

# SULU-SULAWESI SEASCAPE

## ECOSYSTEM APPROACH TO FISHERIES MANAGEMENT (EAFM) IMPLEMENTATION PLANNING MEETING

June 2-5, 2015  
Manado, Indonesia



# **SULU-SULAWESI SEASCAPE ECOSYSTEM APPROACH TO FISHERIES MANAGEMENT (EAFM) IMPLEMENTATION PLANNING MEETING**

**JUNE 2-5, 2015 (MANADO, INDONESIA)**

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# ACRONYMS

ADB	Asian Development Bank
AMFRD	Institute for Marine Research and Observation (Indonesia)
BFAR	Bureau of Fisheries and Aquatic Resources (Philippines)
CTI-CFF	Coral Triangle Initiative on Coral Reefs, Fisheries and Food Security
CI	Conservation International
CT	Coral Triangle
DENR	Department of Environment and Natural Resources (Philippines)
DOS	Department of Environment (Malaysia)
DOST	Department of Science and Technology (Philippines)
EAFM	Ecosystem Approach to Fisheries Management
EI	Ecological indicator
EMA	Ecological management action
GI	Governance indicator
GMA	Governance management action
GO	Governance objective
GIZ	Gesellschaft für Technische Zusammenarbeit (German Technical Cooperation Agency)
IUU	Illegal, unregulated, and unreported
LIPI	Lembaga Ilmu Pengetahuan (Indonesia Institute of Sciences)
LRFFT	Life reef food fish trade
MMAF	Ministry of Marine Affairs and Fisheries (Indonesia)
MOEF	Ministry of Environment and Forests (Indonesia)
MOSTI	Ministry of Science, Technology and Innovation (Malaysia)
NGO	Non governmental organization
NOAA	National Oceanic and Atmospheric Administration (US)
NFRDI	National Fisheries Research and Development Institute (Philippines)
PEMSEA	Partnership in Environment Management for the Seas of East Asia
SEAFDEC	Southeast Asian Fisheries Development Center
TNC	The Nature Conservancy

WWF	World Wildlife Fund
MCS	Monitoring, control, and surveillance
SI	Socioeconomic indicator
SM	Socioeconomic management action
SO	Socioeconomic objective
SSME	Sulu-Sulawesi Marine Ecoregion
UMS	Malaysian University of Sabah
UN-FAO	United Nations Food and Agriculture Organization
USAID RMDA	U.S. Agency for International Development, Regional Development Mission for Asia
UP	University of the Philippines
UPMSI	Marine Science Institute, University of the Philippines
WPP	Fisheries management area (Indonesia)



# EXECUTIVE SUMMARY

The 4-day Sulu-Sulawesi Seascape Ecosystem Approach to Fisheries Management (EAFM) Implementation Planning Meeting was the first multi-national meeting in the Coral Triangle (CT) region aimed at developing operational plans to implement transboundary EAFM. The meeting was supported by the Coral Triangle Initiative on Coral Reefs, Fisheries and Food Security (CTI-CFF) and the U.S. Agency for International Development, Regional Development Mission for Asia (USAID RMDA), the Asian Development Bank (ADB), and GIZ, and was facilitated primarily by the U.S. National Oceanic and Atmospheric Administration (NOAA).

The participants defined a Fisheries Management Unit that covers the transboundary area of the Sulu-Sulawesi Seascape shared by Malaysia, Indonesia and the Philippines, the participants applied the EAFM planning process to develop a draft EAFM plan that identified a common vision to address prioritized issues in the Fisheries Management Unit. Meeting participants included senior officers, and monitoring, control, and surveillance (MCS) leads from the fisheries ministries of the Philippines and Indonesia; representatives from the CTI-CFF Regional Secretariat, Southeast Asian Fisheries Development Center (SEAFDEC), international non-governmental conservation organizations (World Wildlife Fund and Conservation International), and funding and development agencies (USAID RDMA, Asian Development Bank (ADB), Project RETA 7813ADB, and GIZ).

On the first day, participants from Indonesia and the Philippines summarized the fisheries management issues of the Sulu–Sulawesi Seascape. This was followed by presentations on background of Sulu–Sulawesi Seascape and an overview of prioritized transboundary problems based on action plans and related documents<sup>1</sup> by ADB and GIZ consultants. The participants revisited the results of the Transboundary Diagnostic Analysis (Sulu Sulawesi Marine Ecoregion Tri-National Committee, 2013), prioritized and agreed on the key issues. They also defined the Fisheries Management Unit and established a common vision for the Sulu–Sulawesi Seascape. It was agreed that unsustainable exploitation of fish and fisheries resources, transboundary illegal, unregulated, and unreported (IUU) fishing, habitat loss, and community modification remained the main issues and threats in the region. The following vision was agreed and guided the rest of the EAFM planning activities:

*By 2035, the Sulu-Sulawesi Seascape is ecologically healthy and delivers ecosystem services that provide equitable socio-economic and cultural benefits through generations, by collaborative and sustainable fisheries management across all political and cultural boundaries.*

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<sup>1</sup> Key documents include:

- Asian Development Bank. 2011. *Comprehensive Action Plans of the Sulu-Sulawesi Marine Ecoregion: A Priority Seascape of the Coral Triangle Initiative*. Mandaluyong City, Philippines: Asian Development Bank. 143pp.
- Sulu Sulawesi Marine Ecoregion Tri-National Committee. 2013. *Strategic Action Program for the Sulu-Celebes Sea Large Marine Ecosystem*. Prepared for the Sulu-Celebes Sea Sustainable Fisheries Management Project under GEF/UNDP/UNOPS. 19 pp.

During the next 3 days, the activities focused on: establishing goals and operational objectives for a draft transboundary EAFM plan; identifying opportunities and constraints to the goals; developing specific management actions with indicators and benchmarks; and creating lists of key stakeholders in Indonesia and the Philippines.

The draft EAFM plan in the following pages will be shared with the fisheries leadership and key stakeholder groups in each country for discussion and feedback. As the representatives from Malaysia were not able to attend the meeting, possibilities were discussed to have representatives from Indonesia and the Philippines to travel to Malaysia and integrate input from Malaysia into the next version of the draft EAFM plan. As early as September 2015, the participants will reconvene in a subsequent workshop to revise the draft plan and implement the rest of the EAFM planning steps that were not covered during the first workshop. The product of the next workshop will be an updated transboundary EAFM plan that fully incorporates inputs from all three Sulu Sulawesi Seascape countries and and initial preparations for its implementation across the transboundary Sulu Sulawesi Seascape.



# INTRODUCTION

Over recent years, multiple agencies and organizations have partnered in national and international efforts to sustainably manage fisheries and combat IUU fishing. In establishing the CTI-CFF Regional Plan of Action in 2009, the six countries of the Coral Triangle identified an “Ecosystem Approach to Management of Fisheries (EAFM) and other marine resources fully applied” as Goal 2 since it is considered the preferred option and best management practice for the long-term sustainability of fisheries and the ecosystem services provided to society (e.g. food security, livelihoods, economic security, coastal protection, human health and well being). In general terms, an EAFM is a participatory process that engages stakeholders in effort striving to balance ecological well-being and human well-being through the use of good governance.

There is a growing recognition in the Coral Triangle region of the need to initiate implementation of an EAFM starting with improving understanding of the concept of an EAFM in the region. While there is yet no EAFM-specific legislation in any of the six CTI-CFF countries, there are laws and policies that provide support for the guiding principles of an EAFM. Since 2011 the CTI EAFM Technical Working Group has been working towards establishing a regional framework for EAFM while many of the CTI-CFF countries have developed companion national EAFM frameworks. To build capacity toward an EAFM for CTI-CFF and the other Southeast Asia countries, a 5-day training course entitled *Essential Ecosystem Approach to Fisheries Management* was jointly developed by NOAA, USAID, the Asia Pacific Fishery Commission, the Bay of Bengal Large Marine Ecosystem project of the UN-FAO, and IMA International and adopted by the Southeast Asian Fisheries Development Center (SEAFDEC) for regional institutionalization focusing on the Association of Southeast Asian Nations (ASEAN), Bay of Bengal, and CTI-CFF countries. To date, more than 23 *Essential EAFM* trainings with 645 trainees and 8 EAFM training-of-trainers courses with 88 new trainers have been conducted.

Following and concurrent with on-going efforts regionally and nationally to build capacity in an EAFM, the development of operational EAFM plans for on-the-ground implementation is being pursued. This meeting focused on the development of a draft EAFM plan for a Fisheries Management Unit covering the transboundary area among countries within the Sulu–Sulawesi Seascape, namely Malaysia, Indonesia and the Philippines. The Sulu–Sulawesi Seascape is one of the most biologically diverse and most threatened marine environments in the heart of the Coral Triangle where high demands for fishing and coastal resources extend across the political and cultural boundaries of Indonesia, Malaysia, and the Philippines.

## OBJECTIVES AND EXPECTED RESULTS

Based on the EAFM planning process, NOAA and the CTI-CFF partners provided technical guidance and facilitated a four-day EAFM Implementation planning meeting. The main objective of this facilitated meeting was to apply the EAFM planning process amongst primarily the key governmental stakeholders of the Sulu–Sulawesi Seascape with the aim of developing a draft EAFM plan that addresses the agreed priority issues in the Sulu–Sulawesi Seascape. While such a draft EAFM plan is the most tangible product of this

meeting, there were other notable outcomes, including the willingness, active engagement, and positive outlook of all the parties involved to continue working together to implement the final EAFM plan that will help ensure sustainable fisheries that benefits both people and ecological systems.

## **PARTICIPANTS AND CRITERIA**

2-3 participants from each of the 3 CTI-CFF Southeast Asia (Sulu-Sulawesi Seascape) countries were invited to join the meeting. These participants were to represent the following groups:

- 1) Senior fisheries managers who understand the threats, concerns and issues of the transboundary issues in the Sulu-Sulawesi Seascape and the complexity of fisheries management implementation in transboundary areas. They have authority in management decision-making and policy development;
- 2) MCS leads;
- 3) EAFM experts who have been or plan to be involved in implementing an EAFM.

Participants from Indonesia and Malaysia attended the meeting. The representatives from Malaysia were not able to attend the meeting.



# DAILY SUMMARY



## Day 1 – June 2, 2015

On the morning of Day 1, June 2, opening comments were delivered by Dr. Aryo Hanggono (Director, Fisheries Resources, Ministry of Marine Affairs and Fisheries of the Republic of Indonesia and CTI-CFF Regional EAFM-TWG Chair), Dr. Widi Agoes Pratikto (Executive Director, CTI-CFF Regional Secretariat), and Dr. Rusty Brainard (Division Chief of Coral Reef Ecosystem Division of NOAA Pacific Islands Fisheries Science Center). Dr. Robert Pomeroy (Professor, University of Connecticut and NOAA EAFM team member) gave brief overviews of the workshop and EAFM. The participants introduced each other. The CTI-CFF EAFM points-of-contact for Indonesia and the Philippines, Ms. Erni Widjajanti (Directorate for Fisheries Resources (SDI), MMAF) and Ms. Jessica Munoz (Supervising Aquaculturist, BFAR), shared summaries of key issues in Indonesia (WPP 716) and the Philippines, respectively. Dr. Annadel Cabanban (Regional Consultant ADB, project RETA 7813 and EAFM Specialist) and Rex Montebon (Consultant, GIZ SSME Project, Philippines) presented overviews of agreements in the SSME region, and the priorities issues and their root causes based on the Transboundary Diagnostic Analysis conducted in 2012. The afternoon was devoted to applying steps to the EAFM planning process to identify the fisheries management unit, key issues and threats, and to develop a vision statement. The day ended with a brief presentation on EAFM goal development by NOAA.

## Day 2 – June 3, 2015

Participants were divided into groups to discuss and identify priorities for the three components of an EAFM: ecological well-being, human well-being (socio-economics), and good

governance. The members remained in their respective groups for all subsequent activities. Each of the groups was facilitated by a NOAA, with Dr. Brainard facilitating the ecological well-being group, Dr. Pomeroy facilitating the governance group, and Dr. Wongbusarakum facilitating the socioeconomic group. Each of the groups discussed and reached consensus on high-level goals, followed by constraints and opportunities related to the prioritized goals. In the afternoon the groups initiated development of specific operational objectives for each of the EAFM goals.

### **Day 3 – June 4, 2015**

The groups continued with the development of the operational objectives for an EAFM in the morning. Dr. Wongbusarakum gave a brief presentation on developing indicators for monitoring and evaluating performance in achieving the objectives. The groups then developed indicators and benchmarks for each of the agreed upon objectives. In the afternoon, each of the groups initiated development of specific management actions aimed at achieving each of the objectives. The day ended with Governor Sinyo Harry Sarundajang of North Sulawesi hosting a dinner for the participants at a local restaurant.

### **Day 4 – June 5, 2015**

Each of the breakout groups continued to develop management actions for each of the operational objectives. Indonesia and Philippine groups then identified key stakeholders and strategies to engage them. USAID/DOI/NOAA hosted a closing dinner at the Novotel, Manado.

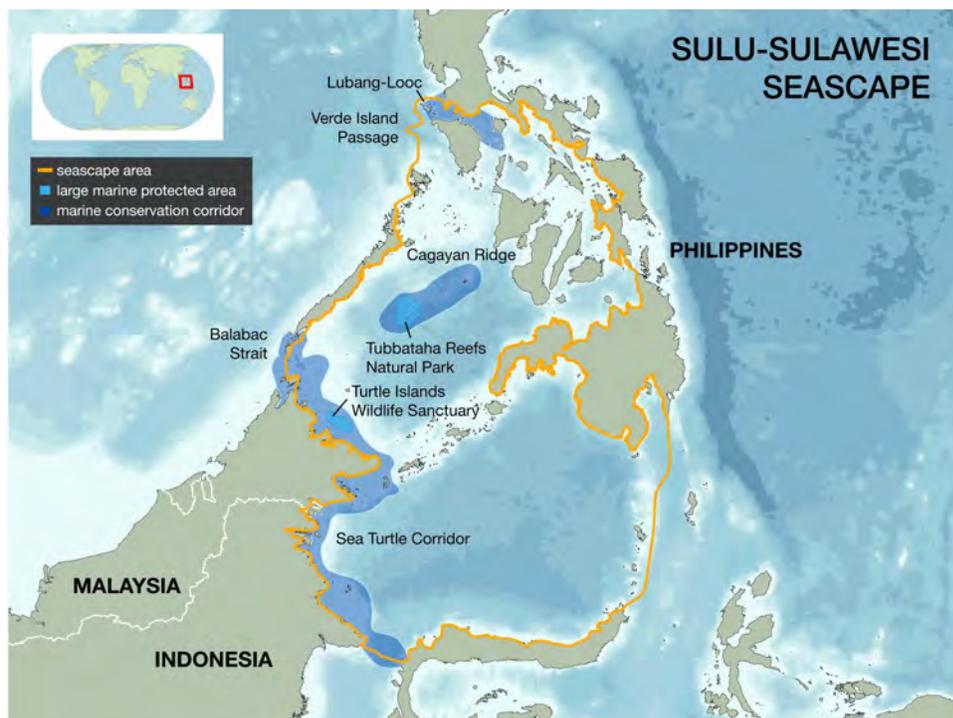


# DRAFT EAFM PLAN

This section summarizes the agreements for each of the steps of the EAFM planning process and serves as an initial draft EAFM plan for the participants from the Philippines and Indonesia and the Malaysian representatives to review with the relevant stakeholders in each of the three countries. Their inputs will be used to revise the existing draft EAFM plan so that it can be further developed and completed during the 2<sup>nd</sup> Sulu-Sulawesi Seascape EAFM Implementation Planning Meeting, scheduled to take place in the fall of 2015.

## I. FISHERIES MANAGEMENT UNIT

The Sulu Sulawesi Seascape<sup>2</sup> was proposed and agreed upon as the Fisheries Management Unit. Small pelagic species were decided for the initial focus under the understanding that the EAFM plan would likely evolve to include additional fisheries within the Fisheries Management Unit over time. Small pelagics were identified to include: *Decapterus maccarellus* (Indonesia), *Decapterus macrosoma* (Philippines), *Selar crumenophthalmus*, *Sardinella lemuru*, and *Rastrelliger kanagurta*. Other species likely to be brought into the EAFM plan over time may include Live Reef Food Fish (LRFF) and tunas. At present, the Philippines is conducting research of *Sardinella lemuru* and will continue the research on the species.



Map of the Sulu-Sulawesi Seascape.

Image: Marine Conservation Institute (2014), MPAtlas [On-line]. Seattle, WA. Available at: <http://www.mpatlas.org> [Accessed (03/08/2015)].

<sup>2</sup> The term Sulu Sulawesi Seascape has been agreed by the meeting participants to be used instead of Sulu-Celebes Sea Large Marine Ecosystem or Sulu-Sulawesi Marine Ecoregion.

## 2. ISSUES AND THREATS

Based on the results of the 2012 Transboundary Diagnostic Analysis<sup>3</sup>, it was agreed that unsustainable exploitation of fish, habitat loss and community modification were the main issues and threats of the Fisheries Management Unit. The detailed fishery, governance and socioeconomic aspects of these issues and threats were explored and summarized as follows.

### Unsustainable exploitation of fish

#### *Fishery*

- Illegal fishing: blast fishing, poaching by foreign fishers, too small mesh size (fry fishery), super bright underwater light fishing, multiple/duplicate registration/double licensing
- Destructive fishing: blast fishing, electric fishing
- Unreported/under-reported/falsely reported fishing
- Unregulated fishing
- Overfishing: Too many fish aggregating devices, overcapacity (too many boats and too much fishing capacity of the boats), live bait fish, overexploiting of spawning sites

#### *Governance*

Weak enforcement capacity (lack of training); corrupt enforcers; lack of resources (financial, human, logistics), and the will to manage cross-boundary species, lack of science and reliable data for sound policy decision-making.

#### *Socioeconomic*

Lack of alternative livelihoods, lack of means to bring harvest to markets, mass migration to the coast

#### *Habitat loss and community modification*

Coastal modification, e.g. mangrove destruction, reclamation

## 3. VISION STATEMENT

By 2035, the Sulu-Sulawesi Seascape is ecologically healthy and delivers ecosystem services that provide equitable socio-economic and cultural benefits through generations, by collaborative and sustainable fisheries management across all political and cultural boundaries (adopted, with change of target year, from Sulu-Celebes Sea Sustainable Fisheries Management Project: Regional Strategic Action Program 2013)

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<sup>3</sup> Sulu Sulawesi Marine Ecoregion Tri-National Committee 2013. Strategic Action Program for the Sulu-Celebes Sea Large Marine Ecosystem. Prepared for the Sulu-Celebes Sea Sustainable Fisheries Management Project under GEF/UNDP/UNOPS. 19 pp.

## Special Notes

Notes highlighted in yellow show important additional considerations for an EAFM plan. They were not adequately addressed due to the lack of time in the workshop.

Notes highlighted in blue show particular links with other components related to ecological well-being, human (socioeconomic) well-being, and good governance sections.

Relevant CTI-CFF Regional Plan of Action indicators are highlighted in green.

## 4. GOALS, CONSTRAINTS, OPPORTUNITIES, OBJECTIVES, INDICATORS AND MANAGEMENT ACTIONS

### 4.1 Human Well-being (Socioeconomic) Goals, Constraints, and Opportunities

***Human Well-being (Socioeconomic) Goal: Resilient and self-reliant coastal communities through sustainable livelihoods and equitable access to resources and basic social services.***

#### Human Well-being (Socioeconomic) Goal Constraints

“How to bring the opportunities to the coastal communities and do it successfully”

1. Complexity of poverty issue
2. Limited institutional capacity in managing resources and livelihoods
3. Lack of knowledge (climate change and impacts, marketing, possible technology)
4. Limited access to market and basic social services (remoteness, lack of transportation, infrastructure, lack of social services that could be provided also by non-governmental organizations (NGO))
5. Lack of participation of business/private sectors/NGO
6. Attitudes and willingness (Qwerty phenomena, maximization of profit, long time to change)



7. The lack of involvement in developing options (lack of sustaining local stakeholder participation, lack of local management systems, or knowledge not understood or not taken into consideration)
8. Lack of current economic valuation of fishery and ecosystem services

### **Human Well-being (Socioeconomic) Goal Opportunities**

1. Available technology
2. Available knowledge and methodologies to analyze different issues
3. EAFM
4. Available financing
5. Favorable governmental programs
6. In some places, there are good resources
7. Local knowledge

## **4.2 Human Well-being (Socioeconomic) Objectives (SO), Human Well-being (Socioeconomic) Indicators (SI), and Human Well-being (Socioeconomic) Management Actions (SMA)**

### **Human Well-being (Socioeconomic) Objective I (SO-I):**

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By 2025 for the Sulu-Sulawesi Seascape coastal communities where small-pelagics (initially *Decapterus maccarellus* (Indonesia), *Decapterus macrosoma* (Philippines), *Selar crumenophthalmus*, *Sardinella lemuru*, and *Rastrelliger kanagurta*) are utilized to at least reach the level of minimum income defined by the provinces in the Sulu–Sulawesi Seascape through improved marketing, better access to the market, and reducing the post-harvest loss.

#### **Indicators:**

- SI-I.1: Percent change of average household income of small pelagic fishers and non-fishers  
 - based on the fishers registration (Philippines)  
 - data available at the district level (Indonesia)
- SI-I.2: Percent change of catch processed by processing units, canneries/small-medium enterprises (data from processors, and district/municipal and provincial governments for catch and processing data)
- SI-I.3: Percent change in average income of coastal households compared to baseline

#### **Relevant CTI-CFF Regional Plan of Action indicators:**

**C-1: Change in fish consumption per capita**

**C-3: Income of fishers**

#### **Management Actions and responsible lead parties:**

(Good Governance needs to be involved to ensure benefits to the fishers and fair trade, and to facilitate achieving minimum income level)

SMA-I.1: Capacity building and technical assistance on fish handling and processing.  
 Government (BFAR, MMAF, local government); NGO; private sector; research institution

SMA-1.2: Provide infrastructure (fish landing ports, cold-chain and transport systems, etc.) to market the catch. Government (BFAR, MMAF, local government); private sector (linked to water quality regulations of the Ecological Well-being Group; infrastructure development linked to Good Governance Group, also Objective 4 of Good Governance Group)

SMA-1.3: Create and build the capacity (including ability to negotiate) of the fisher's association/groups to market their products. Government (BFAR, MMAF, local government); NGO; private sector; research institutions (for new fishery product development) (linked to Objective 6 of Good Governance on organizational capacity building)

### **Human Well-being (Socioeconomic) Objective 2 (SO-2):**

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By 2035, at least 20% of Sulu–Sulawesi Seascape households have diversified sustainable income sources, including non-fishery related livelihoods and climate resilient sources of income.

#### **Indicator:**

SI-2: Income composition per fishing household EAFM

SI-1.1: Percent change of average household income of small pelagic fishers and non-fishers

#### **Relevant CTI-CFF Regional Plan of Action indicators:**

C-1: Change in fish consumption per capita

C-3: Income of fishers

#### **Management Actions and responsible lead parties:**

(linked to Objective 6 of Good Governance group; restoration activities of the Ecological Well-being group; Ecological Well-being group should consider responding to the need for information on viable livelihood/climate resilient options)

SMA-2.1: Identification of viable livelihood opportunities (through feasibility studies) that are also climate resilient. Government, NGO, academe, research institutions, private sector, regional organizations, and bi- and multi-lateral agreements

SMA-2.2: Provide relevant skills, trainings, technical assistance and resources to ensure the sustainability for new livelihood opportunities. Government, NGO, academe, research institution, private sector, regional organizations, and bi- and multi-lateral agreements

### **Human Well-being (Socioeconomic) Objective 3 (SO-3):**

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Coastal communities have climate change adaptation plan in place and operational, with particular focus on fishery sector.

- Philippines 100% of Sulu–Sulawesi Seascape coastal communities by 2025
- Indonesia 30% by 2025

- Malaysia (To be determined)

**Indicator:**

SI-3: % of coastal communities with climate change adaptation plans that are operational

Relevant CTI-CFF Regional Plan of Action Goal 4 Climate adaptation indicator:

4.1.3 Proportion of local governments that have integrated climate adaptation into local governance (plans and actions)

**Management Actions and responsible lead parties:**

(Ecological Well-being group to consider including objectives/activities related to climate impacts on small pelagics; Good Governance group to include climate change in Objective 6)

SMA-3.1: Facilitate the development of the climate change adaptation plans in coastal communities involved in small pelagic fisheries. Government (MMAF & BFAR and local government units as the lead for the Philippines), NGO, academe, research institution, regional organizations, and multi- and bi-lateral agreements

SMA-3.2: Capacity building for development and implementation of climate change adaptation plans specifically applicable to communities dependent on small pelagic fisheries. Government, NGO, academe, research institution, regional organizations, and multi- and bi-lateral agreements

SMA-3.3: Government and private sector to provide operational support for the implementation of climate change adaptation plans. Government, NGO, academe, research institution, regional organizations, and multi- and bi-lateral agreements

**Human Well-being (Socioeconomic) Objective 4 (SO-4):**

By 2025, 25% of fishing households in Sulu–Sulawesi Seascape coastal communities, including indigenous peoples, have access to technical and financial resources and basic social services.

**Indicators:** (need to be revised after management activities are developed)

SI-4.1: Improvement of basic social services to X% of coastal communities (Indonesia and Philippines)

SI-4.2: Number of financial institutions that provide credit for fishers (Indonesia)

SI-4.3: Number of activities facilitating connections between fisher cooperatives or associations and financial institutions and governmental agencies (or number of fishers households connected with financial institutions through certain programs/activities) (Philippines)

SI-4.4: Number of fishers' households assisted in application for micro-credits (Philippines)

EAFM-1: Relevant CTI-CFF Regional Plan of Action EAFM indicator: Number of projects and programs implementing an EAFM and components thereof

### **Management Actions and responsible lead parties:**

SMA-4.1: Provide assistance in developing technical and financial proposal for fisheries and non-fisheries livelihood activities, and basic social services. Government (Lead: MMAF, BFAR), relevant governmental agencies, NGOs, financial institutions, research/academic institutions

SMA-4.2: Link small fishers groups to financial/credit support institutions and other government institutions. Government (Lead: MMAF, BFAR), NGOs, financial institutions

SMA-4.3: Strengthen collaboration and partnership among different stakeholders at national and local levels to improve equitable access to basic social services. Government (Lead: MMAF, DA-BFAR), NGOs, private sectors, financial institutions (shared with Governance)

### **4.3 Good Governance Goals, Constraints, and Opportunities**

***Good Governance Goal: Improved ecosystem approach to managing fishery resources through effective governance mechanisms and operational implementation (including capacity building) and enforcement of regulations, national and transboundary, including prosecution.***



#### **Good Governance Goal Constraints**

1. Gaps in meaningful partnership
2. Financial constraints
3. Lack of in-country sectoral cooperation
4. No continuity of programs with change in leadership
5. Follow-up actions with higher authorities are inconsistent
6. Stakeholder engagement not sustained
7. Gaps in capacity at various levels

8. Limited access to information
9. Lack of fishery regulatory facilities

### **Good Governance Goal Opportunities**

1. Existing policies and regulations
2. Regional institutions and arrangements
3. Increased awareness of fishermen and consumers and bureaucrats
4. Support of organizations (donors, NGOs, governments)
5. Privatization of enforcement/community participation in enforcement
6. More technology breakthroughs, e.g. Enforcement, enhancement of production
7. Existing bi-lateral agreements among Sulu-Sulawesi countries
8. Existing forums, e.g. BIMP-EAGA (Brunei, Indonesia, Malaysia, Philippines-East ASEAN Growth Area)

## **4.4 Governance Objectives (GO), Governance Indicators (GI), and Governance Management Actions (GMA)**

### **Good Governance Objective 1 (GO-1):**

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By 2020 to document and register all fishermen involved in small pelagic fisheries

#### **Indicators:**

GI-1.1: No. of fishers registered

GI-1.2: No. of fisherfolk

EAFM-1: Number of projects and programs implementing EAFM and components thereof

#### **Management actions:**

GMA-1.1: Campaign on registration system

GMA-1.2: Develop simple registration system

GMA-1.3: Local ordinance requiring registration

GMA-1.4: Registration card linked to an incentive

GMA-1.5: Orientation session during registration (to obtain license)

### **Good Governance Objective 2 (GO-2):**

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By 2025 to inform and increase understanding among fisheries stakeholders about EAFM (more specific so that it is measurable)

- Fishers: 50% for Indonesia; 80% for Philippines
- Consumers: 10%
- Fish Traders (buyers, wholesalers, retailers, processors, exporters): 20%
- Fisheries Managers: 100%

#### **Indicators:**

GI-2.1: No. of meetings, forums, outreach materials

GI-2.2: No. of individuals covered by outreach programs

GI-2.3: No. of individuals incorporating an EAFM in their work or have transformed behavior (to cover % increase in understanding to be determined through post-meeting)

evaluation)

EAFM-1: Number of projects and programs implementing an EAFM and components thereof

**Management actions:**

GMA-2.1: Develop materials for different audiences

GMA-2.2: Public education campaign through the supply chain and fisher households

GMA-2.3: Utilize tri-media and opinion-makers and champions to inform and educate

GMA-2.4: Managers encourage fishermen to establish partnership

**Good Governance Objective 3 (GO-3):**

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By 2025 to integrate the principles of ecosystem approach into fisheries management policies and guidelines at regional, national and local levels; 7 principles of an EAFM adopted into policy guidelines at any level of governance

**Indicator:**

GI-3.1: Enabling local ordinances in place to support an EAFM

**EAFM-2 CTI-CFF Regional Plan of Action Goal 2: Number of policies and regulations promoting EAFM at regional and national levels with regulatory framework and budget allocated for their operationalization**

**Management actions:**

GMA-3.1: Review of existing policies and guidelines to assess principles

GMA-3.2: Develop policy recommendations and revise policies as necessary

GMA-3.3: Review Educate national and local policy makers on principles of an EAFM

GMA-3.4: Review Develop sectoral and inter-sectoral plans in a more coordinated and integrated manner at national and local levels

GMA-3.5: Review Certification system for EAFM implementation (in the long term)

**Good Governance Objective 4 (GO-4):**

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By 2025 to formulate and implement mechanisms and build capacity to prevent, deter and eliminate IUU fishing activities in Sulu–Sulawesi Seascape

**Indicators:**

GI-4.1: No. of task forces established/organized

GI-4.2: Increase in no. of trained enforcers

GI-4.3: No. of operational facilities (e.g. boats,)

GI-4.4: Financial resources allocated to enforcement (i.e. operations)

GI-4.5: No. of incidents reported by public

GI-4.6: New technologies applied (e.g. apps, tools)

**EAFM-2 (RPoA Goal 2): Number of policies and regulations promoting an EAFM at regional and national levels with regulatory framework and budget allocated for their operationalization**

**Management actions:**

GMA-4.1: Establish task forces

GMA-4.2: Evaluate status of illegal fishing

- GMA-4.3: Conduct inventory of active duty task forces
- GMA-4.4: Develop standard operating procedures for operation plans
- GMA-4.5: Conduct joint patrolling operation between fishermen and managers and law enforcement agencies
- GMA-4.6: Programs to support community-based enforcement (e.g. legal assistance)
- GMA-4.7: Ensure adequate operational facilities to combat IUU fishing
- GMA-4.8: Ensure adequate budget for combatting IUU fishing activities
- GMA-4.9: Training of traders and consumers to identify illegally caught fish
- GMA-4.10: Apply new technologies
- GMA-4.10: Refresher course on the Code of Conduct for law enforcement officials

### **Good Governance Objective 5 (GO-5):**

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By 2025 to improve capacity of judicial and correctional process to address offenses against fisheries, marine resources and environment in Sulu–Sulawesi Seascape

#### **Indicators:**

- GI-5.1: %increase in no. of cases prosecuted
- GI-5.2: % increase in no. of convictions
- GI-5.3: No. of trained judges and prosecutors on appreciating the value of marine resources
- GI-5.4: No. of repeat-offenders

**EAFM-1: CTI-CFF Regional Plan of Action: Number of projects and programs implementing EAFM and components thereof**

#### **Management actions:**

- GMA-5.1: Develop training materials for the judges and prosecutors
- GMA-5.2: Refresher course for judges and prosecutors on the Code of Conduct for Responsible Fisheries
- GMA-5.3: Train judges and prosecutors on appreciation of marine resources
- GMA-5.4: Creation of specialized courts for fisheries cases
- GMA-5.5: Legal guidelines for prosecution
- GMA-5.6: Comparative study of laws, especially penalties to harmonize laws and penalties
- GMA-5.7: Incentive system to make IUU fishing as an extraordinary crime (similar to logging and drugs)
- GMA-5.8: Develop EAFM training in correctional institutions
- GMA-5.9: Require community service work for criminals such as mangrove planting

### **Good Governance Objective 6 (GO-6):**

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By 2025, strengthen collaboration and partnership among different stakeholders at regional, national and local levels through co-management, by increasing co-planned and cost shared activities.

#### **Indicators:**

- GI-6.1: No. of stakeholders (means organizations) involved
- GI-6.2: No. of organizations composed of fisherfolk created
- GI-6.3: No. of co-management agreements/arrangements
- GI-6.4: No. of co-planned activities

## EAFM-1: CTI-CFF Regional Plan of Action EAFM indicator: Number of projects and programs implementing EAFM and components thereof

### Management actions:

- GMA-6.2: Organize fishermen
- GMA-6.3: Organize different stakeholders to participate in co-management
- GMA-6.4: Develop a co-management mechanism at local, national and regional levels
- GMA-6.5: Inventory of existing organizations and co-management arrangement and identify gaps
- GMA-6.6: Review challenges faced by fishermen organizations to participate in co-management
- GMA-6.7: Develop incentive mechanisms to encourage co-management and through better joint planning and project development

### Good Governance Objective 7 (GO-7):

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2025 to enhance access to fisheries information (policies, laws, market prices, guidelines, catch, registration) by fisheries stakeholders in the Sulu–Sulawesi Seascape.

### Indicators:

- GI-7.1: No. of new information tools
- GI-7.2: No. of visits to websites
- GI-7.3: No. of multimedia materials targeted for small-scale fishers
- GI-7.4: No. of volunteers for fisheries or conservation work
- GI-7.5: No. of youth reached by the International Electrotechnical Commission (IEC)
- GI-7.6: No. of fora where fisheries take a center stage.

### Management actions:

- GMA-7.1: Develop a website with portals on different information by country and region
- GMA-7.2: Develop new information tools, i.e. special radio channels, Short Message Service (SMS), apps (linked to Socioeconomic group)
- GMA-7.3: Combine with other government services which provide information such as health (linked to Socioeconomic group)
- GMA-7.4: Develop multi media information for small fishers such as comic/storybooks, coloring books, video games, videos
- GMA-7.5: Work with religious organizations to share information
- GMA-7.6: Develop volunteer program through training
- GMA-7.7: Raise awareness climate change impacts on fisheries
- GMA-7.8: Make use of local celebrations to disseminate information e.g. Coral Triangle Day on June 9
- GMA-7.9: Develop and integrate an EAFM curricula into schools with local content (for Indonesia) or in annual science youth camps (for Philippines)
- GMA-7.10: Integrate an EAFM in boys/girls scouts camp
- GMA-7.11: Utilize popular publications to have articles on heroes and environmental stories
- GMA-7.12: On-site visits/orientation on an EAFM with local legislators, journalists, students (e.g. Adipura for Indonesia, MPA Awards for Philippines, Women Leaders Awards)
- GMA-7.13: Development of annual EAFM award on best practices

## 4.5 Ecological Well-being Goals, Constraints, and Opportunities

**Ecological Well-being Goal 1: Sustainable fisheries and other living marine resources, starting with small pelagic fisheries and expand to other fisheries at a later time**

### Ecological Well-being Goal Constraints

1. Cost
2. Poor baseline data and science/knowledge of ecological connectivity
  - a. Catch, biology, ecology
3. Lack of transboundary structure/legal framework/governance
4. Insufficient EAFM capacity
  - a. Enforcement
5. Insufficient inter-agency cooperation
6. Lack of fisheries appreciation in national political framework
7. Poor data sharing mechanisms
8. Lack of networking among academic and research institutions in the Coral Triangle region to generate needed science to support the management

### Ecological Goal Opportunities

1. Planned and ongoing EAFM projects in the region
  - a. ADB, GIZ, USAID
2. Memorandum of Understanding (MOU)
  - a. SEAFDEC and CTI-CFF
  - b. CTI-CFF Resolution on Live Reef Food Fish Trade
3. Increase awareness of EAFM as solution to IUU
4. Utilizing and sharing developed EAFM training programs/materials to increase capacity
5. Influencing non-fisheries political leaders to raise fisheries priorities through high level meetings in ASEAN region
6. Country Economies growing
7. ASEAN Economic Community integration (to start in December 2015)
8. Technology exchange and technical assistance in fishery management
9. Supporting institutions, including UBC and International Council for Science, Regional Office of Asia-Pacific (ICSU-ROAP), and 26 EAFM learning centers in Indonesia
10. Existing initiatives from local government network (LGN) on CTI-CFF in each country and their cooperation on the regional level

## 4.6 Ecological Well-being Objective, Ecological Well-being Indicators, and Ecological Well-being Management Actions

### **Ecological Well-being Objective 1 (EO-1) for Ecological Well-being Goal 1:**

Establish and maintain sustainable exploitation rates initially for *Decapterus maccairellus* (Indonesia), *Decapterus macrosoma* (Philippines), *Selar crumenophthalmus*, *Sardinella lemuru*, and *Rastrelliger kanagurta* by 2020.

## Indicators:

- EI-1.1: Science-based agreement among Indonesia, Philippines and Malaysia on sustainable exploitation rates and associated indicators for *Decapterus macarellus* (Indonesia), *Decapterus macrosoma* (Philippines), *Selar crumenophthalmus*, *Sardinella lemuru*, and *Rastrelliger kanagurta*.
- EI-1.2: Monitored catch levels are at or below established sustainable exploitation rates for *Decapterus macarellus* (Indonesia), *Decapterus macrosoma* (Philippines), *Selar crumenophthalmus*, *Sardinella lemuru*, and *Rastrelliger kanagurta*.

## Relevant CTI-CFF Regional Plan of Action indicators:

### Outcome Fish stocks improved and sustained:

B-1: Change in number of commercially important fish stocks overfished compared to baseline EAFM 2.1.1 Number of policies and regulations promoting EAFM at regional and national levels with regulatory framework and budget allocated for their operationalization

## Management Actions:

- EMA-1.1: Conduct technical data inventory, literature review and evaluate past projects such as the Sulu-Sulawesi Sea Sustainable Fisheries Management Project by country (catch and effort by gear type, biological, genetic, acoustic)
- Philippines – NFRDI, University of the Philippines Visayas, University of the Philippines Marine Science Institute, NGOs
  - Indonesia – LIPI, RCMFC/PAKSI, Research Institute for Marine Fisheries, SDI, NGOs
  - Malaysia- FRI, DOF Sabah, UMS, NGOs
  - International Orgs – SEAFDEC MFRDMD/TD, WorldFish, WCPFC
  - Private Fishing Industries within Sulu–Sulawesi Seascape
- EMA-1.2: Conduct technical workshop to compile and assess data quality, to identify gaps, develop research plan for establishing sustainable exploitation rate, and establish terms of reference for working groups
- EMA-1.3: Implement agreed upon research plan leading to the establishment of sustainable exploitation rates for the initial five species in Sulu–Sulawesi Seascape
- EMA-1.4: Conduct technical workshops to present, discuss and evaluate research results among the governments of the three countries and stakeholders.
- EMA-1.5: Disseminate the information, in country and sub-regional, and provide opportunities for stakeholder consultations
- EMA-1.6: Organize a technical advisory group to draft the resolution on sustainable exploitation rates (linked to Good Governance and Socioeconomic groups)
- EMA-1.7: Conduct an inter-governmental forum to develop, *inter-alia*, a resolution on sustainable exploitation rates signed at the Ministerial/Secretary level (linked to Good Governance Group)
- EMA-1.8: Implementation of resolution (linked to Good Governance Group)
- EMA-1.9: Formulate appropriate measures and regulations to implement sustainable exploitation rates (linked to Good Governance and Socioeconomic Groups)
- EMA-1.10: Monitor implementation and compliance

**Ecological Well-being Goal 2: Sulu-Sulawesi Seascape marine waters and habitats are healthy for fishery resources especially in the face of global climate change.**

**Ecological Well-being Objective 2 (EO-2) for Ecological Well-being Goal 2:**

Establish and maintain suitable parameters for water quality to support all stages of the life history of *Decapterus macarellus* (Indonesia), *Decapterus macrosoma* (Philippines), *Selar crumenophthalmus*, *Sardinella lemuru*, and *Rastrelliger kanagurta* by 2020.

**Indicators:**

EI-2.1: Science based agreement among Indonesia, Philippines and Malaysia on suitable parameters for water quality for all life history stages of *Decapterus macarellus* (Indonesia), *Decapterus macrosoma* (Philippines), *Selar crumenophthalmus*, *Sardinella lemuru*, and *Rastrelliger kanagurta*.

EI-2.2: Monitored water quality parameters are within prescribed levels for all life history stages of *Decapterus macarellus* (Indonesia), *Decapterus macrosoma* (Philippines), *Selar crumenophthalmus*, *Sardinella lemuru*, and *Rastrelliger kanagurta*.

**Relevant CTI-Regional Plan of Action indicators:**

**Outcome: Fish stocks improved and sustained:**

**B-1: Change in number of commercially important fish stocks overfished compared to baseline**

**EAFM 2.1.1 Number of policies and regulations promoting an EAFM at regional and national levels with regulatory framework and budget allocated for their operationalization**

**Management actions:**

EMA-2.1: Conduct technical and environmental data inventory, and literature review by country within Sulu–Sulawesi Seascape (such as sensitivity of species to water quality and environmental conditions)

- Philippines – DENR, UPMSI, UP Visayas, SEAFDEC AQD, NFRDI, DOST
- Indonesia – LIPI, AMFRD
- Malaysia – DOE, Malaysian University of Sabah (UMS), MOSTI
- International – PEMSEA

EMA-2.2: Conduct technical workshop across 3 countries to compile and assess data quality, to identify gaps, develop research plan for establishing suitable parameters for water quality, and establish terms of reference for working groups (possible coordination with management actions for Goal 1, Objective 1)

EMA-2.3: Implement agreed upon research plan leading to the identification of suitable water quality parameters to be monitored within Sulu–Sulawesi Seascape. Invoke ASEAN agreement of water quality standards

EMA-2.4: Conduct technical workshops to present, discuss and evaluate research results among the governments of the three countries and stakeholders. Output will be a monitoring plan on water quality, including linkages between fisheries and other concerned agencies, frequency of monitoring, and responsible institutions

- EMA-2.5: Dissemination of information to stakeholders including agencies responsible for land use, NGOs, etc. (linked to Socioeconomic group)
- EMA-2.6: Implementation of water quality monitoring plan
- EMA-2.7: Formulate or revise appropriate measures and regulations to implement suitable water quality parameters (linked to Good Governance and Socioeconomic groups)
- EMA-2.8: Monitor implementation and compliance with G (linked to Good Governance group)

### **Ecological Well-being Objective 3 (EO-3) for Ecological Well-being Goal 2:**

Maintain 95% of each of the existing mangroves forests and sea grass beds vital to all life history stages of *Decapterus macarellus* (Indonesia), *Decapterus macrosoma* (Philippines), *Selar crumenophthalmus*, *Sardinella lemuru*, and *Rastrelliger kanagurta* starting at the end of 2016, with other critical habitats by 2025.

#### **Indicators:**

- EI-3.1: Monitored area of mangrove forests in Sulu–Sulawesi Seascape is maintained at or above 95% of baseline established at the end of 2016.
- EI-3.2: Monitored area of sea grass beds in Sulu–Sulawesi Seascape is maintained at or above 95% of baseline established at the end of 2016.
- EI-3.3: By 2025, other critical habitats, including oceanographic processes, vital to all life history stages of *Decapterus macarellus* (Indonesia), *Decapterus macrosoma* (Philippines), *Selar crumenophthalmus*, *Sardinella lemuru*, and *Rastrelliger kanagurta* identified, mapped, and agreed upon by the three countries; and determine the feasibility of the application of the 95% criterion in each habitat and process.

#### **Relevant CTI-CFF Regional Plan of Action indicators:**

Goal 4.1.4 (climate): Area of Mangroves (hectares)

Outcome: A-1. Condition of coral reef

Outcome: A-2. Area of mangroves and seagrass

Outcome: A-4. Extent of coral reef and associated habitats in protected areas

#### **Management actions:**

- EMA-3.1: Establish baseline maps for existing mangrove forests and sea grass beds in the Sulu–Sulawesi Seascape
- EMA-3.2: Governance action needed to establish legal mandate to maintain 95% of existing mangrove forests and sea grass beds (linked to Good Governance)
- EMA-3.3: Conduct technical and environmental data inventory, and literature review on critical habitats that support all stages of life history for the five identified species by country within Sulu–Sulawesi Seascape (to be completed in conjunction with first management action of Goal 2, Objective 1)
- EMA-3.4: Conduct technical workshop to compile and assess data quality, to identify gaps, develop research plan for establishing other critical habitats, and establish terms of reference for working groups (possible coordination with management actions for Goal 1, Objective 1&2)
- EMA-3.5: Implement agreed upon research plan leading to the identification of other critical habitats within Sulu–Sulawesi Seascape.

- EMA-3.6: Conduct technical workshops to present, discuss and evaluate research results among the governments of the three countries and stakeholders.
- EMA-3.7: Dissemination of information to stakeholders including land-based agencies, NGOs, etc. ([linked to Socioeconomic group](#))
- EMA-3.8: Governance action needed to establish legal mandate to maintain 95% of established baseline for other critical habitats ([linked to Good Governance](#))
- EMA-3.9: Monitoring area of mangrove forests and sea grass beds in terms of cover, biomass, density and species diversity to ensure 95% is maintained

### **Ecological Well-being Objective 4 (EO-4) for Ecological Well-being Goal 2:**

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10% of determined baseline for degraded critical habitats in Sulu–Sulawesi Seascape (e.g. mangroves, sea grass) vital to all life history stages of *Decapterus macarellus* (Indonesia), *Decapterus macrosoma* (Philippines), *Selar crumenophthalmus*, *Sardinella lemuru*, and *Rastrelliger kanagurta* restored by 2025.

#### **Indicator:**

EI-4: Area of degraded critical habitat in Sulu–Sulawesi Seascape vital to the life history stages of *Decapterus macarellus* (Indonesia), *Decapterus macrosoma* (Philippines), *Selar crumenophthalmus*, *Sardinella lemuru*, and *Rastrelliger kanagurta* restored.

#### **Relevant CT-CFF Regional Plan of Action Outcome indicator:**

Higher outcome 1: Coral reef ecosystem integrity and services stabilized / maintained

Indicators A-1: Condition of coral reef (Threat reduction based on Reefs at Risk)

A-2: Area of mangroves and seagrass

A-4: Extent of coral reef and associated habitats in protected areas

#### **Management actions:**

- EMA-4.1: Determine the baseline for degraded habitats by country within the Sulu–Sulawesi Seascape
- Philippines – BFAR, DENR, UPMSI, UP Visayas, SEAFDEC, NFRDI, DOST
  - Indonesia – LIPI, AMFRD, MOEF
  - Malaysia – DOE, UMS, MOSTI
  - International – WWF
- EMA-4.2: Identify and prioritize degraded areas to be restored through consultative workshops among the government agencies and stakeholders of each country
- EMA-4.3: Organize a Sulu–Sulawesi Seascape technical workshop to formulate a habitat restoration plan for fisheries improvement among the three countries
- EMA-4.4: Link with CTI-CFF Seascapes working group, WorldFish CT-Atlas, and NGOs with habitat restoration programs
- EMA-4.5: Plan will include detailed mechanism for implementation
- EMA-4.6: Implement and monitor habitat restoration activities to track achievement of 10% objective



## 5. STAKEHOLDERS

Each country undertook a stakeholder analysis to identify the EAFM stakeholders with whom they would need to engage during the planning process and implementation.

### 5.1 Stakeholders of the Philippines

Stakeholders	Roles	Notes
<b>Government</b>		
BFAR	Lead agency for EAFM	Within the Lead Agency: level off on the understanding of CTI-CFF EAFM; develop internal mechanisms for EAFM awareness, program development and implementation
NFRDI	Fisheries research	Collaborators and partners: BFAR as co-chair of NCCC and as Philippine lead for CTI-CFF EAFM shall convene series of consultations re: securing commitments of partners and collaborators to support EAFM implementation
DENR	habitat protection and management, policy and regulatory	
FARMC (Fisheries and Aquatic	advisory: local to national	

Resources Management Council)		
DND (Dept. of National Defense)	security, defense	
DFA (Dept. of Foreign Affairs)	policy advice, international agreements, guidance for protocols	
DOH (Dept. of Health)	health services	
DPWH (Dept. of Public works and Highways)	infrastructure, farm-to-market roads	
DILG (Dept. of Interior and Local Government)	local governance	
PCG, PN, PNP	law enforcement	
DOST/PCAARRD	research and funding	
Marinas/Harbors	boat regulatory function,	
DOLE	livelihood, labor and employment	
DSWD	livelihood, basic social services	
UP system and SUCs	research, capacity building, technical assistance	
DEPED	basic education	
CCC	climate change policy, international negotiations	
DOTC	Regulatory; licensing; communications; vessel monitoring system	
NCIP	indigenous peoples rights and policy	
PAPC	anti-poverty programs; identification of livelihood programs	
PIA	public information	
CDA	facilitates registration of cooperatives, people's organizations, regulatory	
LGUs	LEAD - local resource and habitat management	
PFDA	fish ports management, infrastructure, source of fish catch data	
PCSD	policy development for Palawan	
PPA	ports regulatory	
DOT	promotes tourism; assistance in ecotourism development	
TESDA	skills training; national certification of skills for employment	
<b>NGOs</b>		
CI	technical support; project development; implementation through partnership	
WWF		
NFR		
ZSL		

Pos and fisherfolk	community-based management	
<b>Private sector</b>		
SOPHIL	partner in EAFM - compliance to regulations; monitoring; source of data	
CFBOP		
<b>Regional</b>		
SSME	support for development of institutional mechanism to implement Sulu–Sulawesi Seascape-EAFM under CTI framework	
CTI RS/NCCCs	regional program development and institutional mechanism for implementation; facilitates country commitments to CTI	
BIMP-EAGA	capacity building, technical assistance, market matching, policy recommendations	
APFIC	policy recommendations for Asia-Pacific	
<b>Development partners</b>		
ADB	financing; technical support	
GIZ		
USAID		
USDOJ		
UNDP		
FAO		
SEAFDEC		
WB		
AUSAID/DFAT		

## 5.2 Stakeholders of Indonesia

### Ecological Well-being Group

#### a. National:

- MMAF (DGCF, AMRFD, DGCSI, DGMS)
- Ministry of Research and Higher Education
- University (Unsrat, UBT, UNG, STPL Palu, APB)
- Local Fisheries Office of North Sulawesi, Gorontalo, North Kalimantan, North Maluku, and Central Kalimantan
- MOEF and its local governance unit
- NGO (WWF Indonesia, CI Indonesia, Association of Fisheries)

#### b. Regional:

- SEAFDEC
- WWF
- FAO
- ADB
- CTI-CFF Regional

- RPOA-IUU
- USAID
- NOAA
- PEMSEA
- World Fish

#### Good Governance Group

##### a. National:

- MMAF (DGCF, DGCSI, DGMS, AMFRD, AMFHRD)
- MOEF
- Ministry of Research and Higher Education
- Local governance unit (Fisheries Office, Board of Planning, Board of Environmental)
- Coast Guard, Navy, Marine Police in each representative area
- NGO (WWF Indonesia, CI Indonesia, RARE)

##### b. Regional:

- SEAFDEC
- RPOA-IUU
- NOAA
- CTI
- PAMSEA
- ADB
- NGO (CI, WWF)
- GIZ

#### Human Well-being (Socioeconomic) Group

##### a. National:

- MMAF (DGCF, DGCSI, DGPM, AMFRD, AMFHRD)
- Ministry of Micro, Small Enterprise and Cooperation
- Micro financial institution
- Ministry of Infrastructure
- Ministry of Finance
- Bank of Indonesia
- Technical Consultant of Finance for Small Scale Enterprise

##### b. Regional:

- ADB
- WB
- IDB
- FAO
- USAID
- GIZ

# NEXT STEPS

Below are the agreed upon next steps.

<b>Activity</b>	<b>Who in charge</b>	<b>When</b>
1. Discuss possible participation or hosting of Malaysia in 2 <sup>nd</sup> Sulu–Sulawesi Seascape EAFM workshop	Informally by ADB RETA7813 Formally by CTI Regional Secretariat	ASAP in June
2. Review and revise notes by Google doc and email	Indonesia and Philippines	By Wednesday, June 17, 2015
3. Formal report to CTI-CFF EAFM TWG Chair	NOAA	June 29, 2015
4. Report from EAFM TWG Chair to CTI-CFF Regional Secretariat	EAFM TWG Chair (Indonesia)	July 1, 2015
5. Report distributed to countries and posted on CTI-CFF Website	CTI-CFF Regional Secretariat	July 3, 2015
6. Inform Malaysia of the Sulu–Sulawesi Seascape EAFM workshop	2.1 ADB RETA7813	Meeting on June 8, 2015
6.1 Informally with Dr. Norasma	2.2 EAFM Focal point of Malaysia	TBD
6.2 Formally by the formal report of the workshop		
7. Post EAFM draft plan on Google doc (with request for Malaysia to add input formally)	NOAA	Tentatively July??
8. Tentative meeting in Sabah to add Malaysia input. Possible additional meeting(s) with Tri-National Committee of SSME and Sub-Group Fishery Committee of SSME)	Tetra Tech/Ocean and USAID approve and fund the meeting. CT Regional Sec informs Malaysia to invite country participants.  Meeting participants include a facilitator and reps of Indonesia and Philippines who participated in the Sulu–Sulawesi Seascape	Tentatively July 29-30

	workshop	
9. Country agency internal discussion and stakeholder engagement	National working group EAFM Chair	August
10. 2 <sup>nd</sup> Sulu–Sulawesi Seascape EAFM workshop in Puerto Princessa, Palawan (or Bohol)	Inviter: CT Regional Sec Host: Philippines Government Invitees: - Same participants in 1 <sup>st</sup> workshop - Tri-National Committee - CTI Regional Seascape TWG Chair	September 8-10

# APPENDICES

## AI. AGENDA (as published)

### CTI –CFF Sulu Celebes Sea EAFM Implementation Planning Meeting

**Time and location:** June 2-5, 2015 (4 days) Novotel, Manado, Indonesia

#### Workshop Description

This workshop focuses on a fisheries management unit covering a transboundary area among countries within the Sulu Celebes Sea namely Malaysia, Indonesia and the Philippines. Based on the EAFM planning process, NOAA and the CT partners will provide technical guidance and facilitate a 4-day planning workshop to develop a draft EAFM work plan that will address agreed priority issues in the Fisheries Management Unit. The steps of the EAFM planning process will be used to guide the workshop, including: developing a common vision; identifying and prioritizing issues and threats; establishing goals and operational objectives; developing specific management actions with indicators and benchmarks; and initiating monitoring, evaluation, and communications plans. After the workshop, the draft plan will be shared with the fisheries leadership and key stakeholder groups in each country for discussion and feedback. In September 2015, the participants will reconvene in a subsequent workshop to discuss and finalize the EAFM plan and prepare for regional implementation.

**Expected Product and Indicator:** A draft EAFM plan to sustainably manage fisheries. Depending on the agreed priority issues in the Fisheries Management Unit, the EAFM draft plan may address combatting IUU fishing in the transboundary Sulu Celebes Sea region. The quality of the workshop process and the resulting draft EAFM plan will serve as key indicators of success.

**Participants and Criteria:** 2-3 participants from each of the 3 CTI Southeast Asia SSEM countries are expected to join the workshop. These participants may represent the following groups:

- 1) Senior fisheries managers who understand the threats, concerns and issues of the transboundary issues in the Sulu Celebes Marine Eco-Region and the complexity of fisheries management implementation cross country boundaries. They have authority in management decision making and policy development;
- 2) Monitoring, control, and surveillance (MCS) leads;
- 3) EAFM experts who have been or plan to be involved in implementing EAFM.

Date	Time	Activities	Person in charge Tools/methods
<b>Day 1: Prioritizing issues and defining goals</b>			
Tuesday June 2	0800-0900	Opening ceremony, speeches	CTI-CFF/GoI/NOAA
	0900-0930	Workshop orientation, agenda, and objectives	NOAA (Rusty and Bob)
	0930-1000	Facilitator and participant introduction, ice breaker	NOAA (Supin)
	1000-1030	What, why and 5-step process of EAFM	NOAA (Bob)
	1030-1045	- Group Photo - Coffee break	
	1045-1145	<b>Start EAFM Step 1</b> - Summary from country participants (15 mins/country) on issues, root causes/trends/and government actions) - Agree on Fisheries Management Unit and vision for CTI SE Asia SSME	Bob facilitates. Country representatives present their summary.
	1130-1230	<b>Start EAFM Step 2</b> - Presentation on background of SSME and overview of existing SSME plan and related documents - Overview of prioritized transboundary problems based on 2013 SSME regional strategic Action Program	Bob facilitates. Annadel presents SSME overview. CI (Rex) presents causal chain analysis results
	1230-1330	Lunch	
	1330-1500	- Identify and prioritize threats and issues in current fisheries management in CTI SE Asia SSME - Decide and agree on scales - Identify key stakeholders	Rusty facilitates. Small group breakouts, then plenary. <b>Simple ranking</b>
	1500-1515	Coffee break	
1515-1700	- Develop ecological, human and governance goals	NOAA (Supin) facilitates discussion	
<b>Day 2: Developing objectives, indicators and benchmarks; defining stakeholders and engagement strategies</b>			
Wednesday June 3	0900-1000	Reality check: - Identify the constraints and opportunities in meeting goal - Conflict areas and players, and conflict management	Rusty facilitates. Small group breakouts, then plenary. <b>Color cards for constraints and opportunities, negotiation options</b>
	1000-10:30	<b>Start EAFM Step 3</b> Develop operational (SMART) objectives for ecological, human and governance goals	Bob facilitates (Small group breakouts or plenary).

			discussion
	1030-1045	Coffee break	
	1045-1230	Continue to develop operational objectives for ecological, human and governance goals	Bob facilitates discussion, <a href="#">Causal chain</a>
	1230-1330	Lunch	
	1330-1500	Developing indicators and benchmarks for the objectives	Supin facilitates discussion <a href="#">Causal chain, linking indicators to objectives</a>
	1500-1515	Coffee break	
	1515-1700	Initiate stakeholder engagement strategies (coordination, partnership, co-management, etc.) How to engage private stakeholders (i.e. fishing industries)	Bob facilitates discussion <a href="#">Venn diagram</a> Small group breakouts, then plenary.
<b>Day 3: Developing management actions</b>			
Day 3, Thursday June 4	0900-1030	Develop management actions (including monitoring, control, and surveillance) for each of the objectives from day 2	Rusty and Bob facilitate discussion
	1030-1045	Coffee break	
	1045-1230	Continue developing management actions (who, what, when, how)	Rusty and Bob facilitate discussion
	1230-1330	Lunch	
	1330-1500	Identify data and info needs and potential sources	Bob facilitates discussion
	1500-1515	Coffee break	
	1515-1700	Reality check: Objectives and actions align to 7 EAFM principles? Supporting environments? Link between policy and action?	Supin facilitates discussion, <a href="#">Matching principles with objectives and actions</a>
<b>Homework: Reality check (comparing what has been developed with existing SSME plans)</b>			
<b>Day 4: Finalizing EAFM draft plan, defining role, responsibilities and schedule; Planning of next workshop</b>			
Friday June 5	0900-1030	- Discuss reality check/homework - Refine objectives, indicators and management activities	Bob Facilitates discussion, <a href="#">revisiting constraints and opportunities from morning of day 2</a>
	1030-1045	Coffee break	
	1045-1230	Identify financial mechanisms	Rusty facilitates

			discussion
	1230-1330	Lunch	
	1330-1500	<b>Start Step 4 and 5</b> - Decide how to monitor and evaluate performance of management actions - How plan will be communicated	Supin Facilitates discussion
	1500-1515	Coffee break	
	1515-1700	- Define roles, responsibilities, and schedule for getting the draft plan reviewed - Develop a “check list or mini road map” of what needs to be done between this and next workshop in September - Plan and logistics for subsequent workshop	Rusty and Bob facilitate discussion
<b>Closing Dinner</b>			

## A2. ACTUAL MEETING SCHEDULE (reflects changes during actual workshop)

### CTI-CFF Sulu –Sulawesi Seascape EAFM Implementation Planning Meeting

June 2-5, 2015 (4 days) Novotel, Manado, Indonesia

Date	Time	Activities	Lead people
<b>Day 1: Opening, EAFM overview, Fisheries Management Unit, vision, summary of key issues from countries, existing SSME plan and key issues, identified threats and issues</b>			
Tuesday June 2	0800-0900	Opening speeches	CTI-CFF/Gol/NOAA
	0900-0930	Workshop orientation, agenda, and objectives	NOAA (Rusty and Bob)
	0930-0945	Group Photo and Coffee break	
	0945-1030	Facilitator and participant introduction, ice breaker	NOAA (Supin)
	1030-1045	Presentation on what, why and 5-step process of EAFM	NOAA (Bob)
	1045-1145	<b>Start EAFM Step 1</b> - Summary from country participants on issues, root causes/trends/and government actions - Agree on Fisheries Management Unit and vision for CTI SE Asia SSME	Country representatives presented their summary.
	1130-1230	<b>Start EAFM Step 2</b> - Presentation on background of SSME and overview of existing SSME plan and related documents - Overview of prioritized transboundary problems based on 2013 SSME regional strategic Action Program	Annadel presented SSME overview. CI (Rex) presented causal chain analysis results
	1230-1330	Lunch	
	1330-1630	Identify and prioritize threats and issues in current fisheries management in CTI SE Asia SSME	Rusty facilitated.
	1500-1515	Coffee break	
	1630-1700	Presentation on EAFM Goals	Bob and Supin
<b>Day 2: Developing goals, identifying constraints and opportunities in meeting goals, developing objectives</b>			
Wednes day June 3	0900-1030	Developing EAFM goals: Ecological, socioeconomic and governance	Small group breakouts, followed by plenary.
	1030-1045	Coffee break	
	1030-1230	Reality check: - Identify the constraints and opportunities in meeting goals	Small group breakouts followed by plenary
	1230-1330	Lunch	
	1330-1530	<b>Start EAFM Step 3</b> - Presentation on EAFM objectives - Develop operational (SMART) objectives for ecological, human and governance goals	- Bob presented - Bob, Rusty and Supin facilitated small group discussion
	1530-1545	Coffee break	

	1545-1700	Continue developing objectives	Small groups
<b>Day 3: Developing indicators and benchmarks, developing management actions</b>			
Day 3, Thursday June 4	0900-1030	Reviewing EAFM objectives	Bob facilitated plenary discussion
	1030-1045	Coffee break	
	1045-1230	Developing indicators and benchmarks for the objectives	Bob, Rusty and Supin facilitated small group discussion
	1230-1330	Lunch	
	1330-1500	Continue developing indicators and benchmarks	Small groups followed by plenary
	1500-1515	Coffee break	
	1515-1700	Developing management actions for EAFM objectives	Bob, Rusty and Supin facilitated small group discussion.
<b>Dinner hosted by North Sulawesi Government</b>			
<b>Day 4: Continue developing management actions, identifying stakeholders and engagement strategies, next steps</b>			
Friday June 5	0900-1030	- Continue developing management activities - Refine objectives, indicators and management activities	Bob Facilitated discussion
	1030-1045	Coffee break	
	1045-12:30	Identify key stakeholders and initiate stakeholder engagement strategies	Groups breakouts for Indonesia & Philippines
	1230-1330	Lunch	
	1330-1500	Linking ecological, socioeconomic and governance goals	Supin Facilitated discussion
	1500-1515	Coffee break	
	1515-1800	- Define roles, responsibilities, and schedule for getting the draft plan reviewed by all and input from Malaysia - Develop next steps between this and next workshop in September	Rusty facilitated discussion
<b>Closing Dinner by USAID/DOI/NOAA</b>			

### A3. PARTICIPANT LIST

No.	Family Name	First Name	Title	Gender	Position/Agency/Organization	Email	2 June	3 June	4 June	5 June
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