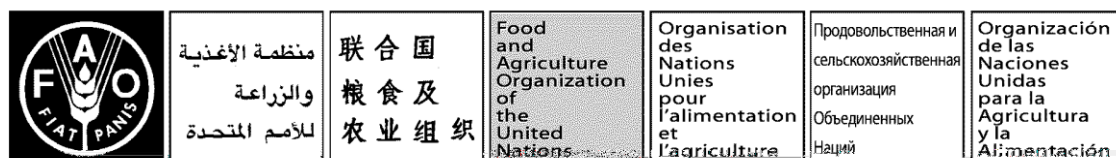


December 2010



## COMMITTEE ON FISHERIES

### Twenty-ninth Session

Rome, Italy, 31 January – 4 February 2011

### Draft 1: PRIORITIES AND RESULTS UNDER THE MEDIUM-TERM PLAN AND PROGRAMME OF WORK AND BUDGET

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## 1. Introduction

1.1. The 36<sup>th</sup> Session of the FAO Conference in November 2009 approved FAO's Strategic Framework 2010-19, Medium-Term Plan 2010-13 and Programme of Work and Budget 2010-11 (MTP-PWB), along with a new results-based framework and attendant hierarchy of results replacing the previous programme structure<sup>1</sup>. The elements of the new results-based framework are summarized in Annex A.

1.2. The Conference also approved amendments to the Basic Texts governing the reporting lines of the Technical Committees: "*The Council shall be assisted by: (...) a Committee on Commodity Problems, a Committee on Fisheries, a Committee on Forestry, a Committee on Agriculture and a Committee on World Food Security which shall report to the Council on programme and budget matters and to the Conference on policy and regulatory matters*"<sup>2</sup>. Therefore, the Committee on Fisheries (COFI) is to report to Council on programme and budget matters, including priorities for the next biennium.

1.3. At its 100<sup>th</sup> Session in October 2008, the Programme Committee recommended that Technical Committees provide advice on prioritization based on drafts of the results-based framework, in the format agreed in the Immediate Plan of Action (IPA), for the Strategic Objective (SOs) most relevant to each Technical Committee. The 135<sup>th</sup> Session of the Council (November 2008) endorsed the draft Major Programme for Fisheries that subsequently was incorporated into the Strategic Framework and Medium-Term Plan as Strategic Objective C - Sustainable management and use of fisheries and aquaculture resources.

1.4. At its 101<sup>st</sup> Session in May 2009, the Programme Committee recognized the constraints experienced by the Technical Committees with regard to providing advice on priorities, due in part to the novelty of the enhanced results-based approach and also to timing constraints. The advice provided by the Technical Committee was more in terms of calling for additional activities and resources, without indication of areas of lower priority, although useful guidance for further refinement of the results frameworks was provided. The Programme Committee recommended that the documentation for future sessions of the Technical Committees be conducive to greater input on priority-setting and that guidance to the Technical Committees should be more specific.

1.5. The Programme Committee at its 103<sup>rd</sup> Session in April 2010 further considered the experience with receiving input on priorities from the Technical Committees in 2009. It recognized the transitional nature of the process of setting priorities during the preparation of the PWB 2012-13, when it would not yet have performance implementation reports for the new results-based framework. It requested that documentation on priorities be prepared by the Secretariat for the Technical Committees, which should start from the approved results-based framework in the MTP-PWB and take into account emerging issues, lessons learned from initial operational planning, major evaluations and any resulting proposed shifts in emphasis within the relevant Strategic Objectives<sup>3</sup>.

1.6. The 22<sup>nd</sup> Session of the Committee on Agriculture (COAG) (June 2010) considered a document prepared using this approach. It recommended that future documentation more clearly identify the proposed areas of emphasis and de-emphasis within each Strategic Objective, taking into account emerging issues, implementation performance reports against Organizational Results indicators, major evaluations, cost considerations and work being undertaken in partnership. A similar recommendation was recorded by the 20<sup>th</sup> Session on the Committee of Forestry (October 2010).

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<sup>1</sup> C 2009/3 Strategic Framework, and C 2009/15 Medium Term Plan 2010-13 and Programme of Work and Budget 2010-11.

<sup>2</sup> CR 5/2009 operative paragraph 6.

<sup>3</sup> CL 1394/4 paragraph 10.

1.7. At its 104th Session in October 2010 the Programme Committee recommended that the preparation of the PWB 2012-13 and related prioritization process should start from the results frameworks approved in the MTP 2010-13.

The Programme Committee requested the Secretariat to:

- a) analyze commonalities in the recommendations and guidance received from the Regional Conferences, Technical Committees and other governing bodies (e.g. Council) on priorities with a view to relating these to the Strategic Objectives and Organizational Results;
- b) formulate Regional Results for 2012-13 as a means to reflect country, subregional and regional priorities and their contributions to Organizational Results, ensuring that the formulation of the Regional Results reflect the priorities expressed by the Regional Conferences;
- c) take account of results of evaluations and lessons learned from the first year of implementation of the PWB 2010-11;
- d) present proposed areas of programmatic emphasis and de-emphasis within and between Strategic Objectives and Organizational Results, including resources compared with 2010-11, to be included in the PWB 2012-13.

The Programme Committee requested that the Organization-wide Strategy Teams be assigned a lead role to:

- a) refine the results framework formulations for the PWB 2012-13 taking into account the priorities expressed by the Technical Committees and embodied in the Regional Results, along with the results of evaluations and lessons learned from the first year of implementation of the PWB 2010-11;
- b) improve focus and prioritization of the technical work based on a deeper analysis of the appropriate mix of core functions to be applied in achieving the Organizational Results;
- c) complete and improve the formulation of Organizational Result indicators and baselines.

## **2. Approach to setting priorities for 2012-13 including areas of emphasis and de-emphasis**

2.1. The Committee on Fisheries (COFI), during its last session, had already recognized the need of prioritization among the different activities aimed at achieving Strategic Objective C *Sustainable Management and Use of Fisheries and Aquaculture Resources*, as well as among the components of the other Strategic Objectives of the Organization which are relevant to fisheries and aquaculture.

2.2. As a basis and starting point for the discussion of the Committee, and in response to the wishes it expressed at its last session, this document aims to present a concise but structured set of suggestions and recommendations on priorities with a brief analysis of the context in which they should be considered. A key factor underlying these suggestions and recommendations is the growing awareness of the importance of the fisheries and aquaculture sectors in contributing to reducing the persistent levels of global food insecurity and raising the quality of global nutrition. Recognition of this role increases the imperatives on FAO and COFI Members to ensure sustainable development of the sectors to meet the growing demands for fish and seafood products.

2.3. In the present stage of the programme and budgetary cycle of the Organization, this exercise is limited both in time and in scope. The suggested priorities are related only to the activities to be undertaken during the biennium 2012-2013, although inclusive of some longer-term activities as well. Some activities that may be identified as having less priority in that biennium could well be considered as having greater priority in future biennia.

2.4. In addition, it must be taken into account that the Organizational Results (ORs) as presently described under Strategic Objective C (SO C) and in other relevant Strategic Objectives are intended to be achieved over four years. After only one year of experience, changes in formulation have been limited to improvements in indicators, baselines and primary tools, as illustrated in Annex B of this document. The overall strategic framework will be reviewed and revised during 2012-13 with the full participation of COFI in the process, based on the experience gathered and lessons learnt during the biennium 2010-2011 as well as of the evolution of the fisheries and aquaculture sector and related issues and challenges.

2.5. For that reason and based on the practical experience gathered to date<sup>4</sup> which indicates that the current resource allocations between the six ORs are broadly consistent with FAO's core functions and COFI's previous recommendations and priorities, it is suggested that the present balance in emphasis and resource allocations between the six ORs under SO C be preserved at least for the biennium 2012-2013. Up until the end of that biennium it is therefore suggested that any shifts of emphasis should be made within the ORs rather than between them.

2.6. Generally, in the process of identifying priorities for the activities and actions to be undertaken during the biennium 2012-2013, it is important to take into consideration three main elements: first, the nature and extent of the resources that are available to support these activities, whether from the regular budget of the Organization or from extrabudgetary funding; second, whether these activities must be carried out at the level of headquarters or at the regional or national level, or a combination of both; and third, the extent to which proportion these activities can be carried out in partnership with other entities outside FAO without any loss of quality or relevance.

2.7. In relation to the first element, that is the nature and scope of the funding of the activities, either regular or extrabudgetary, it must be recalled that while the regular budget is voted by Members in the FAO Conference, , extrabudgetary funds are provided on a voluntary basis and can vary considerably within and between biennia. As a consequence, the activities that must be carried out by the Organization on a longer-term or even on a permanent basis, as part of its primary responsibilities and the implementation of its core functions<sup>5</sup>, must necessarily be funded either totally or for the most part by the regular budget. Sufficient allocation of funds from the regular budget should be made therefore to support the activities of this category which are identified as having a high level of priority. An illustrative list of such activities is contained in Table 1 below for Strategic Objective C.

<sup>4</sup> That experience is reflected in part in the summarized report on the main achievements of the Fisheries and Aquaculture Department during the biennium 2009-10, reproduced in Annex C.

<sup>5</sup> It may be recalled that FAO core functions are (see Annex A):

- |  |
|--|
| <ul style="list-style-type: none"> <li>a. Monitoring and assessment of long-term and medium-term trends and perspectives</li> <li>b. Assembly and provision of information, knowledge and statistics</li> <li>c. Development of international instruments, norms and standards</li> <li>d. Policy and strategy options and advice</li> <li>e. Technical support to promote technology transfer and build capacity</li> <li>f. Advocacy and communication</li> <li>g. Inter-disciplinarity and innovation</li> <li>h. Partnerships and alliances</li> </ul> |
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| <b>Table 1 Areas of primary responsibility under Strategic Objective C funded wholly or for the most part through the regular budget</b>   |
|--|
| Support to COFI, COFI-AQ and COFI-FT, and FAO's statutory bodies (Conference, Council and regional conferences) <sup>6</sup>   |
| Provision of global statistics on fisheries and aquaculture <sup>7</sup> .   |
| Regular analysis and reporting on <ul style="list-style-type: none"> <li>a. global aquaculture development status and trends</li> <li>b. status and trends in marine and inland fisheries and ecosystems</li> <li>c. apparent fish consumption and regional and global developments in fish markets and trade</li> </ul> |
| Publication of The State of World Fisheries and Aquaculture (SOFIA).   |
| Provision of data and information to support the Compliance Agreement <sup>8</sup> .   |
| Normative and field technical support to implementation of the Code of Conduct for Responsible Fisheries   |
| Support to Codex Alimentarius related to fish and fishery products   |
| Interaction with other UN and related agencies (e.g. CBD, CITES, DOALOS, UNEP, UNGA, WTO) <sup>9</sup>   |

Extrabudgetary funding is primarily used to provide the desired follow-up or extension in relation to these activities. Such funding is also more appropriate for activities that, while fully corresponding to FAO core functions, are short or medium term (e.g. the convening of an expert or technical consultation or the implementation of medium and large scale projects at the national or regional level). The “Programme of Global Partnerships for Responsible Fisheries: FishCode”, which has been established to promote, identify and develop extrabudgetary funding opportunities, has also been identified as one of the FAO Impact Focus Areas (IFAs).

2.8. The second element which also must be taken into account in this definition of priorities is the relation between the global, regional, subregional and regional levels of action. In the case of fisheries and aquaculture, in addition to the roles of headquarters, at global level<sup>10</sup>, and the decentralized offices and representations, at the regional, sub-regional and national levels, the existence of various FAO regional fishery bodies (RFBs) must be taken into consideration. While a minority of these bodies is autonomous and consisting of Regional Fisheries Management Organizations (RFMOs), established under Article XIV of the FAO Constitution, the vast majority, consisting of RFBs established under article VI of the FAO Constitution, require full support from the Organization. With regards to the relation between these different levels and institutions, two different issues must be considered and addressed:

2.8.1. Firstly, it is essential that the Members in each region should define their own priorities at the level of that region. However, the sum of the regional priorities cannot simply be translated to the higher level of the Organization as a whole or it could lead to unnecessary and undesirable fragmentation. Moreover, based upon the practical experience gathered during these last months, it seems clear that, in several cases, there is a need for a stronger and more comprehensive

<sup>6</sup> Follow-up action will require extrabudgetary funds in some instances.

<sup>7</sup> Activities can be extended and quality improved with additional extrabudgetary funds.

<sup>8</sup> Additional responsibilities are subject to the provision of additional extrabudgetary funds.

<sup>9</sup> Idem.

<sup>10</sup> In the case of fisheries and aquaculture, headquarters means essentially the Fisheries and Aquaculture Department, but also refers to the other units of the Organization in Rome which contribute to the achievement of Strategic Objective C, in particular the Legal Office.

expression of the goals and priorities of the fisheries and aquaculture sector to be addressed alongside the priorities for agriculture and forestry in the Regional Conferences and their outcomes. The reasons for the apparently disproportionately low emphasis given to fisheries and aquaculture in some of these conferences need to be considered by the Members in each region prior to the next round of Regional Conferences. One problem could be the absence of a regional forum or organ for the fisheries and aquaculture sector<sup>11</sup> which could serve as a preparatory stage for debating the priorities of fisheries and aquaculture and elevating them to the consideration of the respective FAO Regional Conferences. Recent practical experience has also shown that the existing RFBs, both those within and outside the FAO framework, have not been sufficiently taken into account in this process, not even those, such as the inland fisheries and aquaculture commissions, which cover the full region<sup>12</sup>. It is therefore suggested that COFI recommend exploring the ways and means for improving at the regional level the process of identification and formulation of the specific priorities of the fisheries and aquaculture sector for their appropriate consideration by the respective FAO Regional Conferences.

2.8.2. Secondly, experience shows that the various levels (global, regional, subregional and national) are best treated as a continuum and the commonalities recognised as well as the differences. Even in cases when the priorities and the degree of emphasis may differ from one level to the other, in relation to specific activities, it is essential to ensure an optimum coordination, including the flow of support and consultation in both directions. During the biennium 2012-2013 practical efforts should be made consequently to optimize full collaboration, communication and exchange in the planning, allocation and sharing of responsibilities and resources between headquarters, the decentralized offices and the FAO RFBs.

2.9. Finally, the last element which should be taken into account in this process of defining priorities is linked to the clear benefits of arrangements and cooperation, at both the central and decentralized levels, with partners outside FAO. In addition to avoiding undesired duplications and making use of comparative advantages of partners, such arrangements and cooperation allow for de-emphasis of specific activities which can be carried out, totally or partially, by the cooperating party or partner instead of FAO, while maintaining the Organization's involvement and specialized input in the process<sup>13</sup>. Cooperating parties and partners may be States<sup>14</sup>, other intergovernmental organizations<sup>15</sup>, NGOs, including universities and academic institutions, as well as entities of the private sector. It is recommended that more emphasis be placed during the biennium 2012-2013 on developing such cooperative arrangements and partnerships in addition to strengthening the existing ones. This could allow for selective de-emphasis by the Department in relation to substantive work in specific areas, as would be the case, for instance, with subsidies.

### **3. Proposed priorities for 2012-13 including areas of emphasis and de-emphasis:**

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<sup>11</sup> Such forums exist in the case of Forestry, with the the Regional Forestry Commissions ( the African Forestry and Wildlife Commission, The Asia Pacific Forestry Commission, The European Forestry Commission, The Latin America and Caribbean Forestry Commission, the Near East Forestry and Range Commission, The North American Forest Commission).

<sup>12</sup> E.g. COPESCAL for Latin America and the Caribbean and CIFAA for Africa. In a contrasting manner, the mandate and scope of the various marine RFBs is generally limited in terms of geographical coverage and species and do not address within the framework of a single body all the issues of the fisheries and aquaculture sector in the regions.

<sup>13</sup> See document COFI/2011/7.

<sup>14</sup> For instance a State organizing, with FAO as a co-organizer and with its technical support, a conference or meeting to address an issue of global or regional interest.

<sup>15</sup> For instance, ILO and IMO with regards to safety of fishers and fishing operations and WTO in relation to subsidies that contribute to overcapacity and IUU fishing (see below).

3.1. Taking into account the elements referred to in the previous section and without prejudice to the need to respond to specific and unexpected circumstances and demands, the following prioritized areas of emphasis and de-emphasis are proposed to the Committee for its consideration and subsequent recommendations in relation to the actions and activities to be undertaken during the biennium 2012-2013 towards the achievement of Strategic Objective C and related components of other strategic Objectives.

3.2. First, before referring to the various activities under each organizational result, it is important to highlight a number of *thematic areas* which are essential for achieving a world in which the responsible and sustainable use of fisheries and aquaculture resources makes an appreciable contribution to human well being, food security and poverty alleviation. The activities related to these areas, in all the organizational results, should be considered as having a high level of priority during the biennium 2012- 2013, without prejudice to the identification of other priorities under each Organizational Result:

- a) with regards to IUU fishing, the issues of flag State performance, overcapacity and the Global Record of Fishing Vessels;
- b) small-scale fisheries and aquaculture in relation to food security and poverty alleviation;
- c) the implementation of an ecosystem approach to fisheries management (EAF) and the ecosystem approach to aquaculture (EAA), including reconciling the goals of biodiversity conservation and development of the sectors;
- d) value chain and market approach to implement responsible practices in fisheries and aquaculture utilization and trade;
- e) climate change and its expected impacts on fisheries and aquaculture, taking into account the results of the Cancun Conference.

3.3. Organizational Result C1 addresses actions and activities aimed at developing and establishing the *normative framework* which is needed to ensure the implementation of the Code of Conduct for Responsible Fisheries and related instruments, at a global and regional level<sup>16</sup> and at a national level<sup>17</sup>, including activities for assisting in the implementation of that framework, such as capacity building activities.

3.3.1. During the biennium 2012-2013, priority should be given to:

- developing and adopting an international instrument on flag State performance as a follow-up to the Technical Consultation which will be held in 2011, the results of which will be submitted to COFI in July 2012;
- convening with the appropriate partnership(s) of a global conference on fleet overcapacity, on the model of previously successfully held such global conferences; and
- developing and adopting an instrument on small-scale fisheries as the result of the process already initiated upon request of COFI.
- the question of the establishment of a *Global Record of Fishing Vessels*, as a follow-up to the recommendations and considerations submitted to this 29th session of COFI<sup>18</sup>.

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<sup>16</sup> For instance agreements, international guidelines, international plans of action.

<sup>17</sup> Laws and regulations, national policies and strategies, etc.

<sup>18</sup> This activity is also fully relevant to OR C5. If it should be decided that such a record should be kept and maintained within the Organization, provisions should be made for an additional future contribution to the regular budget, in spite of other arrangements that may be made to secure extrabudgetary funding for the setting up of the Global Record and the initial stages of its operation.

- capacity building for the implementation of the existing normative framework as well as to the continued elaboration and dissemination of knowledge tools such as statistics, departmental and corporate information systems, and publications.

3.3.2 Correspondingly, work on other new international instruments will be de-emphasised in the biennium.

3.4. In relation to OR C2, it should be recalled that it addresses actions and activities aimed at developing and establishing the *institutional framework* that is needed to ensure the sustainable management and use of fisheries and aquaculture resources in conformity with the normative framework, as well as at strengthening the already existing institutional framework and increasing its performance, at the global level (e.g. COFI), regional level (e.g. the RFBs both within and outside the FAO framework) and national level (e.g. fisheries and aquaculture authorities, associations of fishers and fish farmers, etc.). During the biennium 2012-2013, priority should be given to providing the needed level of support to COFI and its two subcommittees and other organs of the Organization. In addition, it is important to ensure that COFI be prepared to consider and discuss, at its 30th session in July 2012, new arrangements (including the adoption of revised rules of procedure), aimed at the improved efficiency and effectiveness of its work.. Full technical support should be provided to the FAO RFBs. With regard to RFBs in general, including those outside the framework of the Organization, FAO's comparative advantage in providing the Secretariat of the Regional Fishery Bodies Secretariats' Network (RSN) should be considered as a priority. Support should continue to be provided to the already initiated process towards the establishment of a new RFB for the Red Sea and Gulf of Aden. Work on the establishment of further new RFBs should be de-emphasised correspondingly during the biennium.

3.5. In relation to OR C3, it should be recalled that it addresses actions and activities aimed at ensuring *good governance and management of capture fisheries*, both inland and in the seas and oceans, with a view to improving the state of fish stocks and guaranteeing their sustainable use as well as diminishing the level of overexploited, depleted and recovering stocks, mainly through the implementation of an ecosystem approach to fisheries management. The biennium 2012-2013 should be aimed at making a decisive step forward in the implementation of the Ecosystem Approach to Fisheries Management (EAF), based on the work successfully done in the present biennium and the previous ones. Greater emphasis should be given to improving the use and management of inland fisheries ecosystems and resources which provide essential but often under-estimated contributions to human well-being, particularly in developing countries. Governance of specific fisheries, such as deep sea fisheries, particularly in areas beyond national jurisdiction, although recognized as a priority by many Members, should be de-emphasised for support from Regular Programme and instead maintained as a priority area of extrabudgetary-supported work undertaken in cooperation and partnership with relevant entities.

3.6. In relation to OR C4, it should be recalled that it addresses actions and activities aimed at ensuring *good governance and management of aquaculture*, both in inland and in marine waters, with a view to the further development of aquaculture and increased production of fish and fish products, bolstering aquaculture's growth in response to the continued increase of demand for fish and fish products, and through the implementation of an ecosystem approach to aquaculture. During the biennium 2012-2013, priority should be given to the implementation of the provisions of the relevant articles of the CCRF, recommendations contained in the 2010 "Phuket Consensus", recommendations of the COFI Sub-Committee on Aquaculture and COFI, including promotion of an Ecosystem-based Approach to Aquaculture (EAA) and sustainable better management practices. Special attention and emphasis should be given to the promotion and development of aquaculture in those regions such as Africa and Latin America where aquaculture production is still low in comparison with the global average. For instance, during the biennium 2012-2013, decisive steps should be taken for the implementation of the Special Programme for Aquaculture Development in Africa (SPADA). There should be a corresponding de-emphasis in FAO's work related to the expansion of aquaculture in those regions where aquaculture has already been developed (i.e. Asia and Europe) and where other actors (e.g. the private sector and



governments) are leading sectoral expansion. In Asia, FAO should give emphasis instead to assisting Members in better management, increased productivity, improved biosecurity, responsible biodiversity and efficient feed management. Finally, in order to be proactive and remain in the forefront of aquaculture development, some degree of emphasis should be given to understanding and addressing the challenges, technical, eco-systemic, political and legal, deriving from the trend of moving aquaculture activities seawards, including increasingly in the future to areas beyond national jurisdiction.

3.7. In relation to OR C5, it should be recalled that it addresses actions and activities aimed at ensuring that *fishing operations* are safe, more technically and socioeconomically efficient and environmentally friendly, and compliant through the use of the appropriate vessels, gears, equipment, techniques and practices. Clear emphasis should be given during the biennium 2012-2013 to promoting the implementation of the recently adopted guidelines on bycatch management and reduction of discards through the relevant actions and activities, including capacity building at the national and regional levels. Continuation of good management of fish landing sites and the cleaner fishing harbours initiative should be actively pursued. It is recommended that the leadership role of FAO on safety at sea issues for fishing vessels should be shifted and that ILO and IMO should be encouraged to take the leading roles in this area with FAO providing technical support and monitoring progress.

3.8. In relation to OR C6, it should be recalled that it addresses actions and activities aimed at ensuring that *post-harvest utilization and trade* allow for optimal utilization of fish and fish products as food and as a source of income and employment through, *inter alia*, reducing spoilage, increasing nutritional value, improving value addition, ensuring safety of the products, and facilitating access to the markets. During the biennium 2012-2013, priority should be given to activities aimed at improving fish handling and value addition and reducing post-harvest losses, improving domestic distribution and marketing, especially in developing countries, and increasing the capacity of these countries to meet international requirements for certification and consumer protection as well as providing them with the necessary information and data in order to facilitate their access to international markets and trade. Work on the substantive aspects of subsidies should be de-emphasised, as already mentioned.

3.9. Finally, it must be recalled that the Fisheries and Aquaculture Department, although responsible for Strategic Objective C: Management and sustainable use of fisheries and aquaculture resources, is contributing to several strategic objectives other than SO C, including SO B, SO D, SO F, SO H, SO I as well as to the two Functional Objectives X and Y (see Annex A). Many of these contributions are of major importance to the fisheries and aquaculture sectors (e.g. fish consumption within the overall diets as described within the corporate food balance sheets for all countries). In this regard, an important area for emphasis during the biennium 2012-2013 is that of the preparation for and response to *emergencies*, including natural disasters and the impacts of climate change affecting the fisheries and aquaculture sector. Priority should be given to continuing to provide support in coordination with the other relevant FAO units and within the framework of the other appropriate strategic objectives, particularly SO I (Improved preparedness for, and effective response to, food and agriculture threats and emergencies). During the biennium 2012-2013 the focus should shift to supporting partners and countries to improve food security, reduce vulnerability and strengthen disaster preparedness of fishing and fish farming communities. It is recommended to focus now on strengthening global, regional and national partnerships for disaster risk management and transition planning together with strengthening the emergency response capacity of the sector, including through the development of best practice guidance and standards. Implementation of these activities is subject essentially to extrabudgetary funding<sup>19</sup>.

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<sup>19</sup> The practice has been to account for the related funds under OR C5, for administrative convenience, in spite of the links with the other organizational results under SO C and relevant activities.

#### **4. Considerations for the Medium Term Plan (MTP) 2014-17**

4.1. The trends in fisheries and aquaculture over the last years and decades are very clear. Capture fisheries have reached a plateau and are unlikely to enhance their contribution to the increased world supply of fish in the near future unless greater efforts are put into restoring fish populations to more productive levels. Judging by the number of fish stocks that are overexploited, depleted and recovering, this period could last one or even two decades before significant improvements are observed. Aquaculture has however contributed ever-increasing amounts to the world fish supply for the last four decades. Trade in fish has increased to such a level that it is currently the most-traded food commodity of the world. This reflects both the demand for fish as well as the value fish as a commodity can attain.

4.2. It is therefore worth considering for the member countries, whether increased emphasis should not be placed on sustainable aquaculture in the next Medium Term Plan (MTP) for 2014-2017. Aquaculture has been for some time the fastest growing food sector and it should be worth considering putting an increased effort into even greater sustainable increases. Considering the variable production levels of the regions of the globe, it seems fair to assume that increasing fish and aquaculture production could continue over the next decades with the right encouragement and support.

4.3. Even if emphasis were to be shifted, capture fisheries should not be neglected since, with the correct management, fish stocks could be brought back to greater productivity. The emphasis in the capture fisheries sector could therefore usefully continue on work related to bringing overexploited and depleted stocks back through recovery into greater sustainable production. Achieving this however would rely on continued success in improving fisheries management and governance in general. This would be a very forward-looking policy to the time when fisheries could again make a full contribution to the increased world food supply, and make its presence felt in reaching the goals for 2050.

4.4. In a world where 1 billion people go hungry in spite of enough food being produced, improving trade must also be a priority and increasing the value of one's production is imperative for successful sourcing of food from other suppliers. It would therefore also be worthwhile for the membership to consider the areas of trade and value-addition, along with the above-mentioned ones, as areas of emphasis.

#### **5. Guidance requested from COFI**

5.1. The Committee is invited to discuss and provide appropriate guidance and recommendations on the programme of work for the biennium 2012-2013 and in particular to consider and endorse the suggested priorities for actions and activities, including an indication of areas of emphasis and de-emphasis. It is also invited to consider the new arrangements it may wish to recommend for its own work in preparation of a more thorough discussion on this topic during its next session in July 2012.

**Annex A****The new results-based approach in FAO<sup>20</sup>**

The Immediate Plan of Action for FAO's Renewal (IPA) approved by the 35<sup>th</sup> (Special) Session of the FAO Conference in November 2008 lays the foundation for an enhanced results-based approach to programme planning, implementation and reporting in the Organization. This is coupled with a revitalized and more inclusive inter-governmental process of review of priorities and programme and budget proposals.

The four-year Medium Term Plan applies the principles and major elements of the results-based approach. The major elements, as set forth in the Strategic Framework, comprise:

- **Global Goals** representing the fundamental development impacts, in the areas of FAO's mandate, which the countries aim to achieve;
- **Strategic Objectives** contributing to the achievement of the Global Goals;
- **Functional Objectives** providing the enabling environment for FAO's work;
- **Organizational Results** defining the outcome of FAO's work under each Strategic and Functional Objective; and
- **Core Functions** as the critical means of action to be employed by FAO and achieve results.

The eleven Strategic Objectives agreed in the Strategic Framework reflect the assessment of challenges and opportunities facing food, agriculture and rural development. They express the impact, in countries, regions and globally, expected to be achieved over a long-term (ten-year) timeframe by Members based on FAO's value-added interventions. In order to ensure that all aspects of FAO's work are considered within a results-based framework, complementary Functional Objectives assist the Organization to ensure effective impact of technical delivery, with due attention to efficiency and, therefore also firmly contribute to the achievement of Strategic Objectives (see figure 1).

Under the Strategic Objectives, the more specific Organizational Results represent the outcomes expected to be achieved over a four-year period through the taking-up and use by countries and partners of FAO's products and services. The identification of Organizational Results also applies to Functional Objectives.

The eight Core Functions draw on FAO's comparative advantages and are to be applied at all levels; global, regional and national. They are subject to articulated strategies to ensure coherent approaches, cooperation among organizational units, mutual learning and the pursuit of excellence.

The Organizational Results, as measured by indicators, constitute the backbone of the four-year Medium Term Plan and biennial Programme of Work and Budget, reflecting the substantive priorities upheld by the membership (see MTP section C and PWB section IV).

Other tools to inform the development, and contribute to the achievement of the Organizational Results and Strategic Objectives include:

- National Medium-term Priority Frameworks which are developed together with the concerned governments to focus FAO's efforts on well-identified national needs;

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<sup>20</sup> C 2009/15 Medium Term Plan 2010-13 Programme of Work and Budget 2010-11 pp10-12

- Structured and consultative development of subregional and regional areas of priority action, including *via* the Regional Conferences and specialised Regional Commissions and;
- At the global level, a limited number of Impact Focus Areas to help mobilize voluntary contributions for priority groups of Organizational Results, providing a communication and advocacy tool, and with an emphasis on capacity building and policy frameworks (see *Section E*).

During implementation, progress towards the achievement of the Organizational Results, as measured through their indicators, will be tracked. This results-based monitoring will permit the identification of any issues that could prevent FAO from delivering the Organizational Results, and provide the opportunity to make in-course adjustments and changes to forward planning. Biennial implementation reporting under the new results-based regime will change significantly, both in terms of content and presentation. Future reports will focus on achievement of outcomes as measured against targets specified in the Medium Term Plan and Programme of Work and Budget, rather than activities and outputs.

**Figure 1: Main components of FAO's results framework**

**FAO's vision**

A world free of hunger and malnutrition where food and agriculture contribute to improving the living standards of all, especially the poorest, in an economically, socially and environmentally sustainable manner.

**The three Global Goals of Members:**

- reduction of the absolute number of people suffering from hunger, progressively ensuring a world in which all people at all times have sufficient safe and nutritious food that meets their dietary needs and food preferences for an active and healthy life;
- elimination of poverty and the driving forward of economic and social progress for all, with
- increased food production, enhanced rural development and sustainable livelihoods;
- sustainable management and utilisation of natural resources, including land, water, air, climate and genetic resources, for the benefit of present and future generations.

**Strategic Objectives**

- A. Sustainable intensification of crop production
- B. Increased sustainable livestock production
- C. Sustainable management and use of fisheries and aquaculture resources
- D. Improved quality and safety of foods at all stages of the food chain
- E. Sustainable management of forests and trees
- F. Sustainable management of land, water and genetic resources and improved responses to global environmental challenges affecting food and agriculture
- G. Enabling environment for markets to improve livelihoods and rural development
- H. Improved food security and better nutrition
- I. Improved preparedness for, and effective response to, food and agricultural threats and emergencies
- J. Gender equity in access to resources, goods, services and decision-making in the rural areas
- K. Increased and more effective public and private investment in agriculture and rural development

**Functional Objectives**

- X. Effective collaboration with Member States and stakeholders
- Y. Efficient and effective administration

**Core Functions**

- a. Monitoring and assessment of long-term and medium-term trends and perspectives
- b. Assembly and provision of information, knowledge and statistics
- c. Development of international instruments, norms and standards
- d. Policy and strategy options and advice
- e. Technical support to promote technology transfer and build capacity
- f. Advocacy and communication
- g. Inter-disciplinarity and innovation
- h. Partnerships and alliances

## Annex B

**Strategic Objective C**  
**Sustainable Management and Use of Fisheries and Aquaculture Resources**

**2010-11 Resources (in USD 000 at 2008-09 rates)**

| Organizational Result | Net Appropriation | Core Voluntary | Field Programme | Emergencies   | Total Extra-budgetary | Total          |
|-----------------------|-------------------|----------------|-----------------|---------------|-----------------------|----------------|
| C01                   | 18,194            | 6,748          | 5,081           | 0             | 11,828                | 30,022         |
| C02                   | 7,333             | 6,648          | 4,423           | 0             | 11,071                | 18,404         |
| C03                   | 7,312             | 8,273          | 15,378          | 0             | 23,651                | 30,963         |
| C04                   | 9,400             | 5,917          | 5,164           | (0)           | 11,080                | 20,480         |
| C05                   | 5,196             | 3,167          | 2,373           | 16,000        | 21,540                | 26,736         |
| C06                   | 6,432             | 4,467          | 4,049           | 0             | 8,515                 | 14,948         |
| <b>Total</b>          | <b>53,867</b>     | <b>35,219</b>  | <b>36,467</b>   | <b>16,000</b> | <b>87,685</b>         | <b>141,553</b> |

**Issues and Challenges**

The fisheries and aquaculture sector plays an important role in human nutrition, the fight against hunger and poverty and more generally in economic development. The demand for fish and fish products will continue to grow. Effective management and conservation of fisheries and aquaculture resources, and ensuring the conservation of aquatic biodiversity and the health and productivity of ecosystems supporting fishery resources and fish production, is called for by the Code of Conduct for Responsible Fisheries (CCRF).

The state of world capture fisheries is far from optimal as reported in the *State of World of Fisheries and Aquaculture* (SOFIA) released in March 2009. Moreover, the problems of fleet overcapacity and illegal, unreported and unregulated (IUU) fishing challenge the international community as it seeks lasting solutions. Inland resources and ecosystems are particularly prone to adverse impacts from a variety of human activities.

There is limited potential for growth of global catches of wild fish stocks and it is expected that aquaculture will contribute to fill the gap in the increasing demand for fish and fish products. Aquaculture currently provides about half of the fish used for human consumption. Sustainable development of the sector faces two challenges: the urgent need for appropriate technologies and avenues to increase aquaculture production in many developing countries; and the broad demand for improving resource use efficiency and management and protection of the environment.

An important issue is the co-existence, in relation to both capture fisheries and aquaculture, of a large-scale, industrial sub-sector and a small-scale sub-sector. The latter employs more than 90 percent of all people who work in fisheries and aquaculture, communities for which artisanal fishing or small-scale aquaculture represents a major contribution to food security and livelihoods. Integrated policies and improved management tools are necessary to address the specific needs of both sub-sectors.

There will continue to be a considerable need for the promotion of good governance, practices and regulatory action in relation to fisheries and aquaculture at global, regional and national levels, particularly those based on the principles and standards contained in the CCRF and related instruments. Relevant institutions must be strengthened to achieve good fisheries governance.

A multi-pronged approach is required to enable FAO Members and regional fishery bodies (RFBs) to take the action necessary to facilitate enhanced responsibility and meeting international obligations, especially when implementing international instruments that seek to improve fisheries governance. In addition, they will need well-trained staff and adequate financial resources. Assistance and capacity building in these fields are essential.

There are major challenges facing the improvement of information and data on the status and trends of fisheries and aquaculture for use as a sound basis for policy-making, management and sectoral planning. In particular, artisanal fishing and small-scale aquaculture are often under-represented, or sometimes even totally neglected in official statistics. Inland fisheries as a whole are also a serious problem in this regard. The Committee on Fisheries (COFI) has adopted complementary Strategies for capture fisheries and for aquaculture to address these challenges. Active implementation of the Strategies is now needed at global, regional and national levels. This will require a major focus on capacity building and partnership with emphasis on the integration of information and data utilizing common standards.

Other challenges are emerging: the impact of climate change, including the increasing frequency of natural disasters; rising fish prices, fuel dependency and consumption and production inputs costs; the emergence of animal diseases in aquaculture; the increasing influence of retail sector and use of market instruments and certification to promote sustainability and responsible trade; the general deterioration of aquatic ecosystems, both in the marine environment and in inland waters; the need for increased attention to be paid to environmental threats and concerns; and the need for adequate responses to emergencies.

### Assumptions and Risks

- Assumption that all States give high priority to the implementation of the Code of Conduct for Responsible Fisheries (CCRF).
- Assumption that countries have the will and capacity to improve governance and management in the fisheries and aquaculture sectors through strengthened regulatory and institutional frameworks at the national, regional and global levels.
- Assumption that there is adequate capacity in national fisheries and aquaculture administrations and regional fishery bodies (RFBs) for effective management, including an appropriate representation of the interests of the fisheries and aquaculture sector in national and regional planning.
- Assumption that trade in fish and fish products will generate benefits (income and employment) from the point of capture/production to the final consumer.
- Assumption that adequate capacity to collect, verify, analyse, disseminate and exchange information and data, utilizing international standards is available and used for decision-making by countries individually or collectively through regional and global mechanisms.
- Risk that overfishing, overcapacity and IUU fishing will persist, and even worsen, if the necessary regulatory and institutional measures are not maintained or not adopted and implemented.
- Risk of widespread difficulties to attract and retain qualified staff in fisheries and aquaculture administrations, particularly in developing countries.
- Risk that aquaculture sector growth may be hampered by e.g. the environmental impact of aquaculture development; conflicts between resource users; prevalence of diseases; and the increased dependence on wild fish for use as seed and feed.
- Risk that a lack of adequate capacity and non-adherence to standards could lead to inadequate information and jeopardise effective decision-making.

### Application of Core Functions to Strategic Objective C

| Org Result | A - Perspectives, trend monitoring, assessment | B - Information, knowledge, statistics | C - International instruments | D - Policy advice | E - Tech support, capacity building | F - Advocacy, communication | G - Inter-disciplinary approach | H - Partnerships, alliances |
|------------|--|--|-------------------------------|-------------------|-------------------------------------|-----------------------------|---------------------------------|-----------------------------|
| C1         | X  | X                                      | X                             | X                 | X                                   | X                           | X                               | X                           |
| C2         |  |  | X                             | X                 | X                                   |                             |                                 |                             |
| C3         | X  | X                                      | X                             | X                 | X                                   | X                           | X                               | X                           |
| C4         | X  | X                                      | X                             | X                 | X                                   | X                           | X                               | X                           |
| C5         |  | X                                      | X                             | X                 | X                                   | X                           | X                               | X                           |
| C6         |  | X                                      | X                             | X                 | X                                   | X                           |                                 | X                           |

| <b>Organizational Result C1 - Members and other stakeholders have improved formulation of policies and standards that facilitate the implementation of the Code of Conduct for Responsible Fisheries (CCRF) and other international instruments, as well as response to emerging issues</b>   |                  |                         |                                     |
|---|------------------|-------------------------|-------------------------------------|
| <i>Lead Unit: FI</i>  |                  |                         |                                     |
| <b>Indicator</b>  | <b>Baseline</b>  | <b>Target (4 years)</b> | <b>Target (2 years)</b>             |
| <b>C1.1</b> Number of countries and RFBs that have developed at least one component of an appropriate policy and regulatory framework for the implementation of the CCRF and related instruments, including the formulation, adoption or implementation of policies, plans of action, laws and regulations and bilateral and regional agreements with specific attention to small-scale fisheries, overcapacity and IUU fishing   | To be determined | 10 countries<br>6 RFBs  | <i>5 countries</i><br><i>3 RFBs</i> |
| <b>C1.2</b> Number of international fisheries instruments (including international guidelines and legally binding instruments) that have been adopted under the auspices of FAO   | To be determined | 3 instruments           | <i>3 Chair's drafts</i>             |
| <b>C1.3</b> Number of countries and RFBs whose statistical collection and reporting systems ensure annual reporting at a species level  | To be determined | 10 countries<br>6 RFBs  | <i>5 countries</i><br><i>3 RFBs</i> |
| <b>Primary Tools for achievement of the Organizational Result</b>   |                  |                         |                                     |
| <ol style="list-style-type: none"> <li>1. Regular reporting on the status of implementation of the CCRF and related instruments.</li> <li>2. Advice on establishing and integrating policy and legal frameworks, balancing development objectives with conservation needs and giving special attention to small-scale fisheries and aquaculture.</li> <li>3. Providing platforms, such as COFI, for international debate, and strengthening their contribution to, and participation in, other international fora [such as the United Nations General Assembly (UNGA), Organization for Economic Cooperation and Development (OECD), World Trade Organization (WTO), Asia-Pacific Economic Cooperation (APEC), Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES), Commission on Biological Diversity (CBD), Convention on Migratory Species (CMS), United Nations Environment Programme (UNEP), International Maritime Organization (IMO) and International Labour Organization (ILO)].</li> <li>4. Developing new instruments, such as agreements, plans of action, technical and international guidelines.</li> <li>5. Advocacy and communication, in particular about the economic, social and environmental benefits and the sector's enhanced contribution to the UN MDGs of implementing the CCRF and related international instruments.</li> </ol> |                  |                         |                                     |



6. Capacity building in statistics and the development of legal and policy frameworks, international negotiation, and economic and social aspects of fisheries.
7. Production and utilization of timely and reliable information and statistics and citations and other analyses as a basis for policy development.
8. Strengthened collaboration with relevant intergovernmental, governmental and non-governmental partners including organizations of fishworkers, fishfarmers and fishing/aquaculture industry.

**Organizational Result C2 - Governance of fisheries and aquaculture has improved through the establishment or strengthening of national and regional institutions, including RFBs**

*Lead Unit: FIE*

| <b>Indicator</b>  | <b>Baseline</b>  | <b>Target (4 years)</b>      | <b>Target (2 years)</b>                            |
|---|------------------|------------------------------|--|
| <b>C2.1</b> Number of countries that have strengthened their institutions and institutional arrangements or created new ones, where needed, resulting in significant impact on the governance of the sector | To be determined | 10 countries                 | <i>5 countries</i>                                 |
| <b>C2.2</b> Number of RFBs that have conducted assessments of their performance and have taken steps to improve it  | To be determined | 6 RFBs                       | <i>3 RFBs</i>                                      |
| <b>C2.3</b> Number of new RFBs/Aquaculture networks (AqN) established in response to gaps identified in the governance of shared resources  | To be determined | Establishment of 2 RFBs/AqNs | <i>Draft statutes or agreements of 2 RFBs/AqNs</i> |

**Primary Tools for achievement of the Organizational Result**

1. Advice and assistance (through legal, policy and information support) to strengthen existing institutions.
2. Capacity building on governance and management of institutions.
3. Regular analysis and reporting on experiences with institutional assessments and reform.
4. Legal, policy and technical advice to establish new RFBs.
5. Field support to, and case studies on, institutional reform.
6. Working with other UN agencies and relevant IGOs and NGOs to ensure maximum efficiency in promoting institutional reform for improved governance.
7. Support to RFBs, AqN and relevant international institutions in addressing cross-cutting issues such as small-scale fisheries and small-scale aquaculture.

| <b>Organizational Result C3 - More effective management of marine and inland capture fisheries by FAO Members and other stakeholders has contributed to the improved state of fisheries resources, ecosystems and their sustainable use</b>  |                  |   |  |
|--|------------------|---|--|
| <i>Lead Unit: FIM</i>  |                  |   |  |
| <b>Indicator</b>   | <b>Baseline</b>  | <b>Target (4 years)</b>   | <b>Target (2 years)</b>  |
| <b>C3.1</b> Number of marine and inland stocks or populations that have been assessed using the best scientific evidence available and also taking into account traditional and local knowledge, as appropriate  | To be determined | 10  | 5  |
| <b>C3.2</b> Global mean level of overexploited, depleted and recovering national and international stocks or populations   | 28%              | 25%   | 28%  |
| <b>C3.3</b> Number of countries and RFBs that have formally adopted fisheries management plans or equivalent frameworks for their marine and inland capture fisheries and water ecosystems, which are consistent with the Code of Conduct and ecosystem approach to fisheries (EAF) and take into account the specific needs and contributions of small-scale fisheries  | To be determined | 10 countries<br>6 RFBs  | 4 countries<br>2 RFBs  |
| <b>Primary Tools for achievement of the Organizational Result</b>  |                  |   |  |
| <ol style="list-style-type: none"> <li>1. Development and dissemination, in cooperation with other appropriate partners, of technical guidelines, toolboxes and other information material on fisheries management in the framework of EAF and relevant aspects of the Code of Conduct. Particular emphasis will be placed on material for management of small-scale fisheries.</li> <li>2. Regular reporting on, and assessment of, the state of fish stocks and ecosystems.</li> <li>3. Technical advice and capacity building in all areas of fisheries assessment and management in the framework of EAF, taking special account of the needs of small-scale fisheries and livelihood requirements, at national, regional and global levels.</li> <li>4. Partnerships with other UN agencies and relevant IGOs and NGOs. Facilitating and promoting international cooperation in fisheries management through workshops, consultations, creation of networks and other means, including with other sectors where necessary.</li> </ol> |                  |   |  |
| <b>Organizational Result C4 - Members and other stakeholders have benefited from increased production of fish and fish products from sustainable expansion and intensification of aquaculture</b>  |                  |   |  |
| <i>Lead Unit: FIM</i>  |                  |   |  |
| <b>Indicator</b>   | <b>Baseline</b>  | <b>Target (4 years)</b>   | <b>Target (2 years)</b>  |
| <b>C4.1</b> Percentage increase in the global aquaculture output and output related to rural development and livelihoods   | To be determined | 10% increase (global output)<br>5% increase (output related to rural development) | 5% increase (global output)<br>2% increase (output related to rural) |

|   |                  |                         |                               |
|---|------------------|-------------------------|-------------------------------|
|   |                  |                         | <i>development)</i>           |
| <b>C4.2</b> Percentage decrease in the global use of fishmeal   | To be determined | 10% decrease            | <i>5% decrease</i>            |
| <b>C4.3</b> Percentage increase in the global consumption of farmed fish products coming from sustainable aquaculture practices   | To be determined | 10% increase            | <i>5% increase</i>            |
| <p><b>Primary Tools for achievement of the Organizational Result</b></p> <ol style="list-style-type: none"> <li>1. Promotion of the ecosystem approach to aquaculture (EAA) including biosecurity frameworks, risk assessments, integrated aquaculture, Integrated Coastal Zone Management (ICZM), etc.</li> <li>2. Capacity building through training programmes, regional workshops to facilitate adoption and implementation of FAO guidelines, focusing on rural sectors, small farmers and women.</li> <li>3. Support and promotion of small farmers' clusters and associations emphasizing the involvement of women and minorities.</li> <li>4. Promotion of global, regional and thematic reviews and assessments of the aquaculture sector.</li> <li>5. Promotion and support to aquaculture partnerships and aquaculture networks in applied research and development, technology transfer, and capacity building.</li> <li>6. Development of information tools and systems to disseminate, collect, manage and utilize relevant data.</li> <li>7. Improved communication and coordination between regional offices and FAO, as well as between FAO and other regional organisations.</li> <li>8. Effective work of the Sub-Committee on Aquaculture.</li> </ol> |                  |                         |                               |
| <p><b>Organizational Result C5 - Operation of fisheries, including the use of vessels and fishing gear, is made safer, more technically and socio-economically efficient, environmentally-friendly and compliant with rules at all levels</b></p> <p><i>Lead Unit: FI</i></p>   |                  |                         |                               |
| <b>Indicator</b>  | <b>Baseline</b>  | <b>Target (4 years)</b> | <b>Target (2 years)</b>       |
| <b>C5.1</b> Number of countries where fisheries are harvested using environmentally-friendly, safe, technically and economically efficient fishing vessels, fishing gear and fishing practices  | To be determined | 10 countries            | <i>5 countries</i>            |
| <b>C5.2</b> Number of countries and RFBs having established an operational vessel monitoring system (VMS) to their enhanced capacity for monitoring, control and surveillance (MCS)   | To be determined | 10 countries<br>6 RFBs  | <i>5 countries<br/>3 RFBs</i> |
| <p><b>Primary Tools for achievement of the Organizational Result</b></p> <ol style="list-style-type: none"> <li>1. Development and application of knowledge products and best practices on safer, more technically and socio-economically efficient fishing operations, including inventory of technologies and best practices related to C5-1 and C5-2 above.</li> <li>2. Development and application of knowledge products and best practices to minimize adverse impacts of fishing on the environment, including global updates of bycatch and discards, low-energy capture technologies and development of environmentally-friendly fishing technologies.</li> </ol>   |                  |                         |                               |

3. Provision of technical advice and support on all matters related to responsible fishing operations, including facilitation of workshops, technical consultations, commissioning of studies and reviews.
4. Provision of technical advice and support in the development of appropriate small-scale fishing technologies.
5. Provision of technical advice and support on harbour management, waste reduction, microfinance and processes for enhanced stakeholder participation in fishing and aquaculture operations.
6. Support to Member States and RFBs in capacity building and promoting activities that strengthen and expand their capacity for integrated monitoring, control and surveillance (MCS) systems of fishing operations.

**Organizational Result C6 - Members and other stakeholders have achieved more responsible post-harvest utilization and trade of fisheries and aquaculture products, including more predictable and harmonized market access requirements**

*Lead Unit: FI*

| <b>Indicator</b>   | <b>Baseline</b>  | <b>Target (4 years)</b> | <b>Target (2 years)</b> |
|--|------------------|-------------------------|-------------------------|
| <b>C6.1</b> Number of countries that have adopted good practices for fish utilization, marketing and trade, both at the government and industry levels   | To be determined | 10 countries            | <i>5 countries</i>      |
| <b>C6.2</b> Number of developing countries whose income from national, regional and international fish trade has increased by a minimum of 5%  | To be determined | 10 countries            | <i>5 countries</i>      |
| <b>C6.3</b> Number of countries that have harmonized their fish trade laws, regulations and practices, including those applicable to seafood safety, with internationally agreed requirements and standards. | To be determined | 10 countries            | <i>5 countries</i>      |

**Primary Tools for achievement of the Organizational Result**

1. Provision of support and advice to national, regional and international organizations, including private sector, to improve practices for post-harvest utilization and marketing of fish.
2. Regular assessment and reporting, in particular through the COFI Sub-Committee on Fish Trade, on developments, trends and issues of fish utilization, trade and market access requirements.
3. Provision of technical advice and capacity building in all areas of fish utilization, marketing and trade at national, regional and global levels through: responses to *ad hoc* requests for technical support, TCP projects, continued technical support to, and back-stopping of, the Fish Infoservices, short- and long-term comprehensive projects funded by extra-budgetary funds.
4. Development of strategic partnerships with relevant UN agencies, IGOs and NGOs to promote the development and implementation of instruments and practices, including market instruments, for responsible and sustainable fish utilization, marketing and trade.
5. Support to national and regional extension, research and professional institutions and regional networks to promote responsible fish utilization, marketing and trade.

**Annex C****A summarized report of the main activities and achievements of the Fisheries and Aquaculture Department (FI) 2009 - 2010**

In relation to the development of a comprehensive **normative framework** as a follow-up to the adoption in 1995 of the Code of Conduct for Responsible Fisheries (CCRF) and of a series of related instruments, a very important step was taken in 2009 with the adoption of an Agreement on Port State Measures to Prevent, Deter and Eliminate Illegal, Unreported and Unregulated Fishing. After intense and difficult negotiations in 2008 and 2009, the FAO Conference on 22 November 2009 approved the Agreement as an Article XIV instrument under the FAO Constitution. It is the first legally binding international treaty focused specifically on the problem of illegal, unreported and unreported (IUU) fishing. "Port State measures" generally refer to actions taken to detect illegal fishing when vessels come to port, which can include undertaking inspections of documentation, catches and equipment when vessels land to take on fuel and supplies or offload fish, or requiring vessels to make activity reports before entering port. Vessels found to be involved in IUU fishing can be denied docking, causing considerable financial losses to their owners. Such measures are among the most-effective means of preventing the import, transshipment or laundering of illegally caught fish. With the holding of an Expert Consultation in June 2009, the Department also laid the ground towards the adoption of a new instrument on flag State performance; the Expert Consultation allowed for the elaboration of draft criteria, both regulatory and behavioural, for assessing the performance of flag States as well as possible actions against vessels flying the flags of States not meeting such criteria. A Technical Consultation will be convened in May 2011 to consider and adopt these criteria, within the framework of an instrument, the nature and scope of which it will also have to define. Special mention must also be made of the preparatory work for the establishment of a Global Record (GR) of Fishing Vessels, as a tool against IUU fishing. A set of recommendations has been adopted by a Technical Consultation in November 2010, which will be submitted to the 29th session of COFI in 2011.

The Department has also successfully continued the development and negotiation of a number of important technical guidelines in support of the application of the CCRF:

- Revised Guidelines for the Ecolabelling of Fish and Fishery Products from Marine Capture Fisheries, which were adopted in 2009 by the 28th session of the Committee on Fisheries (COFI).
- Guidelines for the Ecolabelling of Fish and Fishery Products from Inland Capture Fisheries, which were developed by an Expert Consultation in May 2010 and will be considered at the 29th session of COFI in January-February 2011.
- Guidelines for Aquaculture Certification, which were completed and endorsed by the 5th Session of the COFI Sub-Committee on Aquaculture in October 2010 and will be submitted to the 29th session of COFI for their adoption.
- International Guidelines on Bycatch Management and Reduction of Discards, which were developed by an Expert Consultation in November-December 2009 and negotiated by a Technical Consultation in December 2010 and will be submitted to the 29th session of COFI for their adoption.

The Department has continued its scientific and technical support to FAO's normative work on quality and safety issues, including support to the activities of the Codex Committee on Fish and Fishery Products, advancing several sections of the Code of Practice for Fish and Fishery Products and Standards, and final endorsement for some, and providing advice to the Codex Committee on Food Hygiene on the Code of Hygienic Practice for Control of *Vibrio* spp. in fish and fish products.

As one of its primary missions, the Department has continued to provide technical **assistance to member countries** on a wide range of issues, either directly at the national level through a large number of projects including TCPs and UTFs, or through regional organizations (e.g. OSPESCA

or CPPS in Latin America, NEPAD in Africa, SEAFDEC in Asia) or LME programmes covering marine regions in America, Africa and Asia. For instance, in the field of aquaculture, assistance to Members has been provided through 130 field projects in the two years including TCPs, UTFs, etc. Another example is the involvement of the Department in several regional and national initiatives for the establishment of national programmes for enhancing distribution and consumption of fish, in particular in Latin America. The Department has continued its capacity building activities in developing countries for implementing Codex guidelines, Codes of practice and standards, assessment and management of national seafood safety and quality regimes to meet major market requirements and comply with requirements in the Agreement on the Application of Sanitary and Phytosanitary Measures (SPS) and the Agreement on Technical Barriers to Trade (SPS), traceability and certification programmes. The Department has also initiated a joint programme between FAO aquaculture and trade services in several Asian countries to develop integrated national programmes to address both aquatic animal health and food safety issues and build capacity. In that region and in the Pacific, the Department has facilitated the preparation of a project on bycatch in tropical shrimp trawling, involving Indonesia, Papua New Guinea, Philippines, Thailand, Vietnam and the Southeast Asia Fisheries Development Center. Mention should also be made of the cleaner fishing harbours initiative which started in India and focuses on upgrading fishing harbours to international standards of hygiene and sanitation using a combination of infrastructure upgrading and participation of stakeholders in harbour management. The Department has been playing a leading role in the development and promotion of the ecosystem approach to fisheries (EAF). Through a number of regional and global projects, the department is furthering EAF globally as a comprehensive and all-encompassing approach to sustainable fisheries within an ecosystem context. Special emphasis is being put on African coastal nations but in the period 2009-2010 activities also covered other world regions. Regional and interregional workshops were held in Africa, Southeast Asia, Pacific Island States, Central America and the Caribbean. A comprehensive toolbox for EAF implementation will be completed in 2011. In 2009, steps were taken with India, Bangladesh, Bhutan, Nepal and China towards the development of a holistic basin approach to fisheries management in the Ganges-Brahmaputra Basin.

The Department has continued to provide support to several **regional fishery and aquaculture bodies (RFBs)**, more particularly to those established in the FAO framework under articles VI and XIV of its Constitution. Statutes and/or rules of procedure have been modified (COPESCAL and EIFAC in 2010). A new FAO regional fishery body has been established under Article XIV of the FAO Constitution through a decision of the Council in October 2009: the Central Asian and Caucasus Regional Fisheries and Aquaculture Commission. It covers the inland waters and areas within the States of Central Asia (Kazakhstan, Kyrgyzstan, Tajikistan, Turkmenistan and Uzbekistan) and of the Caucasus (Armenia, Azerbaijan, Georgia and Turkey) as well as other waters within the trans-boundary water basins bordering the territories of the States of Central Asia and of the Caucasus. With a view to the establishment of a new RFB or arrangement for the Red Sea and Gulf of Aden the Department has carried out several activities during 2009-2010 with the Regional Office in Cairo and a regional meeting will be convened in 2011. The FIRMS Partnership continued to enrich its database with contributions made by RFBs as Partner Organizations on the state of fishery resources and fisheries within their mandates. In relation to **large marine ecosystems**, the Department is an active partner, alongside UNEP, in the GEF-funded CCLME (Canary Current Large Marine Ecosystem) Project which has become operational in 2010. Active contacts have also been undertaken by the Department in relation to the planned establishment of a Guinea Current LME Commission and in collaboration with the Benguela Current Commission.

Strong attention has continued to be given by the Department to **aquaculture**. In addition to the 5th Session of the COFI Sub-Committee on Aquaculture (Phuket, Thailand), in October 2010, the Department organized, in collaboration with the Network of Aquaculture Centers for Asia (NACA) and the Government of Thailand, the Global Conference on Aquaculture 2010, also held in Phuket, in September 2010, with some 750 participants from all over the world. The Conference adopted the "Phuket Consensus", a global accord that will guide the development and

management of the aquaculture sector. The Department also continued to work on promoting better management practices for different aquaculture systems or species and on the establishment of a global databank presently containing more than 150 aquaculture-related codes of practice, codes of conducts and technical guidelines developed by national, regional and global organizations all over the world. More than 60 technical meetings, including expert workshops, expert/technical consultations, training and seminars, have been held. The Department continued to partner with other regional or international organizations that have interest in aquaculture and has been successfully promoting the establishment of regional aquaculture networks in Central-Eastern Europe, Latin America and Africa. In cooperation with NEPAD and other regional bodies, it established a Special Programme for Aquaculture Development in Africa (SPADA).

There continued to be a significant interest among the world community and Member States in FAO's assessment of the state of world fisheries and fish stocks. The "State of World Fisheries and Aquaculture (SOFIA)" 2010 is being finalized and will be soon published with a view to its presentation to the next session of COFI in January-February 2011. In this area, an important move forward was also made with the publication in 2009 of revised capture fishery and aquaculture statistics for China in the Yearbook of Fishery and Aquaculture Statistics 2007. Several years of extensive collaboration between FAO and the Chinese authorities allowed for the revision downward of China fishery and aquaculture statistics for 2006 and subsequent years, as well as for revisions made by FAO for earlier years. Regarding statistics, as Secretariat of the Coordinating Working Party on Fishery Statistics (CWP), the Department has taken the initiative to establish an Aquaculture Group under the Coordinating Working Party on Fishery Statistics (CWP-AS). In addition, an International Training Course on Fishery Statistics Data Collection was developed in collaboration with the University of Ghana in Legon and used in six West African countries. This will also be used for similar courses around the world in support of implementation of the FAO Strategy for Improving Information on Status and Trends of Capture Fisheries. In relation to **publications**, in 2009-2010, the Department has produced about 50 FAO Fisheries and Aquaculture Technical Papers and Circulars, including reports and studies, technical papers, proceedings, databases, and circulars, on a range of subjects related to the most pressing issues facing the sector. Finally, with the development of the FAO Fish Price Index during 2009 and 2010 and its regular publication in the FAO Food Outlook, fish is for the first time receiving coverage similar to the other main groups of terrestrial food products. The Department has been also very active in the Aquatic Sciences and Fisheries Abstracts (ASFA) Partnership, which continued to expand and the database reached well over one million bibliographic records.

Another area of emphasis has been **small-scale fisheries**. In the wake of the 2008 Global Conference in Bangkok, three regional consultative workshops on small-scale fisheries for Africa, Asia and Pacific, and Latin America and the Caribbean were held in 2010, with a total of about 200 participants from 63 countries representing governments, national, regional and international organizations and national civil society organizations including representatives of fishworkers organizations. The workshops provided guidance on the scope and contents of a possible international instrument on sustainable small-scale fisheries development, and on priorities and implementation modalities of a global assistance programme. Gender has been given particular emphasis as a cross-cutting theme as were overall key principles such as participation, local ownership and partnerships. In 2009, the Department, building upon case studies from 10 selected developing countries as well as two studies from developed countries, also initiated a comprehensive value-chain analysis of international fish trade with an impact assessment of the small-scale sector in developing countries, with a view to identifying ways to improve food security for local populations through more informed policy decisions.

The Department continues its crucial role in supporting country needs following natural disasters. Support to emergency projects sponsored by FAO, the World Bank and other organizations has been growing as fishing communities are often most severely impacted. Assistance has been given in Myanmar, Nicaragua, Democratic Republic of the Congo, Peru, Liberia, Republic of the Congo, Philippines, Bangladesh Sri Lanka and Indonesia. To ensure a more proactive response, improved disaster preparedness has also been the subject of a number of workshops.

The Department has continued to give appropriate attention to **emerging issues**. In relation to **deep-sea fisheries**, an important workshop on the implementation of the FAO International Guidelines for the Management of Deep-sea Fisheries in the High Seas was held in Busan, Korea, in May 2010. A meeting was jointly organized by GEF and FAO in Washington, USA in November 2010 in order to explore the formulation of a possible GEF-funded global programme on areas beyond national jurisdiction. With regards to **climate change**, the Department has played a leading role in the establishment of the UN - Oceans Task Force on the Global Partnership Climate, Fisheries and Aquaculture (PaCFA), in which FAO is a lead agency. The Department was actively involved in co-organizing an international symposium on “Climate change effects on fish and fisheries: forecasting impacts, assessing ecosystem responses, and evaluating management strategies” held in April 2010 in Sendai, Japan (April 2010). In November 2010, FAO held a workshop in Seattle, USA on energy use in fisheries which addressed carbon footprint methodologies, fisheries management policies and practical steps that can be taken to reduce energy use and dependence on fossil fuels. This workshop was associated with the International Symposium on Energy use in Fisheries: Improving Efficiency and Technological Innovations from a Global Perspective in Seattle, USA, 14-17 November 2010.

It is important to stress the cooperation during 2009 and 2010 between the Organization and the Department with **other international organizations**, e.g.:

- Cooperation with the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES), on the basis of a 2006 Memorandum of Understanding (MoU), focusing on issues related to commercially-exploited aquatic species listed in CITES Appendices. In March 2010, in accordance with COFI instructions, FAO convened a meeting of an Expert Panel to review six proposals to the 15th Meeting of the CITES Conference of the Parties in March 2010 for listing such species to evaluate the extent to which the listing met the CITES biological listing criteria and the likely effectiveness of a listing for conservation.
- Cooperation with the International Labour Organization (ILO) which led to the joint convening of a Workshop on Child Labour in Fisheries and Aquaculture in April 2010, with a view to promoting awareness on and effective implementation of the relevant UN and ILO conventions on the right of the child and child labour.
- FAO’s long-standing cooperation with the International Maritime Organization (IMO) continues and has produced a series of guidelines on best practices for safety at sea, recommendations and guidelines for the safe operation, design and construction of small vessels and guidance on accident reporting and analysis in conjunction with the ILO.
- Collaboration with the United Nations Environment Programme (UNEP) on various aspects related the application of ecosystem approaches to management of marine ecosystems addressing also potential impacts of fisheries on the marine environment. FAO also collaborated with the Convention on Biological Diversity (CBD) in relation to addressing biodiversity issues and fisheries, including vulnerable marine ecosystems.
- Cooperation with the World Trade Organization (WTO) in the field of subsidies, through participation as an observer to the meetings of the WTO Negotiating Group on Rules as well as through direct support provided to the Group. The Department is also assisting WTO in the implementation of fisheries related projects dealing with the implementation of the SPS and TBT agreements.
- Cooperation with the World Health Organization (WHO) in the field of fish consumption and nutrition, with a view to assist governments in giving advice to vulnerable population groups on the potential risks and benefits of fish consumption.
- Cooperation with the World Organization of Animal Health (OIE) and support to its work on revising the aquatic animal health Code to expand it to international animal health issues that may be related to aquatic products and commodities.
- Cooperation with the World Bank continued in a number of areas including emergency work and also led in 2009 to the widely reported and quoted landmark publication *The Sunken Billions – The Economic Justification for Fisheries Reform*, and to the publication in 2010 of



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*The Hidden Harvests - the global contribution of capture fisheries*, which focuses on small-scale fisheries and developing countries.

The increased importance of **extrabudgetary funding** has been recognized and the overarching “Programme of Global Partnerships for Responsible Fisheries: FishCode” has been identified as one of the FAO Impact Focus Areas (IFAs).

Finally, the considerable increase from 1995 onwards in the participation in **COFI** was demonstrated once again in its 28th Session, in March 2009, which was attended by 113 COFI Members, one Associated Member, the Holy See, 7 Specialized UN Agencies and 84 intergovernmental and international non-governmental organizations (62 IGOs/NGOs at COFI 27 in 2007). The COFI Sub-Committee on Fish Trade reaffirmed in 2010 its role as the principal forum for discussion and deliberation of issues of relevance for international fish trade, including market access for developing country producers and exporters.