

WESTERN CENTRAL ATLANTIC FISHERY COMMISSION

Report of the

REGIONAL POLICY AND PLANNING WORKSHOP ON THE FAO CODE OF CONDUCT FOR RESPONSIBLE FISHERIES (CCRF) IN THE CARIBBEAN: ACHIEVING IMPROVED FISHERIES MANAGEMENT AND UTILIZATION IN THE WIDER CARIBBEAN REGION

Bridgetown, Barbados, 6–9 December 2011



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FOOD AND AGRICULTURE ORGANIZATION OF THE UNITED NATIONS
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PREPARATION OF THIS DOCUMENT

This is the report of the Regional Policy and Planning Workshop on the FAO Code of Conduct for Responsible Fisheries (CCRF) in the Caribbean: Achieving Improved Fisheries Management and Utilization in the Wider Caribbean Region, which was held at the University of the West Indies, Cave Hill Campus, Barbados, during the period 6–9 December 2011. Recognizing the numerous cases of overexploited and near depleted fish and other aquatic organisms stocks in the Caribbean region, the workshop was organized to boost actions towards implementation of the CCRF.

The workshop was co-organized by FAO, the Ministry of Agriculture, Food, Fisheries and Water Resource Management of Barbados, the Centre for Resource Management and Environmental Studies (CERMES) and the Western Central Atlantic Fishery Commission (WECAFC).

The FAO technical assistance to the workshop consisted of Raymon van Anrooy, Nicole Franz and Matthew Camilleri. FAO support was also provided by Florita Kentish, Subregional Coordinator for the Caribbean. Administrative and logistical assistance were provided by the staff of CERMES, particularly Jennifer Hurley, Patrick McConney, Hazel Oxenford and Katherine Blackman, and Sonya Thompson and Bertha Simmons from the FAO Subregional Office for the Caribbean.

The Conclusions and Recommendations of the workshop were adopted by the workshop participants and have been endorsed formally for the Wider Caribbean Region by the Fourteenth Session of the Western Central Atlantic Fishery Commission (WECAFC), which was held in Panama City, Panama, 6–9 February 2012.

This report of the meeting contains a record of the meeting proceedings, including summaries of presentations and discussions as well as a working document prepared for the workshop.

FAO.

Report of the Regional Policy and Planning Workshop on the FAO Code of Conduct for Responsible Fisheries (CCRF) in the Caribbean: Achieving Improved Fisheries Management and Utilization in the Wider Caribbean Region, Bridgetown, Barbados, 6–9 December 2011.

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ABSTRACT

The Regional Policy and Planning Workshop on the FAO Code of Conduct for Responsible Fisheries (CCRF) in the Caribbean: “Achieving Improved Fisheries Management and Utilization in the Wider Caribbean Region”, which took place at the University of the West Indies, Barbados, on 6–9 December 2011, discussed the constraints encountered when applying the Code in the Caribbean region and identified solutions that would enable stakeholders to further mainstream their policies, strategies and management plans with the Code.

The workshop paid particular attention to increasing awareness and capacity in the region on the Ecosystem Approach to Fisheries (EAF), the International Plan of Action for the conservation and management of Sharks (IPOA-Sharks) and the ongoing work on the Voluntary Guidelines on securing sustainable Small-scale fisheries.

The workshop was attended by 11 Caribbean countries and 17 organizations and was co-organized by FAO, the Ministry of Agriculture, Food, Fisheries and Water Resource Management of Barbados, the Centre for Resource Management and Environmental Studies (CERMES) and the Western Central Atlantic Fishery Commission (WECAFC).

The Conclusions and Recommendations of the workshop were adopted by the workshop participants and have been endorsed formally for the Wider Caribbean Region by the Fourteenth session of WECAFC, which was held in Panama City, Panama, 6–9 February 2012.

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ABBREVIATIONS AND ACRONYMS

ACS	Association of Caribbean States
ACP	Africa, Caribbean, Pacific (ACP Fish II is financed by the European Union)
BOFA	Barbados Boat Owners & Fishers Association
BARNUFO	Barbados National Union of Fisherfolk Organization
CANARI	Caribbean Natural Resources Institute
CARICOM	Caribbean Community
CCRF	Code of Conduct for Responsible Fisheries
CEI	Cape Eleuthera Institute (The Bahamas)
CERMES	Centre for Resource Management and Environmental Studies
CNFO	Caribbean Network of Fisherfolk Organizations
CITES	Convention on International Trade in Endangered Species of Wild Fauna and Flora
CLME	Caribbean Large Marine Ecosystem (GEF project)
COFI	Committee on Fisheries (FAO)
CRFM	Caribbean Regional Fisheries Mechanism
CSC	Caribbean Sea Commission
EAF	Ecosystem Approach to Fisheries
FAC	Fisheries Advisory Committee of Barbados
FAO	Food and Agriculture Organization of the United Nations
FMM	FAO Multidonor Mechanism
GCFI	Gulf and Caribbean Fisheries Institute
GEF	Global Environment Facility
ICCAT	International Commission for the Conservation of Atlantic Tunas
IPOA	International Plan of Action
IUCN	International Union for the Conservation of Nature
IUU	Illegal, unreported and unregulated
MCS	Monitoring, Control and Surveillance
MSY	Maximum Sustainable Yield
MEY	Maximum Economic Yield
NOAA	National Oceanic and Atmospheric Administration (United States of America)
OECS	Organization of Eastern Caribbean States
OSPESCA	Organization for fisheries and aquaculture of the Central American Isthmus
SICA	Central American Integration System
SSF	Small-Scale Fisheries
TNC	The Nature Conservancy
UNCLOS	United Nations Convention on the Law of the Seas
UNEP	United Nations Environment Programme
UNFSA	United Nations Fish Stocks Agreement
UWI	University of the West Indies
WECAFC	Western Central Atlantic Fishery Commission
WWF	World Wide Fund for Nature

SUMMARY OF CONCLUSIONS AND RECOMMENDATIONS

The Regional Policy and Planning Workshop on the FAO Code of Conduct for Responsible Fisheries (CCRF) in the Caribbean: Achieving Improved Fisheries Management and Utilization in the Wider Caribbean Region, was held at the University of the West Indies, Cave Hill Campus, Barbados in the period 6-9 December 2011. The workshop was co-organized by FAO, the Ministry of Agriculture, Food, Fisheries and Water Resource Management of Barbados, the Centre for Resource Management and Environmental Studies (CERMES) and the Western Central Atlantic Fishery Commission (WECAFC).

The workshop was attended by participants from:

Antigua and Barbuda, Barbados, British Virgin Islands (BVI), Dominica, Grenada, Guyana, St Kitts and Nevis, St Lucia, St Vincent and the Grenadines, Suriname and the United States of America (USA), as well as the following organizations: Barbados Boat Owners & Fishers Association (BOFA), Barbados National Union of Fisherfolk Organization (BARNUFO), Bellairs Research Institute, CARIBSAVE, Cape Eleuthera Institute (CEI), Centre for Resource Management and Environmental Studies (CERMES), Caribbean Large Marine Ecosystem (CLME), Caribbean Network of Fisherfolk Organizations (CNFO), Caribbean Regional Fisheries Mechanism (CRFM), Fisheries Advisory Committee of Barbados (FAC), FAO, National Oceanic and Atmospheric Administration (NOAA), Organization of Eastern Caribbean States (OECS-ESDU), Organization for fisheries and aquaculture of the Central American Isthmus (SICA/OSPESCA), The Nature Conservancy (TNC), WECAFC and WWF-Guianas.

Conclusions

The workshop recognized the important contribution of fisheries to the social and economic development and food and nutrition security in the Caribbean Region and the need to strengthen existing frameworks by implementing relevant provisions of the CCRF to ensure long-term sustainable use of these valuable resources. The workshop also noted with respect to the implementation of the CCRF in the Caribbean Region, that the following regional constraints and solutions require attention from all stakeholders:

Constraints	Solutions
Limited human, technical and financial resources	Increase access to human and budgetary resources for fisheries (through increasing awareness on the socio-economic and ecological value of fisheries) and promote further collaboration and technology transfer among countries in the region
Incomplete and outdated policy and legislative frameworks for fisheries and aquaculture	Align policy and legislative frameworks (under development) with the CCRF and its technical guidelines and a common regional policy framework
Institutional weaknesses of fisheries authorities and other relevant stakeholders	
Low overall priority given to fisheries and ocean resource management and development	Increase commitment and political will for development of more sustainable practices in the fisheries sector and responsible fisheries management processes
Uncoordinated research efforts and access to information on responsible fisheries and its management	Increase collaboration between regional and international fisheries bodies (CRFM, WECAFC, OSPESCA, International Commission for the Conservation of Atlantic

	Tunas [ICCAT]) and others (Convention on International Trade in Endangered Species of Wild Fauna and Flora [CITES], OECS, UNEP, FAO) to avoid overlap and focus on consolidating efforts, and establish regional priorities for research
Inadequate/insufficient Monitoring Control and Surveillance arrangements	Mainstream fisheries management, in line with the CCRF, in existing MCS programmes of related sectors (customs, navy, coast guard, port authorities, trade and tourism).
Lack of awareness of the CCRF among Fisheries Authorities staff and other sector stakeholders, including fisheries policy makers	Communicate better the practical and economical benefits of implementing the CCRF and establish cross-sectoral linkages to further awareness
Lack of attention paid to the CCRF in fisheries management.	Develop and implement strategies to incorporate the CCRF's objectives into existing fisheries policies, laws, management plans and activities
Limited participation (and implementation) of Caribbean States in existing international fisheries instruments such as the UNFSA and Compliance Agreement	Review and ratify, accede or accept and implement relevant international fisheries treaties such as UNFSA, Compliance Agreement and Port States Agreement

The workshop also recognized that:

- The Caribbean countries and regional organizations have made major efforts in the implementation and monitoring of the CCRF; such efforts have been successful in many cases and deserve recognition.
- The CCRF is highly regarded and being used as a main framework for fisheries policy development and planning at the regional level, as demonstrated in important recent initiatives such as the formulation of Caribbean Community Common Fisheries Policy.
- The Ecosystem Approach to Fisheries (EAF) is highly relevant to fisheries in the region, which requires additional capacity building and awareness-raising.
- Governance of the sector is taking place at different levels and is complicated in terms of the number and wide variety of authorities and stakeholders involved.
- In context of the International Plan of Action for the conservation and management of Sharks (IPOA-Sharks) it was regarded that the eastern Caribbean sharks are generally caught within a multi-species, multi-gear fishery, often untargeted. Nevertheless, it is important to note that shark catches are not discarded as they are sold and consumed, without waste, by the locals.

Recommendations

In recognition of above conclusions and the intensive discussions that took place at the workshop, the regional workshop participants endorsed the following recommendations:

To Governments in the Caribbean region:

- Increase commitment to the sustainable management of fisheries and follow-up on the implementation of binding /non-binding fisheries instruments.
- Fishery and aquaculture legal and policy frameworks that are being developed should be based on the principles and consistent with the objectives of the Code of Conduct for Responsible Fisheries, whilst being in line with the Caribbean Community Common Fisheries Policy and the Castries Declaration on IUU fishing.
- The absence of updated legal frameworks should not delay efforts to promote the implementation of the CCRF.

- Governments (including Fisheries authorities) should be mindful of the international binding and non-binding agreements related to fisheries and work towards their adoption and implementation, as appropriate; the latter may be converted into a binding nature at regional level to ensure and enhance their effectiveness.
- Political will for and commitment to the implementation of the Code of Conduct for Responsible Fisheries, its ancillary instruments and other relevant international agreements and conventions, be increased in the region.
- Linkages and collaboration be improved between the fisheries sector and other sectors in terms of implementation of certain aspects of the CCRF, such as the integration of fisheries into coastal zone management.
- Linkages and collaboration be strengthened among fisheries authorities and other government ministries and departments to improve a general understanding of the CCRF and facilitate its implementation.
- Fisherfolk organizations, in particular those of small-scale fishers, at local, national and regional level be strengthened in order to become true partners in the implementation of the CCRF and responsible fisheries management in general.
- Efforts be made to better document the features and contributions of the small-scale fisheries sector in the region, capturing in particular the socio-economic aspects.
- Efforts be increased by fisheries authorities and other stakeholders to mainstream fisheries into national poverty reduction and development plans, strategies and programmes.
- Fisheries Authorities should aim to incorporate the Ecosystem Approach to Fisheries (EAF), including adaptive management concepts in the management of their fisheries and aquaculture sectors. Special attention should be given to valuing traditional fisheries knowledge in the EAF processes.
- NPOAs-Sharks be developed in Caribbean countries that catch substantial quantities of sharks in their fisheries and that all Caribbean countries improve their data collection on shark catches and landings, as well as the skills to identify different species, in line with the FAO Technical Guidelines on the IPOA sharks and ICCAT recommendations.
- The precautionary approach be applied for deep sea shark fisheries, in order to avoid fishing to depletion of stocks we do not know enough about as yet.
- Priority be given to certain social-economic and ecological objectives in the region, as resources are limited.

To Others (International and Regional Organizations as well as NGOs):

- That FAO supports, through relevant national and regional bodies, fisherfolk representatives and other regional stakeholders in regional processes to develop the SSF guidelines and in the implementation of the guidelines afterwards.
- That FAO considers feedback on specific tools of the EAF toolbox and makes efforts to add examples of how tools are used by countries and projects for information.
- That biennial monitoring of the CCRF implementation in the Caribbean Region should be continued by the FAO Secretariat in close cooperation with the WECAFC secretariat and the countries in the region, to report on specific developments in the region.
- The role of national, regional and international NGOs (e.g. TNC, WWF, IUCN, CARIBSAVE, CANARI, CERMES, CNFO) in the implementation of the CCRF should be increased through better use of their relationships with fisherfolk communities and media, as well as involving these organizations in awareness-raising and capacity building efforts in the region.
- CRFM, OSPESCA, WECAFC and OECS collaborate more closely on the implementation of the CCRF, by organizing joint capacity building activities that target their constituency and by regularly sharing information, including on best practices and successful experiences.
- CLME, ACP Fish II and other projects and programmes active in the region adopt the Ecosystem Approach to Fisheries (EAF) and the precautionary approach in their activities and ensure that policies, strategies, plans and legal frameworks developed with support of these projects adhere to the principles of the CCRF.

- Awareness raising and information campaigns for consumers, including in particular the tourism sector, should be conducted to sensitize the regional market on issues related to sustainable fisheries.

INTRODUCTION

Background and objectives

1. Despite the great efforts many international and regional organizations (e.g. WECAFC, CARICOM/CRFM, OECS/ESDU, ACS/CSC, UWI/CERMES, SICA/OSPESCA, GEF, UNEP, CLME Project) made in the Caribbean region to implement the Code, severe overexploitation of the capture fisheries has continued. FAO estimates that more than 80 percent of world's fish stocks are fully exploited, overexploited, depleted or in the process of rebuilding as a result of depletion. In the Caribbean region there is a wealth of evidence of overexploited and near depleted fish and other aquatic organisms stocks as well. Near shore resources fished by small-scale fisheries such as reef fishes, conch and lobster are foremost among these.

2. Through the Caribbean Community Common Fisheries Policy, which draft agreement was approved by the Fourth Caribbean Regional Fisheries Mechanism (CRFM) Ministerial Council (held in St Johns, Antigua in May 2011) and through the Castries "Declaration on illegal, unreported and unregulated fishing", approved by the CRFM Ministerial Council meeting in July 2010, the CARICOM countries have made an important effort towards transboundary regional collaboration in fisheries and aquaculture. Both policy documents confirm their commitment towards implementing of the Code of Conduct. Similarly, the recent acceptance of the Regional Transboundary Diagnostic Analysis by the countries involved in the CLME Project indicates that there is widespread acknowledgement of the problems facing marine fisheries ecosystems and the need to implement governance reforms.

3. These promising regional policy developments require timely and proper follow-up from all stakeholders involved. The interest of regional non-governmental organizations (CNFO, CANARI, GCFI) in the Code is particularly encouraging. The guidance provided by the Code would clearly benefit the implementation of these policies. Particularly, the guidance the Code provides to Governments and other fisheries sector stakeholders in terms of the human aspects of responsible fisheries management and development, participatory approaches, the role of fisheries in improving rural livelihoods, alleviation of poverty and the achievement of food security, are of major importance for the development and sustainable management of the fisheries sector in the Wider Caribbean Region.

4. It appears that, although awareness on the Code has increased over the last decade, the actions taken towards implementation of the Code have not followed suit in the region. As one of the first steps to be taken in the process of moving from awareness towards increased implementation of the Code in the region, FAO organized a regional workshop in Barbados during the period, 6–9 December 2011.

5. The workshop was financed by the FAO Subregional Office for the Caribbean (SLC), located in Christ Church, Barbados, the Regular Programme of the Fishery and Aquaculture Department of FAO, Rome, Italy and the FAO Multidonor Mechanism (FMM) Programme. The workshop was co-hosted by the Ministry of Agriculture, Food, Fisheries and Water Resource Management of Barbados. Organizing partners are the Centre for Resource Management and Environmental Studies (CERMES) of the University of the West Indies (UWI)¹ and the Western Central Atlantic Fishery Commission (WECAFC)².

¹ More information about CERMES can be found at: <http://www.cavehill.uwi.edu/cermes/>

² Additional information about WECAFC can be found at: <http://www.fao.org/fishery/rfb/wecafc/en>

6. The objectives of the workshops were fourfold:
 - a) bring together fisheries sector policy makers, fisheries and aquaculture administrators and managers, sector representatives and other main stakeholders from the fisheries sectors in the OECS countries, Barbados and some other countries and key institutions in the Caribbean region to increase awareness and understanding of the Code of Conduct for Responsible Fisheries;
 - b) identify obstacles to implementing the Code in the Caribbean region, as well as develop strategies for a more effective implementation in the region;
 - c) build specific capacity for the implementation of the International Plans of Action (IPOAs) for the conservation and management of sharks (IPOA –Sharks) and the Ecosystem Approach to Fisheries (EAF) in the Caribbean region; and
 - d) identify key subject areas for follow-up, capacity building and technical assistance by FAO, WECAFC and partners in support of the implementation of the Code in the Caribbean region.

7. Special attention was given to specific small-scale fisheries and food security issues, as well as regional collaboration in the implementation of the Code.

8. The expected outcomes of the workshop were:
 - a) Increased application of the 1995 Code of Conduct for Responsible Fisheries in national and regional fisheries policies, plans and strategies, as well as increased use of Code of Conduct related tools and guidelines in projects in the Wider Caribbean Region.
 - b) Increased capacity for following up at the national level on the implementation of the International Plans of Action (IPOAs) for the conservation and management of sharks (IPOA –Sharks) and the Ecosystem Approach to Fisheries (EAF).
 - c) Recommendations for follow-up actions (by stakeholders including fisherfolk, aquaculturists, governments, and national, regional and international development agencies and donors) at regional and national level to support the implementation of the Code.
 - d) A list of pertinent priority development interventions that would support the implementation of the Code in the Caribbean region.

Attendance

9. Forty-eight participants from 11 countries (Antigua and Barbuda, Barbados, British Virgin Islands (BVI), Dominica, Grenada, Guyana, St Kitts and Nevis, St Lucia, St Vincent and the Grenadines, Suriname and the United States of America (USA)) as well as from the following organizations: Barbados Boat Owners and Fishers Association (BOFA), Barbados National Union of Fisherfolk Organization (BARNUFO), Bellairs Research Institute, CARIBSAVE, Cape Eleuthera Institute (CEI), Centre for Resource Management and Environmental Studies (CERMES), CLME, Caribbean Network of Fisherfolk Organizations (CNFO), CRFM, Fisheries Advisory Committee of Barbados (FAC), FAO, NOAA, OECS-ESDU, SICA/OSPESCA, The Nature Conservancy (TNC), WECAFC and WWF-Guianas attended the workshop. The list of participants can be found in Appendix B.

Opening

10. Mr Patrick McConney, Senior Lecturer of the Centre for Resource Management and Environmental Studies (CERMES), as Master of Ceremony, welcomed the participants to the University of the West Indies Cave Hill Campus on behalf of Professor Sir Hilary Beckles, Principal of UWI. He recalled that UWI is involved in a wide knowledge network, working in partnership with all key stakeholders in the sector. Mr McConney recalled that there had been in October 2009, a one-day national workshop of the CCRF with the title, “In crisis and in calm: Meeting food security needs through responsible fisheries”.

11. Mr Stephen Willoughby, Chief Fisheries Officer of the Fishery Division of the Ministry of Agriculture, Food, Fisheries and Water Resource Management of Barbados delivered the host country remarks. He stressed the Government policy of giving special attention to small-scale fisheries and food security issues as well as to regional issues in terms of the implementation of the CCRF. Bringing together the main stakeholders to increase awareness and understanding of the CCRF and to develop strategies for more efficient implementation of the CCRF in the Caribbean is high on the priority list. Fisheries play a key role in food security, livelihoods, poverty alleviation and contribute to economic well-being in Barbados. However, overexploitation of marine capture fisheries is a major issue that requires more attention. IUU, Climate change, pollution and over-capacity combined add pressure on fish stocks and contribute to a gloomy picture for the world’s fisheries. Basic principles required for responsible fishing are laid out in the CCRF but implementation has been slow. Almost 30 years after the introduction of the United Nations Law of the Sea and 15 years after the birth of CCRF, there is still much left to do. If old procedures have not worked, new and revolutionary approaches to achieve sustainability in fisheries need to be developed with support from the workshop participants.

12. In her opening address, Ms Florita E. Kentish, Subregional Coordinator for the Caribbean (FAO-SLC) reminded participants of the importance of fisheries in the region, in particular in terms of food security. She stated that in light of the current fisheries and aquaculture crisis in the Wider Caribbean Region, where catches are now some 1.3 million tonnes per year, it is clear that joint efforts are required to stop the downward trend in catch. An analysis of the catches in FAO Statistical Area 31 (the Wider Caribbean Region –WECAFC Region) tells us that catches increased up to 1984, when 2.5 million tonnes were caught, followed by a rapid decline between 1984 and 1992. In 2003 catches stabilized at around 1.5 million tonnes for some years, but they further declined over the last few years to 1.3 million tonnes. Traditional fisheries management approaches appear not to deliver the outcomes desired for the sector and the society at large. This is partly caused by the shortcomings in implementation of existing national and international fisheries measures, instruments and agreements. On the other hand, the old style management approaches have shown their limits as well. New management approaches are therefore being proposed and tested in the region, such as the Ecosystem Approach to Fisheries.

13. She added that the CCRF is in its second decade of implementation and requires concerted action by governments and all stakeholders involved. Implementation requires concrete measures to be put in place. Many difficulties derive from governance issues and the lack of attention by governments to the sector which often has an apparently low contribution to the national economy.

14. The workshop should provide improved knowledge on the CCRF and the related technical guidelines and inform about ongoing issues on small-scale fisheries, the ecosystem approach in fisheries and the international plan of action on sharks. Ms Kentish finalized her opening address by ensuring that the FAO Subregional Office for the Caribbean (SLC), the FAO Fishery and Aquaculture Department and WECAFC stand ready to support the work at national and regional level in terms of implementation of the Code in the widest sense.

15. Mr Raymon van Anrooy, Fishery and Aquaculture Officer (FAO-SLC) and Secretary of WECAFC expressed a vote of thanks to the involved staff from CERMES, the Fisheries Division of Barbados, the chairpersons of the various sessions, the participants, resource persons and FAO staff involved in the preparations for and implementation of the regional workshop. He reinforced the commitment of the FAO-SLC to promote jointly with its partners in the region the implementation of the CCRF. After an introduction of participants, Mr van Anrooy provided an overview of workshop objectives and administrative arrangements. The workshop agenda can be found in Appendix A.

THE CODE OF CONDUCT FOR RESPONSIBLE FISHERIES

16. Ms Joyce Leslie from Barbados acted as chairperson of this session.

Purpose, goals and structure of the code

17. Mr Matthew Camilleri (FAO) delivered a presentation on the goals, scope and structure of the Code of Conduct for Responsible Fisheries. He introduced the subject by giving an overview of the international legal framework concerning fisheries, including binding and non-binding instruments, the latter featuring, in particular, the Code of Conduct and the related International Plans of Action, FAO Strategies and FAO International Guidelines. He went on to describe the purpose and context of the CCRF highlighting that it was a voluntary instrument developed to strengthen the international fisheries legal framework, is directed towards all stakeholders and intends to help countries and groups of countries to develop or improve their fisheries and aquaculture. He added that FAO monitors the application and implementation of the CCRF and promotes it, in collaboration with States and international organizations. Mr Camilleri explained that the principal goals of the CCRF are to set out principles and international standards of behaviour for responsible practices, to provide a reference framework for national and international efforts to ensure sustainable exploitation of aquatic living resources and to promote, *inter alia*, the contribution of fisheries to food security, responsible trade, research, fisheries and aquaculture development and cooperation in the protection, conservation and management of fisheries resources and the environment. He then focussed on Articles 7-12 of the CCRF which he explained contained the detailed principles and standards for responsible fisheries and aquaculture and guidelines for best practices, whilst considering the need to strengthen the capacity of developing countries to implement them. He drew the attention of the workshop that although the provisions of these Articles relate mostly to duties of States, other entities, including vessel owners and fishers, regional fisheries organizations, national authorities, as well as international technical and financial organizations, are also concerned and have a role to play. Finally, he informed the participants that FAO has produced 26 detailed technical guidelines, so far, to assist fishers, industry and governments in taking the necessary practical steps to implement the various aspects of the CCRF.

The use of the Code in the Caribbean region

18. Ms. Katherine Blackman (CERMES) presented an overview of the application of the 1995 FAO Code of Conduct for Responsible Fisheries (CCRF) in the Caribbean region, based on the results of the 2011 Biennial Code Implementation Monitoring Questionnaire prepared for FAO/COFI. The results of the six countries, four regional fisheries bodies and two non-governmental organizations that responded to the survey gave a perspective on the region's progress on CCRF implementation at the national and regional level. The main results indicated that the fisheries policy and legislation in place is partially or fully consistent with the CCRF. However, the main issues included the need to implement the fisheries management plans developed, to make provisions for Monitoring, Control and Surveillance (MCS) regulations, improvements in the policy, legal and institutional frameworks for responsible aquaculture development and integrate fisheries into coastal area management. In addition, more focus on food safety and quality assurance and data training for personnel in Fisheries Authorities would be required.

19. Various constraints hampering the implementation of the CCRF at the country level were outlined by the various countries and non-governmental organizations. Opportunities were presented to address the overarching constraints of lack of or insufficient financial and human resources confronted by Fisheries Authorities. In conclusion, key learning points with respect to the roles played by governments, Regional Fishery Bodies and Non-governmental Organizations were highlighted.

20. The final results of the survey, including responses from nine countries, are made available in Appendix C.

Article 4: Implementation, monitoring and updating

21. Mr van Anrooy presented information on activities undertaken by FAO, other international agencies, countries, Regional Fishery Bodies and other partners in terms of implementation, monitoring and updating of the CCRF, based on requirements in Article 4 of the CCRF.

22. The rationale and responsibilities with regard to implementation, increasing awareness on the CCRF and promoting a better understanding of the Code were explained. It was stressed that the national governments in the region have the primary responsibility for implementation of the CCRF. The importance of collaboration with all key stakeholders (fishers, coastal management authorities, research institutes, universities, processors, retailers, other sector representatives) in undertaking relevant activities was emphasized, and it was argued that in-country implementation is expected to result in phased and incremental changes to the fisheries and aquaculture sectors.

23. The specific roles of the following in the implementation and promotion of the CCRF were reviewed: FAO, international organizations, regional fishery bodies, countries and civil society.

24. FAO's role to promote and facilitate the implementation of the CCRF was detailed, referring to the ongoing provision of technical and legal support to national and regional initiatives. A wide range of FAO activities was described, including technical, policy and legal support and assistance, capacity development, workshops, training and awareness-raising. Collaborative activities with other international organizations active in the Caribbean region were described, as well as promotion through regional fishery bodies (RFBs) and arrangements such as OSPESCA and CRFM. It was added that the role of the civil society and particularly, various international NGOs in supporting the implementation of the Code showed an increasing trend. Specific mention was made of the range of FAO Technical Guidelines for Responsible Fisheries that have been and are being developed to further clarify certain articles of the CCRF and support the implementation thereof. The current work on the Technical Guidelines for Recreational Fisheries was emphasized, because of its particular relevance for the Caribbean region.

25. The importance of available range of information and capacity building tools in relation to the Code was emphasized, and the role of the interregional programme of assistance to support activities relating to implementation of the CCRF, the Fishcode Programme, was described. Reference was made also to the Strategy on improving information on the Status and Trends of Capture Fisheries and a similar strategy for aquaculture.

26. The role of international organizations in promoting the implementation of the CCRF was reviewed, referring to initiatives within the United Nations system – particularly the UN General Assembly and the Division for Ocean Affairs and the Law of the Sea- and the ongoing collaboration with the World Bank was listed.

27. While referring to the regional analysis of the application of the CCRF in the Caribbean region, it was noted that some Governments in the region actively implement the CCRF. The political will, commitment from the chief fisheries officers, efforts of fisheries staff, and the investment of time by the various stakeholders in promoting and implementing the Code or certain aspects of it is considered essential. Without these, implementation will likely fail or not be as successful as desired.

Some examples of CRFM, WECAFC and OSPESCA activities in support of implementing the CCRF were mentioned, such as the Caribbean Community Common Fisheries Policy, Castries Declaration on IUU fishing, WECAFC workshops and the OSPESCA Code of Ethics for Fisheries were mentioned.

28. In accordance with Article 4.2 of the CCRF, FAO monitors the application and implementation of the CCRF through preparing reports to COFI based on responses from questionnaires sent to countries, RFBs and NGOs. Recently the biennial monitoring questionnaires were dispatched again and the response rate from countries, RFBs and NGOs in the Caribbean region was high compared to other regions. An analysis of the responses was presented earlier. Among other things, countries are asked to identify constraints in implementation, and solutions to overcome the constraints to implementing the CCRF. At the global level, the report to the Twenty-ninth session of COFI (January 2011) listed financial limitations (47%), limited human resources (37%) and institutional issues (28%) as major constraints to the implementation. Solutions suggested, included training and awareness-raising of all stakeholders (56%) aligning legal frameworks with the CCRF (40%), and improving MCS (31%). Increasing the Financial and human resources availability (29%) and international cooperation (in terms of development assistance) (29%) were other solutions listed frequently. The complete monitoring reports are made available on the COFI website before every session.

29. Although FAO may revise the CCRF in accordance with Article 4.3, COFI has not requested that the text be updated. Matters that need greater elaboration are being addressed by other means and mechanisms, such as Expert and Technical Consultations and the development of specific Technical and International Guidelines.

30. The presentation concluded that a large number of activities at all levels, with collaboration from a large range of stakeholders and in many forms, have taken place to promote and implement the CCRF at the global level as well as in the Caribbean region since its adoption in 1995.

Summary of discussions of this session

31. With regard to the international legal framework of the CCRF, participants pointed out that the UNGA statements and resolutions, such as the one on the Caribbean Sea as a special area are important expressions of international intent, which even if not specifically on fisheries can be powerful tools to promote fisheries policy and development.

32. It was noted that in the questionnaire on progress in the implementation of the CCRF in the region submitted prior to the workshop was difficult to answer in some cases as often CARICOM fisheries legislation has been developed prior to the adoption of the CCRF in 1995. In some cases there are conflicts among national legislations and regulations and between national legislation and the provisions of the international legal framework. Hence, there is a need to update national legislation to put the institutional framework in place that will be conducive to implementing the CCRF.

33. Participants reported that in some cases the answer options only included a yes and no answer which did not allow for notes and explanations that were necessary to capture the full picture of the existing grey areas.

34. Some participants noted that their national legislation embraces the CCRF and in various cases the fisheries act and regulations were developed with FAO support (e.g. Antigua and Barbuda). Fisheries legislation is however not consistent throughout the region and this creates difficulties in achieving responsible fisheries; more harmonization, in line with the principles of the CCRF, would be essential.

35. Recognizing the importance of having references to the CCRF in national fisheries legislation, the participants from CRFM and OSPESCA informed the workshop of their efforts to support implementation of the CCRF in their member countries. The participant from the OECS added that policy approaches that eventually transformed soft laws into legislation have proven their success in the past. Participants further noted that although legislation is important, the absence of proper legislation should not be used as an excuse for not taking action. It was noted that fisheries legislation, even if it is passed, may not be implemented and calls for continuous follow-up.

36. Some participants stressed the importance of policy frameworks to promote the implementation of the CCRF. At the national level (e.g. in St Lucia), policies targeting the tourism sector successfully incorporated principles of the CCRF as components to achieve overall sustainability. It was proposed that other sectors should be included in intersectoral approaches (e.g. outreach and awareness activities) on the CCRF and that the inclusion of the CCRF in policy documents could make available funding for implementation. In this respect the participant from CLME stressed that the Strategic Action Programme (under development) also includes the establishment of national inter-sectoral committees to prepare the ground for implementation by securing buy-in from different sectors; as the CLME project aims to strengthen regional fisheries governance by existing institutions.

37. Some participants stressed that policy and decision-makers, in particular the elected representatives, are key in the process but they are too often left out of the CCRF implementation efforts. Creating political will is particularly important for implementing an ecosystem approach to fisheries to speed up national fisheries reform processes. It was added that the ACP Fish II project is dedicated to developing fisheries and aquaculture policies in a number of countries in the region and that efforts should be made to incorporate CCRF principles in the new policies that are being developed. It was noted that political will could be enhanced by informing the policy makers of the value of the sector and its contribution to the GDP, employment, poverty alleviation and food security. Awareness raising, using the media (e.g. the radio) to promote the implementation of instruments like the CCRF is required. Good public information is perceived as a prerequisite to facilitating implementation.

38. A need for more bottom-up (grass roots level) approaches was identified, including fishers in the implementation of the CCRF. At the same time, fishers will develop an understanding of unsustainable practices and can contribute to MCS through self-regulation.

39. Recognizing that the complexity of fisheries issues has greatly increased over the last decade, it was stressed that regional organizations could play an important role in determining joint priorities for action. It was added that continuous support would be required, rather than ad hoc interventions for the implementation of the CCRF. A more programmatic and innovative approach is therefore needed. Ongoing processes in the region need to be streamlined to develop synergies and avoid the emergence of contradictory actions.

40. Some participants questioned how other instruments like the IPOAs and the Port State Measures Agreement are embodied in the CCRF implementation efforts. Clarification is also needed as to whether in the future priority should be given to updating the Code or rather to developing more binding instruments. It was pointed out that even if countries have ratified binding instruments, their implementation usually lags behind. WECAFC and CRFM have therefore increased their efforts to generate awareness on international fisheries instruments among national authorities in their member countries.

Management issues

41. Mr Patrick McConney (CERMES) acted as chairperson of this session.

Article 7: Fisheries management

42. The workshop went on to focus on aspects related to fisheries management as covered by the Code of Conduct and detailed in the related Technical Guidelines (no. 4 in the series). Mr Matthew Camilleri (FAO) delivered a presentation on this subject highlighting the essential components. He introduced the subject by stating that sound fisheries management guarantees the long-term conservation and sustainable use of fisheries resources and that this is achieved through the efforts of States, in consultation with stakeholders, cooperation initiatives among States, regional and subregional organizations, as well as governmental and non-governmental organizations. He then covered the overriding principles for responsible fisheries management, emphasizing that management objectives should be long-term and based on the four dimensions of sustainability – environmental, biological, social and economic. He touched on the importance of formulating management measures on the basis of the best scientific evidence available and which aim to maintain or restore stocks at levels capable of producing Maximum Sustainable Yield (MSY).

43. The necessities of applying the Precautionary Approach together with the setting of stock-specific reference points were also addressed. Furthermore, he focused on the importance, for fisheries management, of undertaking research, socio-economic impact studies, the compilation of statistics on catch and fishing effort and other fishery-related parameters, the collection of scientific data on fish stocks and the fishery ecosystem, as well as the authorization, regulation, monitoring, control and surveillance of fishing activities. He also underlined the need for appropriate legal and administrative frameworks, sanction provisions, MCS and enforcement schemes to be in place for the effective implementation of fisheries resource conservation and management.

44. Focussing on the core guidelines for fisheries management, Mr Camilleri broadly described the components to be considered in a fisheries management framework – resource characteristics, biodiversity and ecological considerations, environmental considerations, technological considerations, socio-economic considerations, institutional concepts and functions, timescales and the precautionary approach. In addition, he described the fisheries management cycle, which is highly dependent on reliable data and information, and gave a general overview of possible management measures and approaches which are commonly used – technical measures, effort control, catch control, access control and management partnerships. He concluded his presentation defining the key elements required for an effective fisheries management process, including the formulation of a fisheries management plan in consultation with all stakeholders, the identification through consultative processes of specific objectives which consider all sustainability dimensions, together with the implementation of management plans, through the support of an effective legal and institutional framework, administrative structure and MCS scheme.

Summary of discussions

45. Some participants noted MSY or MEY or resource status guided fisheries management, require considerable information. The absence of the necessary information should not withhold countries from taking decisions and develop their fisheries management. This would be in line with the ecosystem approach to fisheries.

46. Regional organizations (OSPESCA and CRFM) reported that their member countries have very different capacities in terms of data collection, for example. Sometimes countries do not have any arrangements in place but through mechanisms like the CLME project new synergies are developed to harmonize national regulations and reach binding agreements, as has happened for the spiny lobster fishery in Central America. One example of a success is lobster fishing season closure that is implemented in different countries at the same time.

47. Some participants noted a certain reluctance to implement the provisions of the CCRF due to time lags in objectives (e.g. short-term interests versus the long-term CCRF vision), not only by States but also by other stakeholders. Reducing fishing capacity is an unpopular measure, in particular in the absence of alternative employment opportunities in a region with already high levels of

unemployment. IUU fishing is prevalent throughout the region but implementing MCS to tackle the challenges is seriously constrained by the lack of resources. The Common Caribbean Community Fishery Policy is a positive example for a move in the right direction to take concerted action to achieve sustainable fisheries in the region. The queen conch over-exploitation was dealt with successfully at the regional level, also thanks to the decisive role played by CITES in the process. It was pointed out that the success in both the spiny lobster conservation as well as in the queen conch case relied heavily on collaboration by all stakeholders. This resulted in agreed levels for minimum sizes, not only for harvesting but also for imports in the USA.

Article 10: Integration of fisheries into coastal area management

48. Mr Patrick McConney (CERMES) reminded the participants that the CCRF is about fisheries and not only about fishing. The sector is characterized by a complex production chain and embedded in a network of interactions with other sectors. The complexity calls for an ecosystem based approach and integrated coastal management. The latter one is dealt with in Article 10 of the Code. Article 10 has four main sections, institutional framework, policy measures, regional cooperation and implementation.

49. The institutional framework refers to policy, legal and institutional aspects as well as to the representation of the fisheries sector and fishing communities in decision-making processes regarding coastal management planning and development. Examples from many countries exist, also in the Caribbean, where statutory fisheries advisory committees have been established. The institutional and legal frameworks also refer to the use and access rights to coastal resources as well as to conflict management mechanisms, within and beyond the sector. One of the tools that is gaining ground to avoid/manage spatial conflict is marine spatial planning.

50. In terms of policy measures, public awareness of the need for protection and management of coastal resources is needed, as well as participation in the management process by the stakeholders. Systems to monitor the coastal areas are needed and a lot of guidance is already available in this respect, from social science as well as from natural sciences.

51. Regional cooperation requires that neighboring coastal areas cooperate in the sustainable use of coastal resources and that they ensure the conservation of the environment. In the Caribbean cooperation at different scales is already going on. Mr McConney mentioned CRFM, OECS, WECAFC and ACS activities in this respect.

52. In terms of challenges, there is a need to conceptualize integrated coastal management, to integrate plans, to manage conflict, redistribute power, build capacity, sustain financing, monitoring, engaging the fisherfolk and collaborate regionally. Integration of fisheries into coastal areas management is taking place in some countries, but not always references are made to the CCRF.

53. Mr McConney ended his presentation emphasizing that moving forward with Article 10 requires the building of resilient institutional frameworks, establishing stronger fisher organizations, getting fisheries deeper into decision-making, managing conflict proactively and effectively, making the public more aware of marine matters, mainstreaming of monitoring into management, promoting multi/inter-disciplinary research, strengthening transboundary cooperation and enhancing fishers stakeholder capacities.

Summary of discussion

54. The participants noted that there is a strong foundation for the implementation of Article 10 in the region and that integrated coastal zone management would benefit from more capacity development activities.

55. Through the establishment of fisheries advisory committees in a number of the countries the governments had intended that collaboration with other sectors would increase. Often the fishery advisory committees provide technical advice. In terms of coastal policy development and planning, there is sometimes a no respect of fisheries interests, particularly when fishery advisory committees are weak.

56. Information sharing with other sectors was considered a key for successful integration of fisheries into coastal zone management.

The Ecosystem Approach to Fisheries and the EAF toolbox

57. Mr Peter Murray (OECS) chaired this session.

58. Ms Hazel Oxenford (CERMES) started her presentation with recalling the history of the EAF. EAF is not a new concept but the result of a convergence of different initiatives and events towards sustainable development. These include, for example, the UNCED led activities including the Conference on Human Development in 1972, the 1992 UNCED Earth Summit and the Malawi Principles in 1998. The latter one includes 12 principles of the ecosystem approach to biodiversity management. The UN Millennium Declaration (2000) and the Declaration of the World Summit on Sustainable Development WSSD (2002) also included reference to the ecosystem approach.

59. With regard to fisheries, relevant stepping stones towards EAF include the 1982 UNCLOS, followed by the UN Fish Stock Agreement in 1995. FAO dedicated a conference to responsible fisheries for the first time in the Cancun Declaration in 1992. A major outcome of that conference was the development of the CCRF. The 2001 Reykjavik Declaration from 2001 includes a voluntary commitment to adopt the ecosystem based fisheries management. The FAO Committee on Fisheries (COFI) adopted EAF as an approach to implement the CCRF.

60. In summary, EAF is a compilation of improvements in the way that natural resources are management. Ecological boundaries (rather than administrative or political boundaries) are key. It focuses on the long-term ecosystem health and recognized the human use and values of the ecosystem.

61. The ecosystem approach is an umbrella under which sectoral approaches, including the ecosystem approach to fisheries are enacted as a framework alongside other ecosystem approaches (e.g. for tourism etc.).

62. There are many examples of steps on the road to EAF, including the establishment of Fishery Advisory Committees, co-management initiatives, strengthening of fisher organizations and many more. In the region, the Lesser Antilles Pelagic Ecosystem (LAPE) project (2002-08) and the Mesoamerican Healthy Reefs for Healthy People Initiative (2002-7) are but two practical examples for the application of EAF related concepts. NGOs and UN agencies have produced a wide variety of guidelines and best-practices for implementing an ecosystem approach.

63. FAO considers EAF an extension of conventional fisheries management. For example, it also includes the impacts of fisheries on associated species and the larger ecosystem. FAO is actively promoting EAF through technical guidelines, best practices and by assisting its member countries with the implementation of EAF related projects.

64. The EAF tool box is a web based 'How to' guide which facilitates the use of the EAF in a more practical manner. The tool box was launched on 5 December 2011 and details each of the following four steps for implementing EAF. **Step 1**, Initiation and scope, consists of three key activities:

- 1 - Initial process planning and stakeholder support (the final result will be a planning team and a roadmap),

- 2 - Defining the scope and the values, and
- 3 - Finalizing a scoping (EAF baseline) document.

65. The overall purpose of this first step is to gather initial information and to plan a participatory process consistent with the context (cultural, resources available, types of fisheries, etc.). It will also include the definition of the scope and scale of the EAF, and the development of a common understanding of what the current situation is and what the potential issues are. It will also allow for determining whether there is the willingness and the capacity to proceed.

66. At the end of **Step 1** a scoping document with all relevant fishery information (e.g. current fishing policies, management documents, status reports, stock assessments, broader ecosystem issues, community and social/economic information) based also on informal information, traditional and local knowledge is compiled.

67. Having identified the scope, **Step 2** in the EAF process is to *identify assets, issues and priorities*. The purpose of this step is to identify all the relevant issues (given the scope) across the main components of EAF (ecological well-being, human well-being, ability to achieve) for the 'fishery' being examined. This is where it is important to have the scope well defined because it will greatly affect what issues are identified depending upon whether coastal and subsistence fishing is included or not.

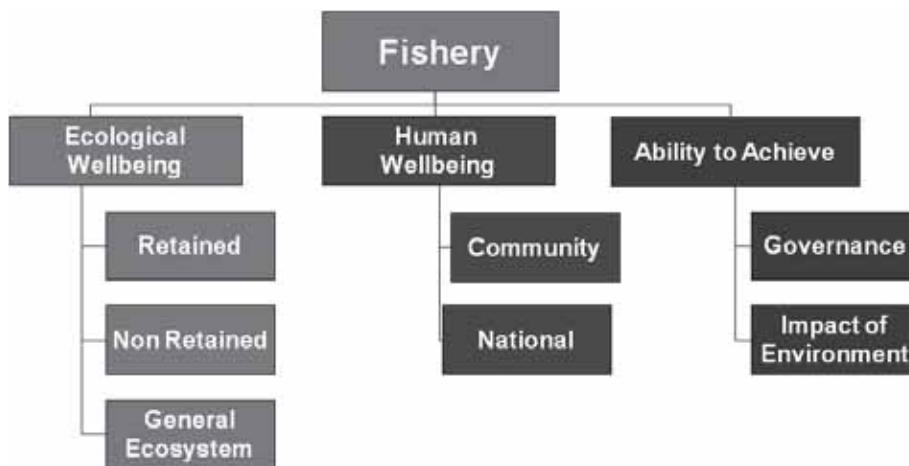


Fig. 1 Generic component tree showing main categories

68. The issues then need to be prioritized. This is achieved through a risk assessment. At the end of **Step 2** there will be a comprehensive list of assets and related issues and a ranked list of priorities for action.

69. **Step 3** is to *develop the EAF management system*. For each issue, an operational objective needs to be formulated. And for each operational objective indicators need to be developed to be able to monitor each objective. Finally, cost-effective management measures need to be identified and chosen to achieve the operational objectives.

70. **Step 4** is to *implement, monitor and review* the fisheries management plan. An implementation plan needs to outline who is doing what, when, with which resources. Once implemented, performance needs to be reviewed in terms of implementation progress, in terms of outcomes and in terms of the overall EAF plan.

71. The EAF tool box (www.fao.org/fishery/eaf-net/en) provides tools for every single step. The tools are ranked in terms of cost, level of difficulty, capacity required for use, the level of information

needed, the time frame and the level of participation. The toolbox also includes templates, links to additional sources and ‘play lists’ with suggested combinations of tools for certain types of fisheries.

72. A demonstration tour for **Step 1** illustrated the features provided by the toolbox, including the list of available tools and the related selection criteria. It provides a description of the tool, its purpose, user tips and much more.

Summary of discussions

73. The participant from OSPESCA noted that in Central America the EAF is gaining ground but is often perceived as a primarily environmental issue. FAO is working with OSPECSA in El Salvador and this is valued very positively. Participants reported also on the introduction of EAF in St. Kitts and Nevis and Belize.

74. It was noted that the EAF toolbox could be of assistance in situations in which decisions have to be taken rather quickly and in which different stakeholders have opposing views (e.g. biological vs. socio-economic). Conflict management tools should be an important part of the EAF toolbox. The need to build on available information was stressed and it was argued that constant monitoring would provide increasing information and feedback into the management system. It was pointed out that the fishers are actually the best source of information in cases in which scientific information is lacking.

75. It was added that the ACP Fish II project is planning to update fisheries management plans and policies in the region and it would be useful to consider integrating the EAF and to make use of the EAF toolbox.

Working group outcomes

76. Participants were divided into four groups and tasked to prepare a scoping, an issues identification for ecological and human well-being issues and for the ability to achieve. They were also invited to report on the usefulness of the toolbox tool applied.

77. Mr Milton Haughton (CRFM) moderated the group work presentations.

Group 1 – Step 1: Initiation and scope

78. The group selected the spiny lobster fishery in a fictive state ‘Angura’ and focused on the commercial fishery. The commercial fishers use scuba diving with tanks, while other traditional methods include traps, free diving, spear guns and even hooks, in some cases. It was decided that the boundaries for the EAF would be set at 12 nautical miles within the EEZ. High level values included the sustainability of stocks, maintaining the ecosystem and the sustainability of the livelihoods. The Fisheries Department was identified as primary agency in terms of direct responsibility, with fishers associations and vessel owner associations as primary stakeholders. Other agencies to be involved included the labour department, the health department and the environmental department. The labour and the health department were considered important as current diving methods pose major threats to the fishers.

79. Overall, the group agreed that as a one-page summary the template was useful.

Group 2 – Issue identification: ecological well-being, human well-being, ability to achieve

80. The template for the component list in the toolbox was available only as a pdf file. The fishery examined was the grouper fishery. Not all of the categories suggested in the template were considered relevant for this fishery. The group identified the following as key EAF components: retained species, discarded species, general ecosystem and external drivers. Categories, issues per component and threats and impacts were discussed as well for the grouper fishery.

81. The group appreciated the template as a useful tool to organize the thoughts but it would be better to have it in Excel format to allow for comments to be added. However, it was pointed out that additional information on how to complete the template would have been useful.

Group 3 – Issue identification: human well-being

82. The group looked at the snapper fishery with its different features in the region. The fishery is an important buffer in terms of employment provision during the off-season for pelagic species. It suffers from increasing operating costs, in particular due to increasing fuel costs, while there is limited room to negotiate prices. Traditional fisheries knowledge and methods are by now marginalized by more modern technologies.

83. It was considered a useful exercise that encourages managers to think of impacts from different stakeholder points of view and can be used to rapidly compile comments during a consultative process. It was considered that the tool would help managers think in a step-wise manner in developing the problem tree. It would also help stakeholders to see issues from each other's points of view.

84. There were difficulties encountered in the interpretation of certain concepts used by the toolbox; there may be the need to include within the format some explanation to ensure that users interpret issues in the same way (example: income).

85. In terms of follow-up action, it was suggested to develop examples or scenarios for application in Small-island developing states (SIDS) or CARICOM states in particular.

Group 4 – Issue identification: ability to achieve

86. The group looked at the artisanal shark fishery. It was noted that there is a lack of regional collaboration on shark conservation and management. Regional collaboration is often not necessarily species specific, but wider in scope, but for the purpose of the exercise only one species was focused on. The list of issues and threats and impacts identified by the working group was large.

87. In terms of the use of the EAF tool, it was perceived that the template was helpful to generate discussion. It would also be preferable to have it available in Excel format.

Summary of discussion

88. Various participants pointed out that in 'real' life the analysis needs to be more thorough (in terms of type of fishery, etc.) and that the complexity of fisheries may make the real analysis more difficult. The participant from the CLME informed the workshop that CLME follows a GEF step approach and that the Strategic Action Programme to be developed will support implementation of the EAF.

89. It was clarified that EAF is based on adaptive management so that learning throughout the process can feed back into the process. In addition, the step order suggested by FAO does not exclude different uses of the tools. Any suggestions for improvements to the toolbox should be directed to FAO by all users.

Caribbean Large Marine Ecosystem (CLME) project

90. Mr Patrick Debels (CLME) gave a brief update on the current situation of the CLME and recalled that 23 countries and two associated states collaborate in the project. He added that the project website (<http://www.clmeproject.org/portal/default.aspx>) has been reorganized and will contain much more relevant information. Currently, the intranet is accessible to the participating

countries and steering committee members. He informed the audience that one major outcome of the project is the Transboundary Diagnostic Analysis (TDA). TDA provides information for the countries to jointly identify activities in the region to manage shared resources. It was decided to apply EAF for the implementation of these activities.

Group work on governance frameworks and the Code

91. Patrick McConney (CERMES) explained the group work to the participants. The four groups continued to work on the fisheries identified previously. The objective of the work was to recommend one or more regional multi-level governance arrangements for effective implementation of the Code in the context of current Caribbean marine fisheries.

92. Marie-Louise Felix (WWF Suriname) facilitated the working group presentations.

93. The groups were assigned the following specific tasks:

- a) For each of the six thematic areas of the Code, identify the main (a) regional (including sub-regional) and (b) national/local organizations involved.
- b) List what roles (only up to three) they play in implementing the Code at each level.
- c) For each of the five steps in a policy cycle to implement the Code, identify from the previous lists the major regional and national organizations (up to three for each step) involved.
- d) Suggest how the organizations identified in implementing the Code should be networked by considering each of the organizations at each step in the policy cycle to be a network cluster.
- e) Suggest institutional arrangements through which the organizations so networked into clusters can be further linked to learn and adapt collectively in order to improve the whole implementation of the Code in the region.
- f) Recommend ways to scale up from the starting countries to the remainder of the region.

Group 1 - Fisheries management (Lobster fishery)

94. Group 1 looked particularly into fisheries management aspects. The group identified key regional organizations actively involved in (lobster) fisher management, including: CRFM, WECAFC, UWI (and regional universities, University of Miami, etc.), GCFI, COTED Council of ministers for Trade and Economic development (CARICOM), OSPESCA and the OSPESCA-CLME Lobster Pilot. Their roles in terms of implementation of the CCRF were discussed.

95. At the national level, the roles of the ministries of agriculture, fisheries departments, fisherfolk organizations and fishing cooperatives were made clear in terms of supporting the implementation of fisheries management principles under the CCRF.

96. The group also looked at the need for interaction among the different stakeholders. A weak link identified was the communication with COTED and between the fisheries departments and the fisheries organizations; sometimes there is no communication at all. There is a need to review the linkages and identify how they can best be strengthened.

Group 2 – Fishing operations

97. The group based its work on Article 8 of the CCRF.

98. Group 2 identified at (sub-)regional level the following organizations as important stakeholders: CRFM, OECS, OSPESCA, UNEP and WECAFC. These organizations were considered important in terms of:

- (1) Providing advice and technical assistance for fisheries management, statistics/data collection management and analysis.

- (2) Educating, training and building capacity at the national level.
- (3) Providing a collective voice for Member States.

99. At the national level, the Fisheries Division/Department working under the Ministry of Agriculture/and Fisheries was considered the main stakeholder, while Marine Police was often made by the Ministry of National Security. The Public Health/Food Safety Department, Customs Department, Agriculture Department and Maritime Authorities/Shipping Registries also play a role. The roles of the various national level institutions with regard to CCRF implementation were discussed in detail by the group.

100. In terms of implementation, once a policy has been approved, the collaboration of fisheries organizations with regard to the different fisheries management measures would be expected. It was noted that review and evaluation of implementation is often rather weak. National institutions should involve fisherfolk in the review and the evaluation process.

Group 3 - Integrating fisheries into coastal management

101. The group pointed out that CRFM, OECS/ESDU, OSPESCA, CEHI (IWCAM), FAO/WECAFC, CHTO/CTO, CARIBSAVE and UWI have important roles to play at the subregional level in terms of integration of fisheries into coastal area management. At the national level roles were identified for Fisheries entities, Coastal Zone Management entities, Maritime authorities and fisherfolk organizations.

Group 4 – Post-harvest and trade

102. The group focused on a few regional organizations to develop the different steps. It mainly addressed the roles of the CARICOM Regional Organisation for Standards and Quality (CROSQ) and CARICOM Regional Negotiating Mechanism (CRNM). At the national level, it was considered that the CITES National Authority, National Bureau of Standards, Ministry of Health, Ministry of Agriculture (including Veterinary Office, Fisheries Division, Analytical Service and Quality Control Office), Ministry of Commerce, Customs, Association of (Industrial) fish processors and fisherfolk (hawkers) associations would have important roles on post harvest and trade related aspects of implementation of the CCRF. It was noted that networking among all players in the supply chain may vary.

Summary of discussion

103. The participants were reminded that the CRFM has an office for trade negotiations, that the World Trade Organization (WTO) plays an important role in terms of subsidies and there is an OECS office in Geneva in support of OECS trade issues. Examples were given also about the role of the navy and coast guard in terms of enforcement of fisheries legislation in some of the Caribbean countries. It was noted that the CARICOM has a new Agricultural and Food Safety Agency (CAFSA) with a specific mandate that includes fisheries product safety related issues. Being under establishment CAFSA is expected to play a role in the near future in the region.

104. It was commonly agreed that the fisherfolk organizations were not properly reflected among the key stakeholders as yet; something which requires change. In addition, it would be helpful to identify institutions that are able and willing to play coordinating roles in each area of implementation.

ISSUES OF SPECIAL ATTENTION

Small-scale fisheries (SSF)

The FAO Technical Guidelines on increasing the role of fisheries in poverty alleviation and food security.

105. Ms. Nicole Franz (FAO) pointed out that since the publication of the CCRF there has been a growing realization of the importance of addressing socio-economic issues, especially those relating to the small-scale subsector. The Technical Guidelines No. 10 seeks to reflect this new emphasis and to expand on the guidance offered by the CCRF. The Twenty-third COFI Session in 2003 welcomed the suggestion that the FAO elaborate, in the context of the CCRF, technical guidelines for increasing the contribution of small-scale fisheries to food security and poverty alleviation. FAO convened an Expert Consultation on the Role of SSF in Poverty Alleviation and Food Security in 2004 and the Technical Guidelines were published in 2005.

106. The objectives of the Technical Guidelines are to provide a special focus on inland and marine small-scale capture fisheries and their current and potential role in contributing to poverty alleviation and food security by expanding on relevant principles and standards set forth in the CCRF, and to make practical suggestions about ways to ensure that this role can be enhanced. The Guidelines are directed at decision-makers, planners, and all those involved in developing and implementing policy relevant to small-scale fisheries, including fishers and fishworkers. The expert consultation also recommended preparing a more comprehensive technical paper as a companion document to the guidelines. This was done with the publication of the FAO Fisheries Technical Paper No. 481 in 2007 which provides additional background information.

107. SSF contributes to economic growth at the national level by generating foreign exchange through the multiplier/GDP effect based on the interdependencies within the sector and with other sectors. Taxes are a re-distribution mechanism. However, in SSF tax generation can be constrained by geographical remoteness and informality. The income multiplier applies also at the local level, in particular in areas where fish may be one of the few products in rural economies that can generate cash to spur and stimulate demand. At the household level it is estimated that SSF accounts for 90 percent of the direct employment in fisheries (35 million fishers in 2008). Fisheries is maybe even more important as a poverty prevention activity which sustains livelihoods in areas where alternative employment may be scarce and social security programmes either minimal or non-existent and access to fishing grounds is relatively easy and free.

108. Fish supply has increased considerably at the global level and fish is an important source of protein and micro-nutrients. The importance of fish for food security varies obviously – by region, by country and even by household within a country. Changes in global demand and supply as well as improved transportation resulted in important increases in trade. The impacts of trade on food security in developing countries are not necessarily clear-cut.

109. The Technical Guidelines cover the issues of pro-poor policy, legislation (fisheries and non-fisheries legislation), implementation, cross-sectoral issues, fisheries management, post-harvest issues, financing and information, research and communication.

Development of the international instrument on small-scale fisheries

110. Ms. Franz informed the workshop that an FAO Global Conference on Small-scale Fisheries took place in 2008. Based on this conference and on the recommendations made by the Twenty-eighth session of COFI in 2009 with regard to the potential development of an international instrument and programme for small-scale fisheries, an Inception Workshop of the FAO Extrabudgetary Programme

on Fisheries and Aquaculture for Poverty Alleviation and Food Security (2009) and three regional consultative workshops (2010) were held.

111. These workshops generated inputs and guidance to the contents and process of developing an assistance programme for fisheries and aquaculture and guidance on the scope and contents of such an international small-scale fisheries instrument. The workshops recommended that a small-scale fisheries international instrument and assistance programme should be informed by human rights principles and existing instruments relevant to good governance and sustainable development, comprising the ecosystem approach to fisheries (EAF) as a guiding principle for resource management and development and incorporate disaster risk management (DRM) and climate change adaptation (CCA). In parallel, the Committee on Food Security (CFS) of FAO is currently working since 2009 on Voluntary Guidelines on the responsible governance of tenure of land, fisheries and forests in the context of national food security.

112. The Twenty-ninth session of COFI (2011) approved the development of the new international instrument on small-scale fisheries that would draw on relevant existing instruments, complementing the CCRF in the form of international guidelines. FAO is now working to meet this request to obtain a negotiated international instrument. The negotiation process actively encourages contributions from civil society. The instrument is expected to consolidate and transmit the wealth of knowledge on SSF generated so far. Importantly, the guideline development process should take place in parallel with the implementation as national and regional consultations inform relevant policies. The Voluntary Guidelines will be global in scope – but have a focus on developing countries. They will cover both, marine and inland capture fisheries and consider the sector in its entirety, from production to post-harvest and its institutional set-up. They aim to increase the sectors contribution to poverty alleviation and to social and economic development and to promote the principles of good governance of fisheries and sustainable utilization of the resources. Engaging closely with stakeholders early on and involving them in the process of developing the Guidelines is prerequisite for arriving at a final product that is accepted, respected and applied.

113. The Guidelines should be based on principles of good governance, take a human rights approach, pursue equitable development including gender equality and non-discrimination, promote holistic and integrated approaches and use the Ecosystem Approach to Fisheries (EAF) as a guiding principle.

114. A *Discussion Document: Towards Voluntary Guidelines to secure sustainable Small-scale fisheries* has been published to facilitate stakeholder consultations. It includes a first part on overall considerations and second part on suggested topics (Participation of stakeholders and representation; resource governance, access regimes and enforcement; social and economic development; disaster risks and climate change; post-harvest, employment and value chains; social and gender equality; policy coherence, institutional coordination and collaboration and research and information needs, sources and exchange).

115. Since May 2011, national and regional consultations have been taking place, or other events have been used, to promote the Guidelines development process. A report on the progress of the process will be presented to the Thirtieth session of COFI in July 2012. From September 2012 to April 2013 more consultations on the Zero Draft will take place, the outcomes of which will feed into the draft guidelines in June 2013. An FAO Technical Consultation will further negotiate the text and a final negotiated draft will be presented to the 31st session of COFI in 2014 for approval.

116. There are different ways to engage, benefit and contribute to the development of the instrument, including: by creating awareness of the process and existing initiatives and instruments relevant to small-scale fisheries, through national and/or regional consultations by integrating key principles and thematic areas into regional and national programmes, strategies and work plans, through WECAFC, OSPESCA and CRFM, through projects like ACP Fish II and CLME and through NGOs.

Summary of discussions

117. Some participants noted that there is usually a bias in the stakeholder involvement as SSF representatives often do not have the means to attend or organize consultations and would like to know more about how they could better participate in the consultation process. The weak level of organization of fishers in fishers' organizations and their limited capacity to engage was emphasized. It was added that SSF are also particularly affected by certain management measures, including MPAs.

118. Participants stressed the need to mainstream small-scale fisheries, for example, in Poverty Reduction Strategy Papers (PRSPs) in the region. To improve the situation of the sector there is also a need to engage with other ministries, not only with the one responsible for fisheries. The limited scope and number of poverty assessments in the region was noted, while recognizing the ongoing work of CRFM in terms of a regional study to determine poverty levels in fishing communities. Increased monitoring of the sector would be needed to better understand the sectors' characteristics and needs, in particular as fisheries is so important for Small Island Development States (SIDS). Development banks could play an important role in improving small-scale fisheries sector performance. It was also advised to dedicate specific attention to the issue of resilience. This includes for example investment in insurance mechanisms for the small-scale fisheries sector.

IPOA sharks

119. Mr Edward Brooks (CEI/University of Plymouth, United Kingdom) made a presentation on the "Management and Conservation of Sharks in the Greater Caribbean: Implementing the IPOA-Sharks", which he prepared in close cooperation with Mr Andy Danylchuk of the Department of Environmental Conservation, University of Massachusetts, USA)

120. Mr Brooks started with a historic overview. Over 400 million years ago the early ancestors of modern fish diverged into two evolutionary successful lineages, those which evolved bony skeletons, and those which retained an almost entirely cartilaginous skeleton. The latter group, the chondrichthyes, contains all sharks, skates, rays and chimaeras. Most chondrichthyans exhibit predominantly K-selected life history traits, which include slow growth rates, late ages of maturing, low fecundity and low levels of natural mortality, all of which can lead to slow rates of population growth. As a result, sharks are especially vulnerable to anthropogenic sources of mortality, such as fishing.

121. In recent years elasmobranch fishing effort has increased dramatically due to global declines in fish stocks and an increased demand for shark fins on the Asian market. Best scientific estimates indicate that 26–73 million sharks are harvested every year, although many conservation groups suggest that this figure is much higher. This high level of fishing effort, combined with the low fisheries resilience exhibited by most sharks, has led to 28.9 percent (n=313) of all known chondrichthyans to be listed as near threatened, vulnerable, endangered or critically endangered on the IUCN Red List. Species specific declines of over 60 percent are commonplace, particularly in pelagic species.

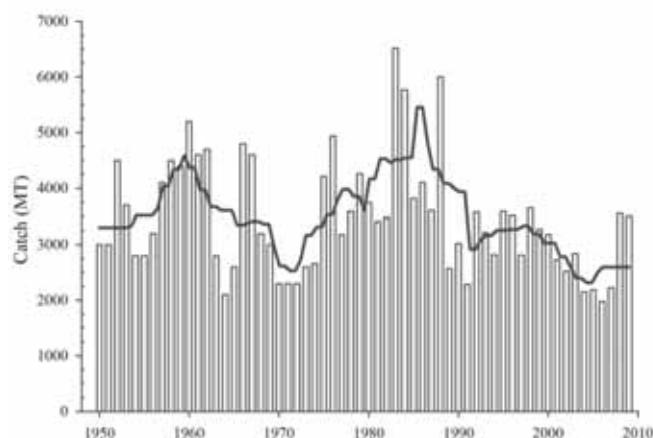


Figure 1 - Reported landings of chondrichthyan species in the greater Caribbean and central western Atlantic region, 1950 - 2009. (Source: FAO FIGIS)

122. In the greater Caribbean and western central Atlantic, sharks were once highly abundant, based on anecdotal records. No empirical data exists prior to 1950, when landings were first reported to the FAO. Data derived from all Caribbean nations indicate that landings in the last ten years are significantly lower when compared to the 1950s, 1960s and 1980s (Figure 1; Kruskal Wallis - $\chi^2 = 14.12$, $p = 0.015$). This decline in reported catch is in contrast to an ever increasing demand for shark fins on the global market suggesting that the resource is becoming depleted. This is supported by two recent publications which suggest that apex predators in the greater Caribbean region are significantly less abundant in areas of high population density. In addition to fisheries mortality, it is thought that habitat degradation through coastal development and prey scarcity from overfishing has had a part in the general decline of apex predators in the Caribbean region. At present, data from the IUCN suggest that 33.1 percent of all chondrichthyans in the greater Caribbean region are near threatened, vulnerable, endangered or critically endangered.

123. Mr Brooks stressed that managing and conserving sharks is challenging. In addition to those species on the IUCN list, a further 46.2 percent are listed as data deficient, meaning not enough basic biological and ecological data exists on which to base a decision. In addition, many species in the region are highly migratory and transboundary in nature, requiring regional initiatives for effective management. The largest apparent challenge is the lack of accurate data pertaining to shark fisheries in the region. Landings data reported to the FAO vary widely based on the infrastructure and capacity of the individual member states and in many cases, where landings are perceived to be low artisanal catches, are not reported at all. In addition, there is considerable variation in the type of data communicated to the FAO (e.g. dressed vs. whole weight), and virtually no species-specific data.

124. Mr Brooks detailed that the International Plan of Action for the conservation and management of sharks (IPOA-Sharks) was established in 1998 as one of four IPOAs produced under the CCRF. The IPOA requires that any country contributing to shark mortality, by directed fisheries or as bycatch, should participate in the management of the stocks, and as a result, should develop a national plan of action for shark management (NPOA-Sharks). The NPOA should ensure that all stocks are maintained at stable levels, and that all socio-economic and nutritional considerations of subsistence fisheries are taken into account. It was suggested that states should have developed NPOAs by 2001; however, based on the results of the email survey conducted prior to the workshop, only 20.5 percent of Caribbean nations had developed NPOAs and only 25.6 percent have any legislation pertaining to the management of sharks at present.

Summary of discussions

125. The workshop was informed that Belize enacted legislation to regulate shark fishing.

126. Some participants stressed that shark fishing, management and conservation is an issue that needs to be tackled also at the regional level through a harmonized approach. In this respect it was noted that OSPESCA is encouraging its members to develop NPOAs for shark and informed the workshop that a regionally binding instrument banning shark finning had just been passed.

127. Some participants from the Eastern Caribbean islands noted that shark was not a target of their fisheries and that there are only incidental catches in their waters; in such cases it may not be cost-efficient to develop an NPOA for sharks. Some participants articulated that shark fisheries in their waters are mostly subsistence and artisanal.

128. It was also noted that the aggregation of all shark species in one category, when reporting catch data, is not supporting conservation and management purposes. The need to improve data collection, including at the regional level, was echoed by various participants. Some participants were committed to improving the accuracy of shark fisheries data to include species, size and sex characteristics.

129. In terms of awareness-raising on shark issues it would be appropriate to look also into the demand side, as demand by consumers is sometimes triggering the targeting of shark species in the region. Some participants expressed the interest of their respective countries in developing an NPOA for sharks.

OSPESCA

130. Ms Bessy Aspra (OSPESCA) was given the opportunity to make a presentation on the work of OSPESCA. She stressed that OSPESCA covers fisheries and aquaculture and has seven member countries in Central America. It was established in 2005 by the Ministers of Agriculture to address common issues in fisheries and aquaculture in the region. The objective of OSPESCA is to develop sustainable fisheries and aquaculture in the region. A Fisheries and Aquaculture Integration policy for the Central American isthmus was prepared in 2005 and is valid until 2014. It includes, for example, the strengthening of institutions, the harmonization of regulations, and integrated high sea fisheries management (including MCS supported by NOAA). OSPESCA published a Code of Ethics for Responsible Fisheries and Aquaculture which was signed by OSPESCA's Council of Ministers in 2011. OSPESCA also works with its members to revise national legislation. OSPESCA is promoting simultaneous closed seasons for different fisheries and carries out capacity development on various issues (e.g. on inspection in Belize in 2011).

131. Mr Christopher Parker (Barbados) chaired the working groups reporting session.

Working Group 1 – Post-harvest issues

132. The group was tasked to identify key issues relating to post-harvest issues, in particular, food quality and safety issues in the region. The group pointed out blocking factors relating to the issue and described specific enabling actions that could be taken by the different actors, both at the national and the regional level, based on Article 11 of the CCRF. Issues identified included: inadequate legislation, inadequate monitoring and enforcement (e.g. lack of fish inspection systems), inadequate standards (and disparity in some cases between local and export quality), infrastructural issues (landing sites, markets, processing facilities and fishing vessels), high post harvest losses and lack of utilization of fish waste, and training of fishers and handlers on “good fish handling practices” from boat to consumer.

133. The group also identified objectives related to post-harvesting issues. Discussions stressed in that in most countries in the region there is a parallel system for products to be exported and for products for the domestic market. There should be efforts made to harmonize related regulations.

Group 2 – Participation in policy and planning

134. Inspired by Articles 6.13 and 6.16 of the CCRF, the group identified key issues relating to participation in fisheries and fishery-related policy and planning processes in the region, pointed out blocking factors relating to the issue and described specific enabling action that can be taken by the different actors, both at the national and regional levels.

135. One major finding was that fishers continue to have a low level of organization and weak capacity to organize themselves. Fishers often also have a lack of understanding of the usefulness of getting organized. NGOs and CSOs could play a better role in capacity development in this regard, while fisher organizations also need to become more pro-active to make their voice heard. Ongoing projects in the region that are involved in fisher organization empowerment, e.g. of the Caribbean Network of Fisherfolk Organizations (CNFO), should also share information and lessons learned.

136. Another issue of concern is information sharing, which is often suffering from inter-agency communication mechanisms. Intersectoral committees could improve these mechanisms. Fisherfolk may fear that providing information may in the end negatively affect them and constrain their

livelihoods (e.g. the introduction of MPAs). Transparency in discussions is therefore important to anticipate potential final implications. Transitional issues need to be taken into account upfront.

137. Fisher representatives may not necessarily always reflect the interest of the fishers appropriately. Involvement of more than one representative helps to reduce the risk of lack of involvement and reporting back to the related groups.

138. Fisheries Advisory Committees (FACs) have provided very different experiences in the region. FACs sometimes do not have an impact on decisions at the political level or have been disbanded when they are perceived by the Minister as a threat to his/her decision-making power. In some cases tensions were generated, while in other cases, these Committees were perceived as useful and helpful. The political maturity and the institutional set up were identified as crucial to empowering the FACs.

139. The perception that stakeholder consultation in the end is not reflected in the outcome is widely acknowledged; hence, there is a need to ensure that meeting records are shared along the process to guarantee transparency.

140. In the discussions it emerged that a more formal and transparent processes for the selection of fisher representatives needs to be developed and implemented. This also entails the set-up of a structure to report back to the group that is represented. It is therefore not sufficient to have Fisheries Advisory Committees in the region unless certain procedures and structures, outlining specific rules and responsibilities are spelled out and respected. In the USA, there was only representation of the fishing industry in the past, excluding environmentalists and other views. It was also pointed out that any non-inclusion of stakeholder inputs should be motivated in some form. The effectiveness of representation is key to the success of fisheries policy implementation and management. Countries need to revise the processes currently in place to tackle the current shortcomings to re-establish power balances. Some participants considered that currently too much fisheries management power seems to remain with the government. Fisheries extension services may also need to be strengthened within this context. The FAO Technical Guidelines No. 4, Fisheries Management, spell out how these processes are to be established.

Group 3 – Definition of small-scale fisheries

141. The group discussed current definitions of small-scale fisheries based on national experiences and the understanding of different stakeholders and identified key characteristics of small-scale fisheries. The definitions included those employed in the postharvest subsector and in other shore based activities.

142. There are different definitions of small-scale fisheries definitions in the different countries in the region. Any definition should also be made, keeping in mind the goal for which the definition is formulated. It was felt that there should be no restricting definition of small-scale fisheries in any case. Components for a definition that were discussed include:

- Size of fishing craft/vessel and engine
- Type of craft/vessel
- Type of gear used
- Fishing unit
- Ownership (by operators)
- Time commitment (time at sea)
- Fishing grounds
- Disposal of catch

- Utilization of catch
- Knowledge and technology
- Market share
- Integration into economy

143. Some common features that should be included in a definition of small-scale fisheries that would apply to the Caribbean situation refer to:

- Ownership – individual, household, small companies, fisherfolk organizations
- Length - <20 m
- Gear – Some discussion took place about whether this could be left out completely because each type of fishery has different levels of equipment and as time passes things that are considered sophisticated now become common place in time. Therefore, it was agreed that the term gear should not be included.
- Vessel – unsophisticated. However, there needs to be something in place to be acceptable as a definition.
- Technology: what is sophisticated today may not be so in the future. Any definition needs to be viewed in a specific context.
- Engine size - <300 hp
- Location – operating close to shore – territorial waters is too restrictive and EEZ allows commercial operators to be included, also the subsector cannot be defined by fishing depth or time at sea. So this might need to be left for further discussion and remain open at this time.
- Market – local consumption or export
- Context –a statement would be needed that allows room for accepting the specific context of the fishing operations. Therefore, it was agreed to include that operations are unsophisticated in the context of existing fishing technologies.

144. In the Caribbean region there is ample attention given to the distinction between the different types of fisheries, in particular as there are mandatory issues for semi- and industrial fisheries. Any definition of small-scale fisheries should therefore not be too restrictive. This is also important in relation to the ongoing discussions in the World Trade Organization (WTO) on fisheries subsidies.

145. There was an agreement that some criteria used to define small-scale fisheries are more contentious than others and that there is a need to move ahead on the contentious issues. A regional definition of small-scale fisheries could be helpful to put everybody on the same page during discussions at the regional level. The definition can have profound implications therefore the purpose for which it is defined needs to be understood. A definition for the purpose of safety-at-sea may differ from one in the context of the WTO. There may therefore not be an argument for having one standardized definition of small-scale fisheries. Even the spatial limitation considered being the EEZ may be controversial. Another way to define could be in terms of elimination or exclusion or in terms of economic factors (e.g. value, catch volumes). Participants considered that a combination of criteria and a minimum of ‘boxes’ to be ticket to qualify as small-scale fisheries could be another approach.

Group 4 – NPOA – sharks

146. The group was tasked to look into the steps for developing National Plans of Action for the conservation and management of sharks (NPOAs – sharks). The group identified relevant stakeholders at the national and the regional level and developed a step by step framework. The steps spell out the objective, the component, the rebated cost and the timeline. Potential regional solutions to manage and conserve transboundary stocks include the WIDECAS model.

147. The discussion stressed that a first step needs to be determined if a country needs an NPOA for sharks as it has cost and resource implications. It was suggested to also consider socio-economic stakeholder groups in the process. Expected outcomes should be realistic and there is a need to develop a ‘middle’ position as there is a prevalence of applying extreme positions around shark conservation issues. Scientific information is often lacking but is required for decision-making. Fisheries departments currently do not have enough capacity to gather appropriate data and available information is often contradictory. Some countries use log books to obtain data, which of course needs to be supplemented with control and monitoring to reduce misreporting to a minimum. Catch and effort data remain among the most important information. Practical measures could include: to equip fishers with disposable cameras and provide an incentive for delivering pictures of sharks to the authorities.

WECAFC

148. Mr Raymon van Anrooy (FAO/WECAFC), provided a brief overview about the history of WECAFC and recalled its objectives and general principles. The area of competence of the Commission includes 52 percent high seas and 86 percent is deep sea areas (>1000 m). Membership is open to all coastal states and there are currently 33 members. The institutions include the Commission itself, the Secretariat, a number of working groups and a Scientific Advisory Group. Collaboration with CRFM, OSPESCA, CERMES, CLME and other regional partners is actively promoted. The WECAFC website has been updated and contains a large number of publications produced by WECAFC over the last 20 years. The website and most publications are made available in English, French and Spanish. Mr van Anrooy provided information about the Fourteenth session of WECAFC (Panama, 6-9 February 2012). It noted that the meeting would discuss a range of issues, including support to the implementation of international guidelines and agreements. There was also a proposal for an amendment of the rules and procedures of WECAFC. Side meetings are organized on climate change adaptation in Caribbean fisheries management and on the CLME Strategic Action Programme (SAP).

CONCLUSIONS AND RECOMMENDATIONS

Conclusions

149. The workshop recognized the important contribution of fisheries to the social and economic development and food and nutrition security in the Caribbean region and the need to strengthen existing frameworks by implementing relevant provisions of the CCRF to ensure long-term sustainable use of these valuable resources. The workshop also noted with respect to the implementation of the CCRF in the Caribbean region, that the following regional constraints and solutions require attention from all stakeholders:

Constraints	Solutions
Limited human, technical and financial resources	Increase access to human and budgetary resources for fisheries (through increasing awareness on the socio-economic and ecological value of fisheries) and promote further collaboration and technology transfer among countries in the region
Incomplete and outdated policy and legislative frameworks for fisheries and aquaculture	Align policy and legislative frameworks (under development) with the CCRF and its technical guidelines and a common regional policy framework
Institutional weaknesses of fisheries authorities and other relevant stakeholders	
Low overall priority given to fisheries and ocean resource management and	Increase commitment and political will for development of more sustainable practices in the

development	fisheries sector and responsible fisheries management processes
Uncoordinated research efforts and access to information on responsible fisheries and its management	Increase collaboration between regional and international fisheries bodies (CRFM, WECAFC, OSPESCA, International Commission for the Conservation of Atlantic Tunas [ICCAT]) and others (Convention on International Trade in Endangered Species of Wild Fauna and Flora [CITES], OECS, UNEP, FAO) to avoid overlap and focus on consolidating efforts, and establish regional priorities for research
Inadequate/insufficient Monitoring Control and Surveillance arrangements	Mainstream fisheries management, in line with the CCRF, in existing MCS programmes of related sectors (customs, navy, coast guard, port authorities, trade and tourism).
Lack of awareness of the CCRF among Fisheries Authorities staff and other sector stakeholders, including fisheries policy makers	Communicate better the practical and economical benefits of implementing the CCRF and establish cross-sectoral linkages to further awareness
Lack of attention paid to the CCRF in fisheries management.	Develop & implement strategies to incorporate the CCRF's objectives into existing fisheries policies, laws, management plans and activities
Limited participation (and implementation) of Caribbean States in existing international fisheries instruments such as the UNFSA and Compliance Agreement	Review and ratify, accede or accept and implement relevant international fisheries treaties such as UNFSA, Compliance Agreement and Port States Agreement

150. The workshop also recognized that:

- The Caribbean countries and regional organizations have made major efforts in the implementation and monitoring of the CCRF; such efforts have been successful in many cases and deserve recognition.
- The CCRF is highly regarded and being used as the main framework for fisheries policy development and planning at the regional level, as demonstrated in important recent initiatives such as the formulation of Caribbean Community Common Fisheries Policy.
- The Ecosystem Approach to Fisheries (EAF) is highly relevant to fisheries in the region, which requires additional capacity building and awareness-raising.
- Governance of the sector is taking place at different levels and is complicated in terms of the number and wide variety of authorities and stakeholders involved.
- In context of the International Plan of Action for the conservation and management of Sharks (IPOA-Sharks), it was regarded that the eastern Caribbean sharks are generally caught within a multi-species, multi-gear fishery, often untargeted. Nevertheless, it is important to note that shark catches are not discarded as they are sold and consumed, without waste, by the locals.

Recommendations

151. In recognition of above conclusions and the intensive discussions that took place at the workshop, the regional workshop participants endorsed the following recommendations:

To governments in the Caribbean region:

- Increase commitment to the sustainable management of fisheries and follow-up on the implementation of binding/non-binding fisheries instruments.

- Fishery and aquaculture legal and policy frameworks that are being developed should be based on the principles and consistent with the objectives of the Code of Conduct for Responsible Fisheries, whilst being in line with the Caribbean Community Common Fisheries Policy and the Castries Declaration on IUU fishing.
- The absence of updated legal frameworks should not delay efforts to promote the implementation of the CCRF.
- Governments (including Fisheries authorities) should be mindful of the international binding and non-binding agreements related to fisheries and work towards their adoption and implementation, as appropriate; the latter may be converted into a binding nature at the regional level to ensure and enhance their effectiveness.
- Political will for and commitment to the implementation of the Code of Conduct for Responsible Fisheries, its ancillary instruments and other relevant international agreements and conventions, be increased in the region.
- Linkages and collaboration be improved between the fisheries sector and other sectors in terms of implementation of certain aspects of the CCRF, such as the integration of fisheries into coastal zone management.
- Linkages and collaboration be strengthened among fisheries authorities and other government ministries and departments to improve a general understanding of the CCRF and facilitate its implementation.
- Fisherfolk organizations, in particular those of small-scale fishers, at the local, national and regional levels be strengthened in order to become true partners in the implementation of the CCRF and responsible fisheries management in general.
- Efforts be made to better document the features and contributions of the small-scale fisheries sector in the region, capturing in particular the socio-economic aspects.
- Efforts be increased by fisheries authorities and other stakeholders to mainstream fisheries into national poverty reduction and development plans, strategies and programmes.
- Fisheries Authorities should aim to incorporate the Ecosystem Approach to Fisheries (EAF), including adaptive management concepts in the management of their fisheries and aquaculture sectors. Special attention should be given to valuing traditional fisheries knowledge in the EAF processes.
- NPOAs-Sharks be developed in Caribbean countries that catch substantial quantities of sharks in their fisheries and that all Caribbean countries improve their data collection on shark catches and landings, as well as the skills to identify different species, in line with the FAO Technical Guidelines on the IPOA sharks and ICCAT recommendations.
- The precautionary approach be applied for deep sea shark fisheries, in order to avoid fishing to depletion of stocks we do not know enough about as yet.
- Priority be given to certain social-economic and ecological objectives in the region, as resources are limited.

To Others (International and regional organizations as well as NGOs):

- That FAO supports, through relevant national and regional bodies, fisherfolk representatives and other regional stakeholders in regional processes to develop the SSF guidelines and in the implementation of the guidelines afterwards.
- That FAO considers feedback on specific tools of the EAF toolbox and makes efforts to add examples of how tools are used by countries and projects for information.
- That biennial monitoring of the CCRF implementation in the Caribbean region should be continued by the FAO Secretariat in close cooperation with the WECAFC secretariat and the countries in the region, to report on specific developments in the region.
- The role of national, regional and international NGOs (e.g. TNC, WWF, IUCN, CARIBSAVE, CANARI, CERMES, CNFO) in the implementation of the CCRF should be increased through better use of their relationships with fisherfolk communities and media, as well as involving these organizations in awareness-raising and capacity building efforts in the region.

- CRFM, OSPESCA, WECAFC and OECS collaborate more closely on the implementation of the CCRF, by organizing joint capacity building activities that target their constituency and by regularly sharing information, including on best practices and successful experiences.
- CLME, ACP Fish II and other projects and programmes active in the region adopt the Ecosystem Approach to Fisheries (EAF) and the precautionary approach in their activities and ensure that policies, strategies, plans and legal frameworks developed with support of these projects adhere to the principles of the CCRF.
- Awareness raising and information campaigns for consumers, including in particular the tourism sector, should be conducted to sensitize the regional market on issues related to sustainable fisheries.

CLOSURE OF THE WORKSHOP

152. The workshop was officially closed on 9 December at 13.00 hours by Mr Raymon van Anrooy, who thanked the participants for their active contributions and wished them a safe return to their countries.

Workshop Agenda

6 December 2011

08:30- 09:00 Registration of Participants

Morning Session

09:00 Opening Ceremony

Welcome Remarks:

Food and Agriculture Organization of United Nations, Ms. Florita Kentish,
Subregional Coordinator for the Caribbean

The University of the West Indies, Cave Hill Campus. Dr. Patrick McConney, Senior
Lecturer, CERMES, UWI

Ministry of Agriculture, Food, Fisheries and Water Resource Management of
Barbados. Mr Stephen Willoughby, Chief Fisheries Officer.

09:40-09:50 Introduction of Participants

09:50-10:10 General Overview of the Workshop Objectives and Administrative Arrangements for the
Workshop (Van Anrooy, FAO)

10:10-10:50 Presentation: What is the Code of Conduct? Purpose, Goals and Structure of the Code
(Camilleri, FAO)

10:15-11:15 Coffee Break and Group Picture

11:15-11:45 Presentation: The Code of Conduct for Responsible Fisheries: Its Use in the
Caribbean Region (Blackman, CERMES)

11:45-12:30 “Questions & Answers” and Facilitated Discussion to Identify Challenges
Encountered in the Implementation of the Code.

12.30-14.00 Lunch

Afternoon Session

14:00 -14:30 Presentation: Code of Conduct for Responsible Fisheries: Implementation,
Monitoring and Updating (Article 4) (Van Anrooy, FAO)

14:30- 15:00 “Questions & Answers” and Facilitated Discussion to Identify Strategies and
Opportunities in Support of the Implementation of the Code.

15:00 -15:30 Presentation: Fisheries Management (Article 7) (Camilleri, FAO)

- 15:30-16:00 Coffee-Break**
- 16:00-16:15 Questions, Answers and Observations
- 16:15-16:45 Presentation: Integration of Fisheries into Coastal Area Management (Article 10) (McConney, CERMES)
- 16:30 – 17:00 Questions, Answers and Observations
- 17:00 Closure of the Day**
- 18:30 Workshop Dinner hosted by the Ministry and FAO**

7 December 2011

Morning Session

- 9:00 – 9:45 Presentation: Technical Guidelines for Responsible Fisheries No. 4.2 Fisheries Management: The Ecosystem Approach to Fisheries & the EAF Toolbox (Oxenford, CERMES)
- 9:45- 10:00 Questions, Answers and Observations
- 10:00- 10:30 Coffee Break**
- 10:30-10:45 Formation of Working Groups on the Application of EAF Toolbox
- 10:45- 12:30 Working Groups in Session to Apply EAF Toolbox Tools

12:30 – 14:00 Lunch

Afternoon Session

- 14:00 – 15:15 Presentation: Findings of each Working Group, Including Major Conclusions, and Indications for Possible follow-up Action (Working Group Chairs and Rapporteurs)
- 15:15 -15:45 Coffee Break**
- 15:45 – 16:30 Working Groups in Session to Examine the Code Application at Regional Level, National Level, Local Level and Policy Cycle Integration by using the Governance Frameworks and Methods Developed by CERMES.
- 16:30 Closure of the day**
- Free Evening – Participants can make own arrangements**

The Regional Policy and Planning Workshop on the FAO Code of Conduct for Responsible Fisheries (CCRF) in the Caribbean: “Achieving Improved Fisheries Management and Utilization in the Wider Caribbean Region” took place at the University of the West Indies, Barbados, on 6-9 December 2011. The workshop discussed the constraints encountered when applying the CCRF in the Caribbean region and identified solutions that would enable stakeholders to further mainstream their policies, strategies and management plans with the CCRF. The workshop focused on increasing awareness and capacity in the region on the Ecosystem Approach to Fisheries (EAF), the International Plan of Action for the conservation and management of Sharks (IPOA-Sharks) and on the ongoing work on the Voluntary Guidelines on securing sustainable Small-scale fisheries.

The Conclusions and Recommendations of the workshop have been endorsed formally, for the Wider Caribbean Region, by the Fourteenth Session of WECAFC, which was held in Panama City, Panama, 6-9 February 2012.



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