need to think about what we really need to move forward, and I think what we need right now are practical guidelines in terms of how ACDS should be linked to policy, so we can use it. For example, from what I understand with STSIPP, it is an improvement of the current scheme that Indonesia has, but it is not clear from Pak Hadi (Susanto)'s presentation (Day 1) whether the fish catch that enters the processing unit is processed as a separate batch or mixed with other fish catches. We have some kind of mass balance accounting (which detects unusual claims in relation to yield for a given process), but we still need to improve it. And, of course, there are differences between government and the private sector in terms of flow of information and stakeholder participation, not to mention questions of ownership, that we also need to consider. So, if USAID Oceans can show us what this ACDS is that is now in place and what the project is trying to improve, and the policy direction that goes with it, that will be useful, otherwise adoption will be slow or stifled altogether.

The third point I would like to address is the timeframe. We said two years, but we may need five years if this is something that we really want to push to implementation. I understand that at the moment, ACDS is still in the piloting stage. Realistically, where will it be when USAID Oceans ends? If ACDS is already in place for at least one or two fisheries, with all the indicators and the policy and system to link it to fisheries management (because this is not just for traceability), then maybe the countries can implement it and carry it forward. If not, I don't know — I hope USAID Oceans can be

continued, but I expect that at least SEAFDEC can still move forward with the ACDS. Then ASEAN/SEAFDEC should also think about getting ACDS recognized by all stakeholders (processors, buyers, etc.). Otherwise we can just let the market drive traceability.

Thailand — I was at the 2nd TWG Workshop last year, where we learned about the CDTS that's being implemented in the Learning Sites, so I was expecting that in this workshop we would hear about how that has progressed. Did it work? Is it good enough? If not, what is the problem, and is there a solution? But it is now Day 3 and we still haven't heard any updates from the Learning Sites about this. I think we're moving too fast, because right now, most of us are confused between eCDTS and ACDS, so how can we develop the guidelines and then ask the countries to accept those guidelines?

I would like to request USAID Oceans the results of the implementation of the CDTS in the Learning Sites and whether or not it is working well there, because if it is then maybe it will be useful to the other countries, and we will need these regional guidelines. We have to learn together. I have been on the TWG for a while now, and I know the countries appreciate what USAID Oceans is trying to do. We have the willingness and intention to help, but we still need clarity on this subject.

Vietnam — We share Thailand's position. The ACDS has gone through a long process and several layers of review and approval under the SEAFDEC umbrella, at the end of which it was adopted by the AMAF and recommended to the ASEAN member countries for implementation. We should be very cautious about submitting a new proposal to develop a regional eCDTS guideline. If we are not very clear about our concept of regional catch documentation, it is going to be very challenging to get consensus among the ASEAN members. During our small group discussion, it was pointed out that eCDTS is a technology tool and therefore what we need are not regional guidelines but technical specifications to help the countries implement the ACDS. That's my first point.

My second point is that, compared to eACDS, the eCDTS has a very clear trade component with different catch documentation requirements. For example, processing documents and imported raw material documents are included in the eCDTS, but are not clearly defined in the eACDS. Also, the eCDTS is very clear about the technology solution for data transfer while the eACDS uses a combination of paper-based and electronic systems with some points purely paper-based, reflecting the current reality in the ASEAN. In this sense, I can say that the concept of eCDTS is very advanced, and if the ASEAN member countries can use that, they will be more adaptive with the market level (requirements) for traceability. Like Vietnam, for one. In Vietnam, we see a lot of gaps in relation to catch certification in the management and control of raw materials in the processing sector (e.g., we cannot capture 100 percent the raw materials stored by processing companies), which the eCDTS may be able to address.

Philippines — I just want to make a few quick points: (1) We share the view that we need to be clear about how the eACDS and eCDTS are linked and relate to each other. However, I recall from some of the SEAFDEC meetings I attended that these two are intended to be integrated with each other. (2) Vietnam mentioned that eCDTS has some features that are not found in the eACDS. I think this is an area where USAID Oceans can support or complement the eACDS. (3) About the regional guidelines, I think it's important that we create a steering committee to look into how eACDS and eCDTS complement each other, and how they can be integrated, because it is my understanding that when USAID Oceans was introduced to SEAFDEC, the direction from the Council was to create one system.

Lao PDR — Lao has a very small area, but it is still very difficult to get data because we lack the capacity (funding and competent staff) for data collection. We have some data but it is very old, so if USAID Oceans could help us, we would like to update the data, so we will know how much we are catching in one year, and so we can manage our fisheries better.

Myanmar — I would like remind everyone that we have a *Joint ASEAN-SEAFDEC Declaration on Regional Cooperation for Combating IUU Fishing and Enhancing the Competitiveness of ASEAN Fishery Products*, and it states, in the second, paragraph, "enhancing traceability of fish and fishery products from capture fisheries

through the implementation the 'ASEAN Guidelines for Preventing the Entry of Fish and Fishery Products from IUU Fishing Activities into the Supply Chain,' and 'ASEAN Catch Documentation Scheme for Marine Capture Fisheries'." So, we already have that but, as Thailand said, we need to learn from the activities in Indonesia and the Philippines. What are the technical requirements for eCDTS? This would be useful, because SEAFDEC is also to trying to implement the ASEAN guidelines for the preventing the entry of IUU fish in the supply chain.

I would also like to say that policy makers in the AMS need to be comfortable with the eCDTS, because we already have many guidelines. We need to link this project with the guidelines that have already been agreed by the countries because, when we propose an activity to the PCM and FCG, we have to be very clear about how that activity will be supported. If USAID Oceans can support the countries in the implementation of the ASEAN-SEAFDEC Declaration, I think the countries will appreciate that.

Cambodia — We already have a lot of systems. At the national level, we have our own system, and at the regional level we have ACDS, and now we have to get one more — eCDTS. I would just like to remind everyone that the AMS have different capacities and, unlike some in the region, Cambodia still has long way to go in terms of CDT. For example, we don't a port in-port out system that would meet the requirement of ACDS, although we do agree that this is a good tool for combating IUU fishing and EAFM. Also, we support the eCDTS effort, but before we can make that proposal, we need to have a clear understanding of eCDTS is and how it relates to and differs from eACDS. So, I suggest that we write clear rationale for our recommendation: Why do we need eCDTS? How is it different from the eACDS? What benefits can we get from eCDTS?

Singapore — I will throw in my vote on some things that have already been expressed. It seems eCDTS is a great system, and the two countries are excited to move forward with it. The problem is that the other countries do not fully understand what eCDTS is, even though when it was explained to us, the components seem to mirror the eACDS. At the moment, not all countries are on the same footing on this, so we need to see greater clarity on the different components within the eCDTS, before we can really decide to have a regional guideline. I agree with the Philippines and what Cambodia has just mentioned. My impression from the first day was that this was supposed to be one system, but now we have two systems and it's confusing everybody. Why are we having two systems and writing two regional guidelines and it seems to be the same system? As Myanmar was saying, we are just having a duplicate so it's going to be tough to convince my boss that we need this, when I'm not even doing the first one yet.

Malaysia — I agree that we need more clarity, because we in Malaysia also need to have a way forward to engage with other ministries and submit our CDT proposal for cabinet approval. For one, I'm concerned about the budgeting for this project, how much money do we need to put it in place, and will it require approval from another ministry, because in Malaysia we have another ministry that controls budgeting for projects costing more MYR25 million. Also, we will probably need IT experts to develop the infrastructure and programs for CDT. From my personal standpoint looking at the results from the pilot projects, I think we can adopt the eACDS that was piloted in Brunei. However, before we can do that, we need to engage the stakeholders who may be impacted by this. What is their readiness? What are their concerns? Most of us here are policymakers. We need to see this from the viewpoint of the fishers themselves.

Dr. Silapajarn — It seems every country is confused between the eCDT and eACDS, so I will try to explain. As you know, all of the AMS have adopted ACDS through the ASEAN-SEAFDEC Mechanism. At this level, the ACDS provides us with a framework for catch documentation — it tells us what measures we need to take to document fish catch and what documents we need at the landing site, processing, exporting, etc. When ACDS was adopted, we were directed by the Council to implement it on a pilot basis, so we developed eACDS, a traceability system that collects the data and produces the documents needed in compliance with ACDS. But because of limited funding, we could pilot it in Brunei only. Then,

USAID Oceans came in — a big project with a lot of expertise — so we thought they should develop the system for the region so it can benefit all of the countries, even Lao where there is no sea, and Cambodia, which has mostly inland fisheries. Now we have eCDTS, which is also a traceability system and its "CD" part complies with ACDS. In fact, eCDTS and eACDS are actually quite the same thing — they are both traceability systems based on the CDS (catch documentation scheme) principle. But if we need to differentiate between them, eCDTS would be the generic term, and eACDS is the ASEAN brand.

We heard your suggestions and we will sit down with the USAID Oceans team to discuss the way forward. As you know, we only have two years to go for this project and that's a very short time, so we agree that the proposal to develop regional guidelines is a concern, because it will take a long time to develop the guidelines under the SEAFDEC and ASEAN mechanism. The suggestion from Singapore is very good and we will take that into consideration. My suggestion to USAID Oceans is to develop technical papers, for example how to comply with traceability in inland fisheries, in small-scale fisheries, commercial tuna, etc. Given the expertise and experience in the project, maybe USAID Oceans can develop a technical paper on how traceability will apply to the AMS. I think that will be very useful to the countries.

F. Maruf — As Dr. Kom (Silapajarn) said, in layman's terms, CDT is a generic term, like automobile, while ACDS is a brand. The components of ACDS are actually part of the terminology of eCDTS, so these are not totally separate solutions, but one solution that can be tailored to different countries. For example, Indonesia, already has 12 systems in place related to traceability, and the Philippines has seven systems and a national regulation (BAC 251) that includes KDEs beyond what the EU or ACDS requires, so USAID Oceans helped each of them develop a system that would address their specific needs. To do this, we have to understand what other data is required to produce a document and how to harmonize that data with the other requirements. In the Philippines, we consulted with BFAR, and they told us they have BAC 251, which requires a lot more data than what other countries might need. Indonesia said they had so many systems, and they didn't want to replace them, so could we link all of these systems into one traceability system?

As some of you have noted, different countries have different capacities, so after talking to the countries, we need to do a gaps analysis so we will know what they already have, what else they need, and what solutions will best fit their requirements in terms of traceability for fisheries. For Vietnam, it appears from the gaps analysis that the shortest route would be the eACDS that was tested in Brunei, with some modifications to account for the processes and systems that already exist there. In the case of Malaysia, the eACDS will have to be modified to accommodate a multi-ministry system involving several ministries. Myanmar is also showing interest in the eACDS, and we will follow through on that.

So, we are not trying to create two products. What we are trying to do is to develop one traceability solution that can be adapted to the different capacities, circumstances and needs of the different countries in the ASEAN. So, we have the eACDS, which follows the data from the port all the way to production and export, we can add on top that the capability for at-sea data capture and other features that address issues important to the region, for example, human welfare data, if the country wants to include that.

In short, USAID Oceans support for implementing traceability is driven by country priorities, and I agree 100 percent that we should produce more technical papers and knowledge products to fill the gap in information about how to do traceability.

Q: Malaysia — I will present this concept to a high-level meeting when I get home, so I need to confirm this. Is it correct to say that eACDS is limited to the movement document (MD) and catch document (CD), while eCDTS can produce other documents, including certificate of origin (CO), import and export permit, catch certificate, etc. Does eCDTS do all of that? If it does, this could become much bigger.

A: F. Maruf — In its current state, eACDS doesn't have some of the components — for example, CO. But it could probably be expanded to include those components, depending on the needs and resources available. If a country already has a CO component, we can connect that to the eACDS.

The eCDTS that we tested in the Philippines and Indonesia were developed using a totally different approach looking at the existing systems and then integrating them within a homogenous database platform.

Q: Thailand — Is the eCDTS a single system, or is this only a linkage system for the countries that have the separate systems?

A: **F. Maruf** — A single system might be possible but I think it's going to be really difficult for countries like Indonesia, where the process of registration, for example, is spread across local governments, and there are other systems — for example, a fish health certification system called Sisterkaroline — that are already in place and producing the documents. But we could probably use the eACDS that we are going to test in Vietnam — it has enhanced components and can be implemented really fast.

Q: Cambodia — Has the eCDTS been successfully implemented? Will it be implemented for the entire country, or just the pilot site? Is it good enough to apply across whole country?

A: **F. Maruf** — The Philippine system was able to produce the data required by ACDS because their data components are aligned with the EU, U.S. SIMP, etc. But what I would suggest is this: After we finish implementing eACDS in Vietnam and maybe in Malaysia (if they decide to move forward), we can develop an almost a cookie cutter approach for implementing eACDS — how to start, where and when to include the partners, what technology might make sense to you. This will give you the benefit of a shorter learning curve because other countries have already done it, and it's better than starting from zero and learning by yourself, or even importing a system like BFAR's, or Indonesia's Sisterkaroline. If you want to use the BFAR system, that is fine, because it is a sophisticated system that can likely meet your needs. But my suggestion for countries that have limited resources is to work smart. Get the best practices and methodology that you can implement fast so you can reap the benefits immediately, rather than go through two years of development

Q: Indonesia — I suggest we should have a two-page paper to describe the difference between eACDS and eCDTS, and what we need to do to move forward on each system, so we know what to report to our bosses.

Q: Malaysia — A matrix showing the similarities and differences between the two would be helpful.

Q: F. Maruf — We can develop a two-page brief that explains, without too much detail or technology, the position of ACDS in CDTS. And if there is a decision to develop the regional guidelines, I think we can follow Dr. Kom (Silapajarn)'s suggestion and say "Guidelines for Traceability," instead of eCDTS, to avoid confusion.

J. Parks — To sum up, I heard two key points:

1. What the region needs is not so much another set of guidelines but rather practical guidance. Thailand has a specific interest in looking for software that might already exist and could be retrofitted for Thailand's own use. Laos and Cambodia may have interest in looking at freshwater fisheries and process using the lessons from the Learning Sites. Myanmar and Vietnam also expressed interest in how we can take the lessons from the two Learning Sites and apply them in their countries. That's really clear to me you have my word as COP that we will work with you on this. We are pleased to hear that there is demand to look at the Philippine and Indonesian systems, and take what works and understand that better, because this is a proof of concept of why we started the Learning Sites — so we can then share those lessons and methodologies across the region.
2. The TWG needs a simple, two-page overview that explains CDT and ACDS in simple terms. We will get that done, and also maybe a Powerpoint presentation that introduces the different traceability terms and includes some of the diagrams that Farid presented to show how these pieces fit together. We will make sure that we get this to you within the next few weeks.

Session 14: Open Forum and Feedback on eCDT, ACDS, and Sessions 12-13

Q: Indonesia — There's not enough focus on human welfare, gender and labor. Human welfare was discussed on the first day, but there was not enough gender there. I hope equal attention is given to this topic in the next TWG workshop.

A: A. Nietes-Satapornvanit — The human welfare component under USAID Oceans started out as a gender component. It was only later that it was expanded to human welfare, which as you know is a very important concern for the fisheries sector. Even now, human welfare issues are still not really highlighted in our technical publications and meetings, but there's been increasing attention given to these issues in recent years. In fact, USAID Oceans is in a sense fortunate because we already have a human welfare component. We're trying enhance it, not in terms of budget or resources but in terms of sharing our learnings with others who have the mandate and resources. I understand that human welfare is not necessarily within the scope of the fisheries agencies, but the collaborative nature of the project will allow us to work with the agencies that hold this mandate, so you can be assured that these learnings will be shared with the appropriate agency in your country.

S. Singahapoom — We are open to any question relating to our program, but even at the local level, stakeholders unfortunately do not bring up human welfare a lot. Often, when the topic is raised, it's from the local government's perspective. The only topic that small fishers talk about that's related to human welfare is safety at sea, which is an important concern particular for small-scale fishers in the Philippines who are limited by storms and want the safety features to be included in the apps.

J. Parks — I really appreciate the feedback that we're receiving from the TWG members. You're right, we have not focused very strongly on human welfare and we should. Part of this week was to initiate some discussion. You all did fantastic job in getting us more focused on this and my hope is that by the end-of-project review, we will have some important findings not just around gender but human welfare more broadly.

F. Maruf — I would just like to add a few thoughts, because this topic actually came up during our visit to Bitung/Manado two or three weeks ago. I think we should promote ways that fishers can get more value from the fish they catch, rather than ways to help them catch more fish. This can be in the form of trainings, microfinance, or government programming, and hopefully also traceability. With our knowledge of traceability, we can try to help people in improving their income, and at the same time contribute also to the goals of traceability.

Q: Indonesia — To me personally, good communications and outreach are vital in getting stakeholders to better understand eCDT, but we must understand that we need to do both inward and outward communication and should interface as well with concerned government agencies in all countries, so the information could be directed through the standard communication operating procedures that are already in place in those agencies.

With respect to the behavior change steps, I would just like to suggest that before awareness we require attention, and in this regard, maybe we should also focus some attention on the positive. For example, instead of highlighting IUU fishing as the motivation for CDT, we should showcase the benefits.

And lastly, I have a question: are we going to come up with regional guidelines for communications and outreach? This goes back to my first comment, because we may need guidelines if the project's communication products will interact directly with the different countries' communications and outreach. Or is it up to each country to adapt these products according to their situation or specific needs?

A: M. Donnelly — To your point on the inward and outward phase in communications with government agencies, I hear you and I think more frequent communications and working with TWG members will be essential in marrying that in our outward communications and the communication that needs to happen within the government agencies. With respect to media

engagement and not just raising awareness of the negative impacts of IUU fishing and the problems in the region, which is a lot of the stories we hear already, we are fully committed to bringing media attention to the positive aspects, not only around traceability and the work being done here and their benefits, but also human welfare. We hear many stories every day about all the bad things happening, but there are a lot of good things happening as well, as evidenced by all of this discussion. So that's absolutely one of our priorities to make sure that there is counterbalancing of positive messaging as we engage the media.

Q: Indonesia — Among the expected outputs from this workshop are (1) TWG endorsement of proposed regional guidelines that we decided today not to do anymore, (2) documented inputs from TWG members regarding current and future regional priorities, and (3) documented inputs to USAID Oceans Y4 Workplan. Are these inputs being documented?

Also, we would like to learn more about the innovation competition involving private funder and venture capital for start-up providers of traceability services.

Lastly, I'm happy to hear that there will be a complete testing of the eCDTS across full supply chain from catch to export in both Learning Sites, because that's what we really want. We would be happy to complete the test so we can share our learnings with the other member-countries.

A: J. Parks — We've been soliciting inputs from all of you all week, and listened to some of you who approached us with specific requests. You're right about the importance of those two activities. The complete testing of eCDTS through the full supply chain is actually the most important activity that we will be doing in Year 4, along with using the traceability data for fisheries management. This is the proof of concept of why the USG is funding this project, to show how eCDT data can be used for fisheries management, so biodiversity is conserved, and fishers' livelihoods, small businesses and even large companies that depend on the fisheries can be sustainable.

On the regional guidelines, I would say that our objective for this workshop has been achieved. We're not walking out with a set of guidelines but we're walking out with very clear directions from the ASEAN member countries to proceed, not with regional guidelines, but with technical specifications that could be practically applied and used beyond USAID Oceans.

With regard to soliciting additional inputs — some of you have already approached us with ideas and we have a list of those. If you have other ideas, please let us know. This is why we do the TWG meeting — to engage with each of you, to make sure that what we are proposing makes sense.

F. Maruf — I'm going to pick two questions about traceability and the involvement of venture capital.

(1) Traceability: In the Philippines, we have achieved very good progress in developing the BFAR system, and we're now doing live transactions. There's always some bottleneck but I am confident we will complete that. In Indonesia, we've been talking to your Directorate-General for Competition and they've been very supportive. We really want to make sure that your system is built and ready to test and we will support you 100% through the methodology, the private sector company from the Philippines using the same scheme, technology devices, and knowhow, which we will kick off on August 13.

We have in the Philippines, 30 tons already in the system, and we hope we can do that in Indonesia also and that, by the end of this year, all these countries will have traceable fish. Then we will document the knowledge and share it with you — perhaps do a roadshow that we can take to the countries, because sometimes getting people to Bangkok is more challenging.

(2) Venture capital: We think the solution should come from the bottom up, so we want to bring in private sector startups from within your country or the region who can look at your problem and see potential to help and make money at the same time. We want to see the solution come from the brightest minds in the region, then we will bring in venture capital, people from the U.S., Japan, etc. who have the interest to invest. And hopefully, we have a solution that will also improve the lives of people who living in coastal areas. We're thinking of doing this in the Philippines, Indonesia and Mekong Delta.

L. Garces — On the technical guidance: We had a brief chat with our counterpart at SEAFDEC TWG, and we agreed that we will use your inputs from Session 10 to craft the next steps towards the PCM in November. On the question about the TWG inputs to the activity plan — I just came from a lunch meeting with Pak Trian (Yunanda) and, for Indonesia specifically, we're looking at a possible follow-up meeting around the first week of October with your TWG. Fini (Lovita) will be communicating with you closely on this, and Becky (Andong) will do the same for the Philippine Learning Site.

Q: Indonesia — I'm interested in eCDTS for small-scale fisheries. Do you have any ideas yet on how to go about this and, if so, is this eCDTS for small-scale fisheries the same as the eCDT/eACDS we have been discussing these past three days?

A: F. Maruf — Yes, that's been a main focus for us in the last two years, to find the best traceability solution for small-scale fisheries because we realize that small-scale fisheries make up the larger portion of fisheries in this region — I believe Indonesia has about a million boats classified as small-scale, and the Philippines has around 200,000. We will start first in the Philippines and when we have a solution that works we will share that with the other countries, so the region's small-scale fishers can participate in and benefit from traceability.

R. Andong — At this very moment, we are monitoring the 30 tons of fish catch in the Philippines. It has entered the eCDTS, and has gone through a number of tracking events — eLogsheet, fish unloading and monitoring report, VMS validation, catch origin, landing declaration application and approval — which have been electronically approved by BFAR. Right now, it's at the stage of the processing. We were hoping the entire process up to catch certificate approval (product ready for export) would be completed in time for this workshop, but the processing plants have their own timeline for processing, which we have no control over.

For municipal (small-scale) fisheries, we are installing devices and using the FAME technology to gather the KDEs. This morning Zaldy (Perez) informed me that BFAR has also already developed the mobile app that will record the data at point of catch. When I get back to the Philippines, I will meet with Zaldy so we can start planning testing this app in the field. I expect we will be doing that over the next two months. We are also collaborating with the BFAR TCMZ Project, so they can use the CDT data for feed fisheries management. I understand from talking to Raffy (Ramiscal) that although we are only demonstrating this in General Santos City, TCMZ is a national project, and BFAR is planning to scale this nationally.

F. Lovita — In Indonesia, we're working with MDPI to implement eCDT alongside EAFM, starting with two supply chains from Sangihe Island to Manado and then Bitung, and from Nain Island to Manado to Bitung. We are working with small-scale tuna handliners using boats under 5GTs that supply tuna to a supplier in Sangihe Island and another in Manado City, from where the tuna will then go to our First Movers.

Besides CDT we are also helping these small fishers/handliners with their boat registration. In Indonesia, boats under 7GT do not have to be registered with the national government, but they are required to register with the local government. The project is working with MDPI to help with the registration process. There are now 36 boats from Sangihe Island and 18 boats from one village in Nain Island that have been issued their certificates. Nain Island has three small villages, and two of them have small tuna handliners. We are now working with the handliners in one of the villages, and we will seek to help those in the other village as well, who are keen to also be involved in our activities (we visited the island last week and met with most of the tuna handliners from both villages). They understand that they need to be registered to go through the eCDTS, which will allow them to sell the tuna to bigger suppliers who will then sell it to bigger processors in Bitung.

ANNEX VI. SESSION 8 SUMMARY RESULTS INPUTS

A. Summary Results regarding eCDT Status across ASEAN Member Countries

- Seven (7) countries completed the eCDT section within their submitted pre-meeting matrix: Cambodia, Indonesia, Malaysia, Myanmar, Philippines, Thailand, and Vietnam. Philippines matrix was partially completed; additional information are to be provided following the TWG Meeting.
- All 7 countries have catch documentation processes in place, with some having a combination of electronic and paper data collection at various points in supply chain. Almost all are still using paper catch documentation, particularly from point of catch and landing.
- Indonesia, Philippines, Thailand and Vietnam have the most advanced electronic/digital components within their supply chain catch documentation. None has online electronic catch reporting.
- Indonesia has the highest number of intra-directorate data sources interfacing with one another from different systems, followed by Malaysia. Thailand has most of their existing catch documentation system data captured under a single platform/application.
- Only Indonesia employs on-board catch observers in the collection of catch data, although how many observers are currently operating on what proportion of the fleet is unclear.
- All countries require a catch logbook for commercial fishing operations that must be completed by the captain. For small-scale fishing, most catch reports are filled in by the fishermen, except in Cambodia and Vietnam where catch data are recorded by fisheries officers.
- Malaysia has the highest number of different agencies (across Ministerial jurisdictions) that are involved in the management and data collection of seafood supply chains. Most countries in ASEAN centralize the majority of the seafood supply chain management responsibilities within a single Ministry or Department.

B. Summary Results regarding EAFM Status across ASEAN Member Countries

- All ASEAN member states have a National Fisheries Management Policy and a Strategic Plan for national fisheries sector development and fisheries management framework.
- 5 of the 10 ASEAN member countries have national EAFM initiatives or a specific EAFM policy as part of their national fisheries management plan, including a National Plan of Action (NPOA) to combat IUU Fishing.
- Several countries have national policies or a regulatory framework on catch documentation.
- There are several regional and sub-regional initiatives that currently support National Fisheries Management; i.e., RPOA IUU, CTI-CFF (EAFM Goal), SSME, RFMO (e.g., WPCF).

C. Summary Results regarding HWLG Status across ASEAN Member Countries

- Seven (7) countries completed the Human Welfare, Labor, and Gender Equity (HWLG) section within their submitted pre-meeting matrix: Cambodia, Indonesia, Malaysia, Myanmar, Philippines, Thailand, and Vietnam. Laos and Singapore indicated they will submit their completed matrix following the TWG Meeting.
- All countries have a combination of government agencies to handle issues related to human welfare, gender and labor.
- Relating to national and local laws on labor protection, gender equality, and social welfare:
    - Cambodia has for port only
    - Thailand from at-sea-capture to port only

    - Indonesia, Malaysia, Myanmar, Philippines, Vietnam have throughout the supply chain
- All countries note gender equity issues within the seafood supply chain except for Vietnam (did not complete the section).
- Relating to Occupational Safety and Health issues:
    - All countries except Cambodia have some level of compliance.
    - Issues range from safety and health, as well as compliance with existing laws
- Relating to data collection on HWGL: while there are some activities on HWGL data collection, some countries have more data collection than others, and some are limited in terms of what method and/or actor/office can collect such information.
- Relating to current HWGL efforts/projects: all countries have efforts to conduct activities on human welfare, although at selected nodes within the supply chain only.
- Other stakeholders/partners: a total of 4 (Cambodia, Indonesia, Myanmar, Philippines) of the 7 countries report that there are other stakeholders working to address HWGL issues.

D. Summary Results regarding PPP Status across ASEAN Member Countries

- 5 countries completed the public-private partnerships (PPP) section: Cambodia, Indonesia, Myanmar, Thailand, Vietnam
- 2 countries (Indonesia and Thailand) develop and implement their own PPP systems; 2 countries (Cambodia and Myanmar) work with other partners (UNIDO, EU & EU-GIZ respectively) to develop and implement technologies; 1 country (Vietnam has a formal PPP arrangement which helps with both identifying and implementing technologies.
    - Vietnam's formal PPP arrangement is called Partnership for Sustainable Agriculture (PSAV). One of their many taskforces under PSAV is on sustainable fisheries. Members of this taskforce includes DOF, industry associations, WWF Vietnam, Cargill, among others (see: http://psav-mard.org.vn/fisheries.htm)
- All countries must comply with existing industry standards (e.g., GMP, HACCP, US/EU)
- All countries work with other relevant projects/organizations to build upon their traceability work. This includes: 1) other government units/organizations; 2) SEAFDEC; and 3) other local associations/organizations, such as CORIN-Asia Foundation and the Alliance of Marine Fishery Associations of Cambodia (AFAC).

ANNEX VII. COMPLETE OUTPUTS OF SMALL GROUP DISCUSSIONS IN SESSION 8

The following tables were transcribed from metacards (Session 8) and report-outs (Session 9).

Priority action areas identified for Sulu-Sulawesi sub-region

Action Areas	WHITE (Facts/Info)	YELLOW (Benefits)	BLACK (Downside)	RED (Feelings)	GREEN (Doing it better)
Capacity for financial management, organization, training, effective bargaining or entrepreneurship	1. Lack of financial access for fishers 2. Currently using traditional technology 3. A lot of fishers may not be eligible for financial facilities (banking system) because of a lack of loan guarantee and lack of portfolio 4. Fish handling/ treatment at sea 5. Engendered curricula/modules need to be fully cascaded along the fisheries value chain	1. Knock-on effects to general family financial management — when skills are learned in financially managing their fisheries manage-ment, that can transfer into their daily activities 2. Gender lens becomes a way of life towards inclusive management	1. Potentially perpetual marginalization and invisibility of women in the fisheries VC 2. Some stakeholders may not see it as a priority and not dedicate time for involvement 3. No obvious immediate value added to the activity in terms of increased cash — a bit of work involved on that	Women hold half of the sky/sea for fishing	1. Build on linkages and networks to involve other organizations for the training 2. Cash flow management 3. Social enterprise/social entrepreneurship 4. Finding donor support for the mgt 5. Transfer of technology/capacity building 6. Provide access to the banks 7. Establish micro-enterprises 8. Support local women fishers/processors/ traders as resource speakers, trainers, monitors, decision-makers to help them transfer knowledge to their own network 9. Negotiation and communication skills training, especially for communities that may be quite reserved sometimes
Improving post-harvest to reduce losses	1. Presence of traditional landing centers — in quite remote locations, there's a lack of infra for this 2. Inadequate logistics system/reduces quality — (need to define/understand traditional fisheries logistics system in the region) 3. Lack of infra/insufficient post-harvest facilities 4. Lack of connectivity — availability of stock should support post-production activity 5. Some post-harvest facilities do not address the practical and	1. Possibility to link production center and market, and again create networks along the VC 2. Capacity on post-harvest activities to avoid/reduce losses (to get better profit from activities) 3. Better and higher work perform-ance for women along the value chain 4. High product quality, better prices, improve-ment in living conditions	1. Costly 2. Extra efforts and investment 3. No work or unpaid work for women; glass ceiling for women that remains unbroken	(Please release me let me go)	1. Alternative sources to power facilities — in remote locations there's not always electricity there so maybe solar power may be appropriate 2. Design of post-harvest facilities with women-workers in mind (dove-tail design) 3. Looking at the cold chain system and how that can be introduced to the area

Action Areas	WHITE (Facts/Info)	YELLOW (Benefits)	BLACK (Downside)	RED (Feelings)	GREEN (Doing it better)
	strategic needs of women				
Fair Trade particularly for SSF a. Encourage more "open local and export markets" for SSFs and small-scale entrepreneurs (access to markets, wider market engagement, finance flow) b. Market should guarantee those that promote traceability c. Encourage gender activity to improve access to fish/ alternative job activities	1. Fair trade is not really recognized by the govern-ment and even the market — MDPI started this in 2014, driven by a few smart people that wanted to strengthen value chain 2. There's no premium price guarantee for those who contribute to sustainability — still this is the issue 3. Incomplete info on all players in the supply chain 4. Low quality of the product 5. Large volumes caught and exported from SSF themselves potential for market forces to create change 6. Municipal (small scale) fishers (women and men) have less access to assets compared to big-scale scale fishers	1. Wider community development and recognition of fishers — important for the women in the workforce 2. Women gaining access to economic resources/empow erment (SDG15)	1. Need for export market access and guarantee of returning the premium fund 2. Credit require-ments, long process, too many requirements, no skills in preparing feasibility studies	1. Empowered women (what a feeling!) 2. Challenges and opportunities 3. Very emotional process 4. Although we (Indonesia) have a success story, it is still not fully recognized	1. Need market to recognize fair trade (driven by market requirements) 2. Product diversification 3. Branding — advertise small scale for applying sustainable methods/practices 4. e-Commerce 5. Strengthen the value of the supply VC 6. Registration/accreditat ion of all involved in the supply chain esp the middlemen — I think the role of the middlemen is also important, we have to recognize that. Because some in Indonesia say that we have to get rid of the middleman, but they are also important 7. Support and strengthen with marine stewardship council certification 8. Replication of success story — we believe that we need something from time to time to promote some success story to encourage others to do the same process that was already done leading to the success 9. Small brother-big brother partnership — big brothers paying premiums to small suppliers applying sustainable practices
Policy review and fisheries governance a. gender-responsive b. improved policies especially on *jamboleros* (middlemen) buying fish catch from the fishers in the fish center c. Development and recog-nition/legaliz-ation of local access rights system	1. Lack of/absence of a gender lens n fisheries governance 2. Many times these are project-based and once the project is over, they are not continued	1. Improvement in the quality of the policies (FGD with multi-sector approach) 2. There will local stewardship using local knowledge and experience to inform manage-ment 3. Able to address gender-specific needs, promote inclusive development, engendered prosperity	1. Differences in educational backgrounds, diff in culture resulting in disagreement on what should be included and how to implement 2. Lack of political will to enforce gender-responsive policies 3. Time-consuming 4. Gender-blind EAFM/sustainable fisheries manage-ment; male-biased governance (fisheries is traditionally a male sector)	1. Challenged 2. Motivated 3. Positive — Just do it, it can be done!	1. Organizational strengthening 2. Bottom up not top down approach 3. Increase awareness and education among the stakeholders — invite public figures to promote and disseminate the information, especially with eCDT and eACDS 4. Embrace public science; research translation and consider women as partners and not clients in everything that we do

Action Areas	WHITE (Facts/Info)	YELLOW (Benefits)	BLACK (Downside)	RED (Feelings)	GREEN (Doing it better)
d. Enhance fisheries documentation			5. Potential substantial gaps		5. Engage with labor groups/NGOs in documentation and welfare
Occupational health and safety along the VC: a. Promotion and awareness on safety at sea for fishers	1. Lack of data on accidents, deaths, injuries on fishing operations 2. In the Philippines, lack or absence of sex-disaggregated data related to occupational health and safety 3. Poor understanding of facility safety control 4. Yearly death rates at sea, injuries sustained, no insurance for family 5. Lack of knowledge on health and safety 6. Lack of 2-way communication facility on board (especially for SSFs) 7. Regulations and policies on OHS are lacking 8. Monitoring for compliance only	1. Promote gender justice and social equity 2. Better family life quality 3. OSH standards that are for all — not industry-specific	1. Wider gender differentials; wider social inequality 2. Reluctance/lack of motivation of fishing companies to report injuries, deaths, accidents at sea 3. Costs of insurance, medicine and equipment are prohibitive and companies see it as lesser profits 4. Complying with so many/very strict or stringent regulations/standards could be difficult and costly for the industry	When there's safety at sea, no woman, no cry	1. Insurance for fishers/fishery workers (small traders, etc.) — mandatory insurance for fishers as a requirement for fishing license 2. Put in info tech to prevent/minimize disasters, including real-time reporting using technology (distress signals/ injury/accident reporting); techno-logy should be gender-responsive; M&E tools and processes should be gender-sensitive 3. Cooperation between relevant agencies for exchange of information and data for safety at sea

Priority action areas identified for South China Sea/Gulf of Thailand Sub-region

Action Areas	WHITE (Facts/Info)	YELLOW (Benefits)	BLACK (Downside)	RED (Feelings)	GREEN (Doing it better)
Policy	(Standards and agreements) 1. Regional CCRF 2. Declaration ASEAN Millennium 3. ASEAN-SEAFDEC Dec on Sustainable Fisheries 4. Universal Declaration on Human Rights 5. UNCLOS 6. SOLAS 7. STCW-F 8. ILO (fisheries)	1. Good policies can translate into the formulation of laws within a country or even regional 2. Good policies result in common understanding among and within countries on what has to be done	1. Policies will fail if one or more stakeholders don't participate 2. Lack of political will to push through — they start something, they don't end it; apathy 3. Monitoring/surveil-lance and imple-mentation of policies 4. Lack of country capacity (this is an issue in itself) 5. Policy does not suit every country 6. Unclear policies will be subject to own interpretation by countries and ultimately lead to misunderstanding among regional partners	1. Not efficient 2. Not confident with the politicians (Depends on politicians) 3. Good but participation could be an issue 4. Disgusted — policy has no use to fishers 5. Policies are a relief — it means we are aware of what's happening; it is the implementation that is always problematic; no impact/slow impact due to weak implementation 6. Country policies don't align with regional policies/guidelines	1. Incentivize compliance thru branding or priority access (access of fishers to the resources (ensure fair access to fishery resources) — needs a lot of study because we also don't want to overfish) and access to finance — As always two ways to implement everything, the carrot and the stick. We always go with the stick — enforce, and enforce. We always forget the carrot 2. Government assisting the private entities by allowing them to have access to finance 3. PPP — network and incentives

Action Areas	WHITE (Facts/Info)	YELLOW (Benefits)	BLACK (Downside)	RED (Feelings)	GREEN (Doing it better)
Capacity	Some countries say we have a lot of programs, and that's great.	1. Practical approach to implement-ation of the capacity building itself 2. Empowerment — knowledge, skills and attitudes	1. Not well focused 2. No funds/resources for capacity building 3. Cannot apply/no chance to apply	1. Happy 2. Motivated 3. Disappointed 4. Exhausted 5. Losing hope/ dreams	1. Scan for best practices/models, benchmarking 2. Learn by doing projects — not just classroom style training, should be hands-on in real on-the-job situations 3. Curriculum targeted to audience (should be more focused) 4. Start them young — start with children
Livelihood	1. A lot of livelihoods but they are not sustainable in the sense that the resource is finite (lack of resources) 2. Unable to access market — they can fish, but they can't get to the right market that they need to maximize their profits 3. Low income/high risk (fishing is low return, high risk occupation)	1. Fisheries resources still exist 2. Opportunities for increasing production (e.g. by incorporating technology) 3. Increased livelihood opportunity 4. Driver for economic development/ progress 5. Production 6. Increased income 7. Networking 8. Livelihood	1. Dwindling resources 2. Younger generation would rather do office job, which is low risk and offers higher pay and more stable income	Worried, insecure	1. Value addition/use by products 2. e-Commerce 3. Agri-fishery tourism (glamping or luxury/glamorous camping) 4. PPP

Additional group notes (from meta cards that were not arranged in table form)

Regional Guidelines:

1. ASEAN Guidelines on safety at sea for fishing activities
2. Conduct regional consultations to address problems/concerns on trafficking, labor issues (e.g. underemployment) — come up with policy recommendations, regional treaties
3. Regional policies on concerns of the marginalized sectors such as IPs, PWDs, senior citizens
4. Develop criteria and standards covering social protection and occupational safety and health

Local implementation:

1. Promote human rights through agencies' activities in local fisheries
2. Promote gender equality at policy making levels
3. Promote inter-agency cooperation between fisheries agency, labor agency, maritime agency
4. Increase cooperation with relevant international organizations

Safety at Sea and disaster risk management

1. Disaster risk mgt plan for sea workers (seafarers and small-scale women and men fishers)
2. Training of trainers on safety at sea for fishing activities (enhance capacity)
3. Stop harassment of fishing vessels by Chinese Coast Guard

Health and Nutrition

1. Health protection for SSF (capacity bldg)
2. Improve nutritional status for reproductive age women and for children

Business financial management and decision making

1. Involve in making decisions
2. Organize regional forum on financial mgt involving women
3. Improve role of women in business

Labor, safety, salary

1. Improve HW in SSF (labor aspect)
2. Increase awareness among women in fisheries sector of labor rights, safety and fair salary

Research

1. More research projects on women's involvement in fish capture, sea capture, post-harvest, processing

Provide livelihood

1. Govt intervention thru implementation of livelihood assistance
2. Financial support for business on fisheries product
3. Equitable distribution of income in the supply chain
4. Enhance women's participation fisheries (processing)
5. Climate prediction for fishing activities

Priority action areas identified for the Andaman Sea Sub-region

Action Areas	WHITE (Facts/Info)	YELLOW (Benefits)	BLACK (Downside)	RED (Feelings)	GREEN (Doing it better)
1st PRIORITY: Capacity building (safety at sea, product quality)	Unequal access	Can lead to reduced IUU/crime	Difficulty in reaching out to workers	Happy — 3 Neutral — 1	1. Value added for SME 2. Promote fishery product to be OTOP product
2nd PRIORITY: Sub-regional cooperation	Weak network/ cooperation (sub-regional) related to labor	Many organizations (Intl/regional) helping to improve labor conditions	1. Too many inter-national organ-izations/initiatives giving conflicting messages/negative image of countries 2. Overlapping mandates	Happy — 2 Neutral — 1	Standard labor (according to international standard)
3rd PRIORITY: Application of sustainable fisheries management	Tourism vs fisheries	Sustainable fisheries can be done and we know how to do it Tourism/fisheries become alternative income	Climate change impacts on the lives of fishers	Happy — 2 Neutral — 1	
Accurate technical data				Happy — 3 Neutral — 1	1. Share info/ using alternative media 2. One Data
Labor regulations and governance/ policy	Migrant workers (how many? Documented?) (Intermediaries for recruitment)	Effective migration policy could lead to better working conditions	Heavy burden for governments	Neutral	
Technology solutions to promote good labor practices and products	1. High cost of technology transfer for SSF 2. Balancing the impacts on fishers and their livelihoods	Many technologies to choose from	Who will bear the cost of technology?	Happy — 3	
Equal access to financial resources	Unfriendly financial policy to SSF, gender		1. Difficulty in repaying loans 2. Lack of financial management skills	Happy — 2 Neutral — 1 Sad — 1	1. Fishers' bank 2. Promote saving
Encourage/ strengthen fishers to establish fishers cooperatives/ groups to access financing	Cooperatives/ groups exist but weak	Voices can be heard		Happy — 2	
Partnerships with government and financial institutions					
(all actions)					Co-management or cooperation

Additional notes:
The group identified four action areas that need to be addressed — access to fish, freedom and safety at sea, product quality and value chains, and financial plans. Based on this, they came up with a list of actions from which they picked their top 3 priorities (the other actions could be sub-actions under the priority actions, where appropriate). They also considered gender equity in all actions but was unable to complete the "Green" column for the 3rd priority action (application of sustainable fisheries management).

Priority action areas identified for the region (by the USAID Oceans regional partners)

Action Areas	WHITE (Facts/Info)	YELLOW (Benefits)	BLACK (Downside)	RED (Feelings)	GREEN (Doing it better)
Gender equity: Strengthening women's influence in fishery management decisions and power in supply chain profitability	Illustrate imbalance of reward by gender in the seafood supply chain	1. Promote, support women leaders to provide them with leadership, mentor/mentee skills 2. Better electronic financial tools for credit, savings and business transactions 3. Women leaders able to see their current and previous roles (e.g. Ibu Susi) and showcase how women can be in a leadership position, and how women can carry this forward 4. Women are well-organized including with support from men, to engage in management and financial decisions 5. Focus on mission: Where along the supply chain are women generally the prime decision makers/value providers?		Teach and reinforce education/ success stories that girls can be involved in throughout the value chain (Dora the Explorer)	1. Break cultural/social norms — allowing women access to education and resources and to influence decisions 2. App/game to increase gender equity 3. Title 9 for fisheries — along the supply chain! 4. Technology "Gap Squeeze" that collects pay gap data and uses it to close gap, etc. 5. Promote the understanding of gender equity
Fair pay	Ability to pay each actor equally/ fairly using modern technology	1. Organizing and good info on relevant facts 2. Transparency — everyone can see the value that each actor in the trade chain brings to the final product 3. Rising awareness, consumer desire for fairness, opportunity to reward good practices	1. Fair pay leads to apathy/lack of interest in hard work 2. Too difficult to track/enforce; there will always be underground labor market for people with needs	1. Pay to include mandatory benefits (e.g. forced savings, medical, etc.) 2. Consumer will reward good practice. They will be fair 3. Women always get paid less regardless of the types of job – – Black and white "Stereotype" 3. Profits are linked to fair sustainable behaviors through technology and info	1. Contract employment 2. Efficiency of money movement — mobile money, digital money 3. Blockchain for smart contract/transparency (e.g. blockchain cooperative for agriculture)
Forced labor/human trafficking		1. Transparency — lighting the dark will eliminate unlawful practice 2. Ability to track individuals through entire process from recruitment	1. Much deeper social issue that goes far beyond just fishing 2. Government corruption 3. Stringent laws /regulations 4. Poverty circle — shock (the poor	1. People rescued from forced labor get fair compensation and justice 2. Enforce and carry out all obligations (just do it) 3. People in bad situations make	1. Pull info and data to provide human/labor/ CTIP data throughout the worker's journey/ path 2. Educating the young 3. Risk-based manage-ment (machine learning)

Action Areas	WHITE (Facts/Info)	YELLOW (Benefits)	BLACK (Downside)	RED (Feelings)	GREEN (Doing it better)
		through employment 3. Issue in the spotlight and actions being taken	can't tolerate shock)	bad/poor/risky decisions 4. Provide opportunities and economic growth	

Additional notes:
The group first identified the priority action areas and came up with four, but went in-depth only on the three of them (see above).

The following notes were transcribed from meta cards that were not arranged in table form and not included in the presentation. They relate mostly to the fourth action area (labor and health conditions) that was not fully discussed.

1. Modeling migration flows and the factors that influence changes in flow over space and time (labor force)
2. Implementation of international conventions (human welfare and gender), e.g. CEDAW, ICESCR / capacity to implement
3. Ability/right to communicate and organize
4. Shifting value down the chain and linking profits and sustainability
5. Basic safety and health/living conditions
    a. Safety against abuse (physical/mental) for women and other vulnerable populations
    b. Working condition onboard
1. Social issues arising from poverty, e.g. drugs, crimes, including cost of business
2. Discrimination/social exclusion

ANNEX VIII. HANDOUT ON PROPOSED DEVELOPMENT OF REGIONAL GUIDELINES FOR eCDT APPLICATION & IMPLEMENTATION (SESSION 10)

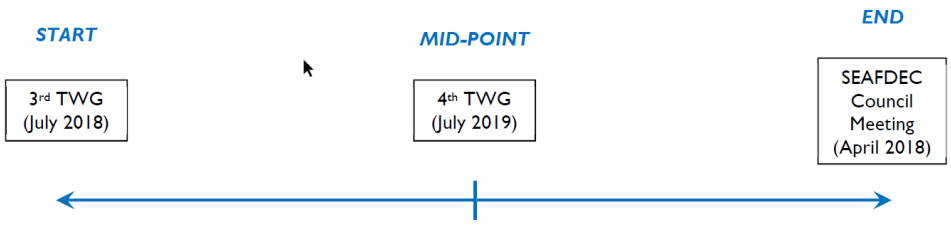
A. Key questions to be addressed through this session

1. How would a set of Regional Guidelines focused on the adoption and implementation of eCDTS be most useful to ASEAN member countries? (Purpose)
2. How could these proposed Regional Guidelines best support the existing ASEAN Catch Documentation Scheme? (Relationship to ACDS)
3. What content should be included under these proposed Regional Guidelines? (Outline/Contents)
4. What process should be used to best develop these proposed Regional Guidelines between July 2018 and April 2020? (Timeline)
5. Who from the region should nominated to sit on the small group that guides and supports the 2-year development process for the proposed Regional Guidelines? (Steering Committee)

B. Strawman Outline (provided for group discussion purposes only)

I. Introduction (background, rationale)
II. Purpose (goal/objectives of guidelines)
III. How to Use the Guidelines
IV. Terms and Definitions
V. Principles for Adoption of eCDT Systems
VI. Principles for Implementation of eCDT Systems
VII. Timeline for Regional Adoption and Implementation
VIII. Conclusion
Annex 1: ASEAN Catch Documentation and Traceability (ACDS) — Version 4 (updated)
Annex 2: Template and Guidance for Creating a 'National Roadmap' to Support eCDT Adoption and Implementation
Annex 3: Guide to Available eCDT Resources and Tools

C. Proposed Timeline



What is the timeframe? When will the following occur?

- National-level inputs on the development of Regional Guidelines sections/language?
- National-level inputs on the development of national roadmaps (each country in sub region)?
- Sub-regional review and inputs on a draft set of Regional Guidelines?

D. Steering Committee

Purpose: To provide quarterly guidance on the overall guidelines development process and technical feedback on the content and review

Target: 5-7 members; 1 from each sub-region (n=3) + 1 from SEAFDEC + 1 from CTI-CFF ?

Selection Criteria for Nominees:

- Representative from a competent authority agency (national government) or organization that is committed to the adoption and implementation of eCDTS and fisheries traceability
- Has strong working relationships, trust, and respect of the other relevant competent authorities (all national government agencies) within the sub-region
- Can represent the interests of the sub-region as well as own national interests
- Is willing to work with and support USAID Oceans, SEAFDEC, and the CTI-CFF in their efforts to develop Regional Guidelines for eCDT adoption and implementation
- Is willing to engage quarterly for a half day within a Steering Committee meeting, either via conference call or in person