

Report of the

**INCEPTION WORKSHOP OF THE FAO EXTRABUDGETARY
PROGRAMME ON FISHERIES AND AQUACULTURE FOR POVERTY
ALLEVIATION AND FOOD SECURITY**

Rome, 27–30 October 2009



The designations employed and the presentation of material in this information product do not imply the expression of any opinion whatsoever on the part of the Food and Agriculture Organization of the United Nations (FAO) concerning the legal or development status of any country, territory, city or area or of its authorities, or concerning the delimitation of its frontiers or boundaries. The mention of specific companies or products of manufacturers, whether or not these have been patented, does not imply that these have been endorsed or recommended by FAO in preference to others of a similar nature that are not mentioned.

ISBN 978-92-5-106539-6

All rights reserved. FAO encourages reproduction and dissemination of material in this information product. Non-commercial uses will be authorized free of charge. Reproduction for resale or other commercial purposes, including educational purposes, may incur fees. Applications for permission to reproduce or disseminate FAO copyright materials and all other queries on rights and licences, should be addressed by e-mail to:

copyright@fao.org
or to the

Chief, Publishing Policy and Support Branch
Office of Knowledge Exchange, Research and Extension
FAO, Viale delle Terme di Caracalla, 00153 Rome, Italy

© FAO 2010

PREPARATION OF THIS DOCUMENT

This is the final report of the Inception Workshop of the FAO Extrabudgetary Programme on Fisheries and Aquaculture for Poverty Alleviation and Food Security which was held at FAO headquarters, Rome, Italy, from 27 to 30 October 2009.

FAO.

Report of the Inception Workshop of the FAO Extrabudgetary Programme on Fisheries and Aquaculture for Poverty Alleviation and Food Security. Rome, 27–30 October 2009.

FAO Fisheries and Aquaculture Report. No. 930. Rome, FAO. 2010. 68p.

ABSTRACT

The Inception Workshop of the FAO Extrabudgetary Programme on Fisheries and Aquaculture for Poverty Alleviation and Food Security (Rome, 27–30 October 2009) was held to generate inputs and guidance to the contents and process of developing an assistance programme for fisheries and aquaculture encompassing both normative activities and country-level support. The overall goal of the programme is to ensure that responsible and sustainable use of fisheries and aquaculture resources make an appreciable contribution to human well-being, food security and poverty alleviation. The workshop participants agreed with the main thrust and themes of the programme which were considered relevant and comprehensive. There were clear linkages between these themes that needed to be carefully reviewed in the light of previous experiences and the outcomes of this workshop to fill gaps, avoid duplication and ensure coherence among the different programme components. There is a need to bring fisheries and aquaculture (with a special focus on small-scale producers and post-harvesters) higher up on the poverty alleviation, food security and disaster risk reduction (DRR) agendas, and to raise the profile of the sector through better data and information on its contribution at household, local and national levels. Fisheries and aquaculture sector policies and programmes should be informed by a human rights approach to development that is pro-poor and gender sensitive. There are close links between climate change and the programme themes. DRR and climate change adaptation both strive to increase resilience. By increasing the social and economic resilience of small-scale fishers, fish farmers and fish workers through, *inter alia*, improving governance and taking a holistic approach to supporting livelihoods, their ability to adapt to climate and other global changes will be strengthened. However, the challenges to advance the poverty alleviation and food security agenda are considerable. Concerted efforts and partnerships at different levels and scales are needed (e.g. between partner countries, governments and communities, as well as donors). It is also vital to build up national and local ownership in accordance with the Paris Declaration and this should be a key requirement for the inception phase and beyond.

ABBREVIATIONS AND ACRONYMS

ASEAN	Association of Southeast Asian Nations
BCC	Benguela Current Commission
BMP	best/better management practice
BOBP-IGO	Bay of Bengal Programme Intergovernmental Organization
CBD	Convention on Biological Diversity
CDEMA	Caribbean Disaster Emergency Management Agency
CENPAT	Centro Patagónico Conicet (Argentina)
CERMES	Centre for Resource Management and Environmental Studies
CGIAR	Consultative Group on International Agricultural Research
COFI	Committee on Fisheries (FAO)
COP 15	UN Climate Change Conference, Copenhagen, December 2009
CPP	Cyclone Preparedness Programme (Bangladesh Red Crescent Society)
CPPS	Permanent Commission for the South Pacific
CRFM	Caribbean Regional Fisheries Mechanism
CRTR	Coral Reef Targeted Research
CSF	Committee on Food Security
CSOs	Civil Society Organizations
DFID	Department for International Development of the United Kingdom
DRM	disaster risk management
DRR	disaster risk reduction
EAA	ecosystem approach to aquaculture
EAF	ecosystem approach to fisheries
EBCD	European Bureau for Conservation and Development
FIDP	Programme Coordination Unit (FAO)
FIE	Fisheries and Aquaculture Economics and Policy Division (FAO)
FIEP	Development and Planning Service (FAO)
FIES	Fisheries and Aquaculture Information and Statistics Service (FAO)
FII	Fish Products and Industry Division (FAO)
FIIT	Fishing Technology Service (FIIT)
FIM	Fisheries and Aquaculture Management Division (FAO)
FIMA	Aquaculture Management and Conservation Service (FAO)
FIMF	Fisheries Management and Conservation Service (FAO)
GDP	gross domestic product
GEF	Global Environment Facility
GFDRR	Global Facility for Disaster Reduction and Recovery
GLOBEC	Global Ocean Ecosystem Dynamics Programme
ICES	International Council for the Exploration of the Sea
ICFA	International Coalition of Fisheries Associations
ICSF	International Collective in Support of Fishworkers
IGO	Intergovernmental Organization
IM	integrated management
INPESCA	Istituto Nicaragüense de la Pesca y Acuicultura
IOC	Intergovernmental Oceanographic Commission
IUCN	International Union for Conservation of Nature
IUU fishing	illegal, unreported and unregulated fishing
LME	large marine ecosystem
M&E	monitoring and evaluation
MAGAP-SRP	Ministerio de Agricultura, Ganadería, Acuicultura y Pesca – Subsecretaría de Recursos Pesqueros (Ecuador)
MDGs	United Nations Millennium Development Goals
MPEDA	Marine Product Export Development Authority (India)
MSC	Marine Stewardship Council
NACA	Network of Aquaculture Centres in Asia

NACEE	Network of Aquaculture Central Eastern Europe
NaCSA	National Centre for Sustainable Aquaculture (India)
NEPAD	New Partnership for African Development
NGO	Non-governmental Organization
NORAD	Norwegian Agency for Development Cooperation
OECD	Organization for Economic Co-operation and Development
OIE	World Organization for Animal Health
OSPESCA	Organización del Sector Pesquero y Acuicola del Istmo Centroamericano
PaCFA	Global Partnership on Climate, Fisheries and Aquaculture
Paris Declaration	The Paris Declaration on Aid Effectiveness
PICES	North Pacific Marine Science Organization
PIU	Project Implementation Unit
PRSP	Poverty Reduction Strategy Paper
REBYC-1	Reduction of Environmental Impact from Tropical Shrimp Trawling through the Introduction of Bycatch Reduction Technologies and Change of Management project
SEAFDEC	Southeast Asia Fisheries Development and Education Center
SFLP	Sustainable Fisheries Livelihood Programme
Sida	Swedish International Development Cooperation Agency
SLA	Sustainable Livelihoods Approach
SMU	Saint Mary's University (Halifax, NS, Canada)
SPC	Secretariat of the Pacific Communities
SSA	small-scale aquaculture
SSF	small-scale fisheries
TAC	total allowable catch
UNEP	United Nations Environment Programme
UNESCO	United Nations Educational, Scientific and Cultural Organization
UNFCCC	United Nations Framework Convention on Climate Change
UNISDR	United Nations International Strategy for Disaster Reduction
WSSD	Johannesburg World Summit on Sustainable Development

EXECUTIVE SUMMARY

The *Inception Workshop of the FAO Extrabudgetary Programme on Fisheries and Aquaculture for Poverty Alleviation and Food Security* was held in Rome from 27 to 30 October 2009. The workshop was attended by 33 external participants and a number of FAO staff, including from subregional and regional offices. The agenda included plenary presentations and discussions as well as small group discussions.

The purpose of the workshop was to generate inputs and guidance to the contents and process of developing a global FAO programme for fisheries and aquaculture encompassing both normative activities and country-level assistance. The overall goal of the programme is to ensure that responsible and sustainable use of fisheries and aquaculture resources make an appreciable contribution to human well-being, food security and poverty alleviation. This programme is proposed to have the following components:

1. increased contribution of small-scale fisheries and aquaculture to poverty alleviation and food security;
2. sustainable production for optimal societal benefits through implementation and development of the ecosystem approach to fisheries and aquaculture; and
3. reduced vulnerability of fishing and fish farming communities to natural disasters and climate change.

The FAO Fisheries and Aquaculture Department hopes to attract external funding to allow for a comprehensive and effective programme. The Swedish International Development Cooperation Agency (Sida) is providing financial support to the inception phase and programme development.

The presentations and discussions of the workshop were detailed and covered a broad range of issues relevant to the development of the programme. The following summarizes the conclusions and recommendations of the workshop:

- The three themes proposed for the global programme on fisheries and aquaculture for poverty alleviation and food security are comprehensive and relevant. There are also clear linkages between them, and food security, poverty alleviation and sustainable use of natural resources are all interlinked. Still, the themes should be carefully reviewed in the light of previous experiences and the outcomes of this workshop to fill gaps, avoid duplication and create coherence among the different programme components.
- There is a need to bring fisheries and aquaculture (with a special focus on small-scale) higher up on the poverty alleviation, food security and disaster risk reduction (DRR) agenda, and to raise the profile of the sector. To do this, better baseline information is needed and key indicators should be identified. The contribution of the sector to nutrition is such a key indicator, but not the only one. Methods for collecting the relevant information are likely to exist but they need to be applied to small-scale fisheries and aquaculture, and DRR.
- There are close links between climate change and the proposed programme themes. DRR and climate change adaptation both strive to increase resilience. By increasing the social and economic resilience of small-scale fishers, fish farmers and fish workers through, *inter alia*, improving governance and taking a holistic approach to supporting livelihoods, their ability to adapt to climate and other global changes will be strengthened.
- A pro-poor programme does not exclude large-scale fisheries and aquaculture, e.g. with regard to the implementation of ecosystem approach to fisheries (EAF)/ecosystem approach to aquaculture (EAA), but the focus on poverty alleviation and food security should be clear and the small-scale sector should be given special attention.
- To achieve sustainable results, interventions need to be firmly anchored in the regional, national and local context.
- To capitalize on the potential contribution of small-scale fisheries and aquaculture's contribution to poverty alleviation and food security, a not only cross-sectoral but holistic and integrated approach is needed that is aligned with the reality of local livelihoods.

- Related to the necessity of holistic approaches, there is a need to include small-scale fisheries and aquaculture in overarching national plans for poverty reduction, food security strategies or DRR plans and vice-versa.
- Fisheries and aquaculture sector policies and programmes should be informed by a human rights approach to development that is pro-poor and gender sensitive.
- The reality and different facets of poverty need to be understood and taken into account. Livelihoods in fishing and fish farming communities are complex and diverse, including a range of coping strategies for dealing with threats. Poor people's own perception of the sources of their vulnerability needs to be respected for them to become effective partners and their resilience should be strengthened building on existing coping strategies and adaptive advantages.
- Vulnerability to disasters is amplified by and nested in this larger picture of vulnerabilities and poverty. DRR strategies need to recognize and integrate this wider context.
- While scaling up is important, it does not necessarily mean replicating. There is no "one size fits all" and local values, rights and needs must guide interventions. Stakeholder participation and interventions that build on existing structures and knowledge should be prioritized.
- The challenges to advance the poverty alleviation and food security agenda are considerable. Concerted efforts and partnerships at different levels and scales are needed (e.g. between donors, donors and partner countries, governments and communities, and among stakeholders). It is also vital to build up national and local ownership in accordance with the Paris Declaration and this should be a key requirement for the inception phase and beyond.
- Networking and partnerships can also be used to scale up successful pilot and test activities and share best practices
- Local-regional-global linkages, coordination and cooperation at all levels are essential. Capacity should be strengthened or developed to enable this.
- Addressing issues of institutional change and influence policy and policy processes is key to achieving sustainable positive changes in the sector. Identifying and working with champions that can lead change and developing the capacity of actors in the sector is important. Cluster approaches, networking and organizational development – i.e. building, strengthening and empowering organizations – are powerful methods for improving the opportunities of small-scale producers to meet their goals.
- Work towards food security and poverty alleviation in fisheries and aquaculture should be informed by the ecosystem approach (EAF/EAA). In the small-scale sector, EAF/EAA should build on local contents and be "community based". The approach needs to be introduced incrementally – addressing gaps in existing structures and capacities – with simple and manageable tools. Learning by doing, adaptive management and action research are key concepts.
- Projects and programmes need to have explicit exit strategies, meaning a focus on a more rigorous and analytical approach to ensuring sustainability after the end of a project.
- Among several livelihood strategies, market arrangements, market access and related institutions are critical for small-scale producers.
- Communication and information flows are critical at several scales and levels. For actors – at all levels – to use, react to and act on information, it needs to be communicated and presented in a way that is appropriate to the receiver and the context. This requires different communication strategies and information contents, e.g. broad disaster text, macro-economic elements or local level food supply or nutrition data.

CONTENTS

	Page
1. OPENING OF THE WORKSHOP	1
2. WORKSHOP OBJECTIVES AND ARRANGEMENTS.....	1
3. INTRODUCTION OF THE THEMATIC AREAS	2
Small-scale fisheries and aquaculture	2
The ecosystem approach to fisheries and aquaculture.....	3
Reduced vulnerability to natural disasters and climate change	3
4. SYNTHESIS OF PARTICIPANTS' WRITTEN RESPONSES TO QUESTIONNAIRE	4
5. REPORTS ON GROUP DISCUSSIONS 1: THEMATIC GAPS AND PRIORITIES	6
THEME 1: Small-scale fisheries and aquaculture.....	6
THEME 2: The ecosystem approach to fisheries and aquaculture.....	7
THEME 3: Reduced vulnerability to natural disasters and climate change	9
6. CLIMATE CHANGE AND FISHERIES AND AQUACULTURE.....	10
7. PARIS DECLARATION ON AID EFFECTIVENESS: A REMINDER.....	11
8. PARTNERSHIPS AND NETWORKS	12
Partnerships of the World Bank	12
The Code of Good Partnerships of the International Red Cross and Red Crescent Movement.....	13
Research networks of the WorldFish Center.....	13
Cluster management among Indian shrimp farmers – The National Centre for Sustainable Aquaculture (NaCSA).....	13
Partnerships and networking of the International Collective in Support of Fishworkers (ICSF).....	14
9. REPORTS ON GROUP DISCUSSIONS 2: CROSS-CUTTING ISSUES.....	14
GROUP 1: Fostering national ownership and capacity.....	15
GROUP 2: Partnerships, networks and communications.....	17
GROUP 3: Methodologies and criteria for the design and selection of country case studies/field work	19
10. MAKING A DIFFERENCE LOCALLY AND GENERATING LESSONS GLOBALLY	21
Improving our understanding of poverty in small-scale fisheries – Experience of the WorldFish Center	22
FAO FII bycatch management project – Local, national, regional and global dimensions	22
Local actions and global lessons: a view from a researcher (Saint Mary's University).....	22
Sustainability in small-scale shell fisheries: insights from South America.....	23
Red Crescent Society cyclone preparedness programme (CPP) in Bangladesh.....	24
11. REPORTS ON GROUP DISCUSSIONS 3: LOGFRAMES AND NEXT STEPS	25
THEME 1: Small-scale fisheries and aquaculture.....	25
THEME 2: The ecosystem approach to fisheries and aquaculture.....	26
THEME 3: Reduced vulnerability to natural disasters and climate change	27
12. NEXT STEPS IN THE INCEPTION PHASE	28
13. CONCLUSIONS AND RECOMMENDATIONS.....	29

APPENDIXES

A	Agenda	33
B	List of participants.....	35
C	Prospectus.....	40
D	Opening address by Mr Ichiro Nomura, Assistant Director-General Fisheries and Aquaculture Department	42
E	Thematic background papers.....	44
	1. Increased contribution of small-scale fisheries and aquaculture to poverty alleviation and food security	44
	2. Sustainable production for optimal societal benefits through implementation and development of the ecosystem approach to fisheries and aquaculture	51
	3. Reduced vulnerability offishing and fish farming communities to natural disasters and climate change	57
F	Proposed logframe for Theme 1 – Increased contribution of small-scale fisheries and small-scale aquaculture to poverty reduction and food security	66

1. OPENING OF THE WORKSHOP

The *Inception Workshop of the FAO Extrabudgetary Programme on Fisheries and Aquaculture for Poverty Alleviation and Food Security* was held in Rome from 27 to 30 October 2009. The workshop was attended by 33 external participants and a large number of FAO staff, including from subregional and regional offices. The list of participants is included in **Appendix B**.

Mr Ichiro Nomura, Assistant-Director General of the FAO Fisheries and Aquaculture Department, welcomed the participants and thanked the organizations and governments supporting their participation. He referred to the overarching framework that the FAO the Code of Conduct for Responsible Fisheries – in combination with the United Nations Millennium Development Goals (MDGs) and the targets of the Johannesburg World Summit on Sustainable Development (WSSD) – provides for the work programme of the Department. The participants were reminded of the importance of fisheries and aquaculture in many developing countries in terms of livelihoods, poverty alleviation, food security and nutrition. Mr Nomura pointed out the need for adequate capacities and capabilities – supported by financial and human resources – to manage and develop the sector. As resources are likely to always be scarce in relation to the actual needs, it is of utmost importance that the available funding is used in the most effective and efficient manner. This requires avoiding unnecessary overlaps and duplication of work as well as a focus on complementarities to create synergies and high development impacts. Mr Nomura expressed his confidence in the workshop participants to contribute to the development of a global and *FAO Extrabudgetary Programme on Fisheries and Aquaculture for Poverty Alleviation and Food Security* that will meet these requirements and make a difference locally while also generating lessons globally (see **Appendix D**).

2. WORKSHOP OBJECTIVES AND ARRANGEMENTS

Mr Kevern Cochrane (Chief, Fisheries Management and Conservation Service, Fisheries and Aquaculture Management Division [FIM]) proceeded as the Chairperson of the workshop and outlined its background and objectives. The workshop constituted an important step in the inception phase of the development of a global programme encompassing both normative activities and country-level assistance to FAO Members. The overall goal of the programme will be to ensure that responsible and sustainable use of fisheries and aquaculture resources makes an appreciable contribution to human well-being, food security and poverty alleviation. Three major programme themes, or outcome areas, representing key departmental and cross-agency areas within the new FAO Strategic Objectives, had been identified, i.e.:

1. increased contribution of small-scale fisheries and aquaculture to poverty alleviation and food security;
2. sustainable production for optimal societal benefits through implementation and development of the ecosystem approach to fisheries and aquaculture; and
3. reduced vulnerability of fishing and fish farming communities to natural disasters and climate change.

The FAO Fisheries and Aquaculture Department hopes to attract external funding to allow for a comprehensive and effective programme. The Swedish International Development Cooperation Agency (Sida) is providing financial support to the inception phase and programme development financially and Mr Cochrane gratefully acknowledged this generous contribution.

An overall objective of the workshop was to provide an opportunity for the FAO Fisheries and Aquaculture Department to seek guidance with regard to its future direction and role in contributing to development goals. More specifically, as a major event in the consultative process of the programme inception phase, the purpose of the workshop was to generate inputs and guidance to the FAO Fisheries and Aquaculture Department on the following programme development aspects:

- The development of the programme themes and identification of possible gaps as well as priorities with regard to these themes.

- The process and steps needed for creating local ownership of the programme and its components, and for building required capacities and capabilities.
- The opportunities available for establishing partnerships, networks and effective communication.
- The methodology and criteria for the selection and design of country case studies, field work and other activities to be included in the programme.
- The definition of objectives and main outputs for the three themes and what the next steps in the programme inception phase should be.

The workshop was also providing a forum for consultation with potential partners to seek synergies and complementarities with their programmes and activities. As such it was hoped and anticipated that it would be valuable not only to FAO but also for the other participants and their organizations. More information on the background and expected results of the workshop can be found in the *Prospectus* that was distributed to participants beforehand (see **Appendix C**).

The structure of the workshop agenda followed the different items listed above. It included plenary presentations and discussions as well as small group discussions. The agenda is included in **Appendix A**.

This report summarizes the workshop presentations and discussions and gives an account of the conclusions and recommendations that were arrived at. It has been compiled by the *rapporteur* of the workshop, Ms Lena Westlund (Consultant FishCode Programme), and includes inputs from the *rapporteurs* of the small group discussions.

3. INTRODUCTION OF THE THEMATIC AREAS

The three thematic areas of the proposed programme and their background were introduced to the participants by short presentations. Brief summaries are provided below and the associated background papers can be found in **Appendix E**.

Small-scale fisheries and aquaculture

Mr Rolf Willmann, (Fisheries and Aquaculture Economics and Policy Division – FIE), talked about theme 1 – *Increased contribution of small-scale fisheries and aquaculture to poverty alleviation and food security* – and how fisheries and aquaculture make important contributions to poverty reduction and food security and can be a source of wealth creation that supports national economic development. There is growing recognition of the role of small-scale fisheries and aquaculture although their contributions are still often undervalued. The challenges and opportunities of the small-scale fisheries and aquaculture sectors include:

- Current policies do not always treat small-scale fisheries and aquaculture in accordance with their importance or with their needs.
- Small-scale fisheries and aquaculture are often overlooked in national poverty reduction policies and food security strategies.
- There is a need for strategies that enhance the role of small-scale fisheries and aquaculture in fostering national social and economic welfare.
- Responsible fisheries and aquaculture should be integrated with social development.
- There are calls for the adoption of a rights-based approach to small-scale fisheries and development.
- The FAO Committee on Fisheries (COFI) has given a mandate to develop a global programme in support of small-scale fisheries and examine options for an international instrument on small-scale fisheries.

The proposed programme contents for theme 1 include the following outputs:

- Development and dissemination of small-scale fisheries and aquaculture assessment and monitoring methods.
- Improvement of domestic and international market access for products originating from the small-scale fisheries and aquaculture post-harvest sector
- Development, piloting, dissemination and implementation of policies, practices (including management) and best practice guidelines.
- Enhancement and development of partnerships and creation of networks to exchange and share knowledge and experiences on best practices for small-scale fisheries and aquaculture, including the post-harvest sector.

The ecosystem approach to fisheries and aquaculture

Ms Gabriella Bianchi and Ms Doris Soto (FIM) introduced theme 2 – *Sustainable production for optimal societal benefits through implementation and development of the ecosystem approach to fisheries and aquaculture* – and noted that the need for more holistic approaches to natural resource management is now widely recognized. Many governments and organizations are moving towards implementing ecosystem based approaches to fisheries and aquaculture.

Despite the name that may indicate that natural ecosystem concerns are the focus of this approach, the FAO ecosystem approach to fisheries (EAF) tries to balance the human dimensions with the natural aspects of fisheries in a holistic, integrated and participatory manner. In the same way, the ecosystem approach to aquaculture (EAA) prescribes that aquaculture development should not be harmful to ecosystems beyond resilience at the same time as it has as its main objectives to improve human wellbeing and to be developed with consideration of other sectors. While these general principles are well accepted and understood, great challenges still remain in actual implementation. Harmonization of EAF and EAA with national policies within the sector but also in relation to overall development policies still remain major challenges.

Accordingly, the proposed global FAO programme will seek to improve sustainable production for optimal societal benefits through the development and implementation of the ecosystem approach to sustainable fisheries and aquaculture through:

- application of a holistic and participatory approach to sustainable aquaculture and fisheries production in line with the FAO Code of Conduct for Responsible Fisheries, related instruments and EAF/EAA;
- elaboration of tools and guidelines for the implementation of holistic and participatory approaches to sustainable aquaculture and fisheries production.

Reduced vulnerability to natural disasters and climate change

Theme 3 – *Reduced vulnerability of fishing and fish farming communities to natural disasters and climate change* – was presented by Mr David Brown (Fish Products and Industry Division – FII) who reminded participants that fishing and fish farming communities are vulnerable to disasters. This relates to a variety of factors including their location and the characteristics of the type of livelihood activities associated with fishing and fish farming, and also include high exposure to natural disasters. The world is witnessing an increasing frequency and magnitude of natural disasters with events of hydrometeorological origin constituting the large majority. There is also high confidence that climate change will increase the frequency and intensity of weather-related natural disasters. Despite the growing understanding and acceptance of the importance of disaster risk reduction and increased disaster response capacities, disasters and in particular the management and reduction of risk continue to pose a global challenge.

Disaster preparedness is intimately related to reducing overarching vulnerabilities related to poverty. More specific disaster preparedness strategies incorporate risk assessment and prioritization of risks

(vulnerability assessment), prevention and mitigation of disasters, and preparedness to respond. Key activities required to implement these strategies include planning (multilevel including national, community, contingency and sectoral), early warning systems and capacity building. Accordingly, the proposed programme for theme 3 contains three focus areas:

- more effective integration of disaster preparedness efforts and mitigation of climate change impacts into fisheries and aquaculture management and development planning at national, regional and global levels; and better compliance with relevant mandatory and voluntary instruments;
- promotion of a culture of risk and safety consciousness and of disaster resilience;
- strengthening of effective response and warning systems, starting with improved disaster risk identification, assessment, management and communication.

All three themes are aligned with the principles of the FAO Code of Conduct for Responsible Fisheries and other frameworks related to sustainable development, *inter alia*, the MDGs and the WSSD Plan of Implementation. Hence, the three themes are closely related by their common aim to achieve sustainable fisheries and aquaculture with benefits for poor and food insecure populations as well as through their shared vulnerability context. Vulnerability is a fundamental dimension of poverty and small-scale fishing and fish farming communities are often vulnerable to a range of threats, including – but not limited to – resource depletion and natural disasters. Accordingly, all three themes should aim at supporting and strengthening resilience among the communities that the programme is set to help. Women, and children, are often particularly at risk and may also experience different vulnerabilities to those of men and it is essential that gender considerations are mainstreamed in the programme. Other important cross-cutting considerations mentioned included the need to take an inclusive approach – e.g. take inland fisheries into account along with marine – and to look beyond the fisheries and aquaculture sector for solutions and collaboration. Rural livelihoods are complex and poverty alleviation requires holistic and integrated approaches.

4. SYNTHESIS OF PARTICIPANTS' WRITTEN RESPONSES TO QUESTIONNAIRE

In preparation for the workshop, invited participants had been sent a questionnaire on their own programmes, partnerships and processes for programme development. The questionnaire contained a total of twelve questions, i.e.

- With regard to programme contents and partnerships:
 - Existing complementary programmes?
 - Possible synergies through partnerships and networks?
 - Gaps in the proposed FAO themes?
 - Comparative advantage of FAO versus others?
 - Learning opportunities for FAO?
- With regard to processes for programme development:
 - Process used for ensuring relevance and local ownership?
 - Main problems and constraints encountered in this process and solutions?
 - Harmonization with related programmes at the national level?
 - Specific actions taken to foster capacity-building locally?
 - Use of dedicated communication and awareness-raising strategies?
 - Use of dedicated monitoring and evaluation plans?
 - Wider dissemination of lessons learned?

Ms Rebecca Metzner (Fisheries and Aquaculture Economics and Policy Division – FIE), presented a summary of the responses. Seventeen questionnaires had been returned from a mix of government representatives, global organizations and donors. Overall, the answers indicated important opportunities for collaboration, complementarities and sharing of lessons learnt and experiences. With regard to *programme contents and partnerships*, activities carried out by respondents' organizations that would be complementary with the proposed global FAO programme and could create synergy effects covered a wide range of subject matters including policy, governance and management issues,

both in small-scale fisheries and aquaculture. Several respondents pointed to research, training and capacity development activities for sustainable fisheries and aquaculture as areas presenting opportunities for complementarity and synergies.

In response to the question about gaps and priorities in the proposed global FAO programme, respondents felt some areas could merit increased attention, e.g.:

- business aspects of fisheries and aquaculture
- livelihoods and diversification
- environmental and climate change mitigation
- addressing resource limits and strengthening resilience
- policy-making and implementation
- technical assistance

With regard to FAO's comparative advantage and the existence of learning opportunities for the Organization and its Fisheries and Aquaculture Department, the questionnaire responses indicated that this was something that should be discussed further. A more effective division of work, according to the needs of particular situations, would be supported by strengthened partnerships and networking. Generally, it appeared that several respondents felt the FAO's strength lies in its normative role and in providing technical assistance and supporting capacity building while other organizations may have comparative advantages with regard to work on the ground – in particular when related to local knowledge and inputs – and in cross-sectoral activities.

Regarding *processes of programme development*, three key concepts emerged from the questionnaires as essential for ensuring that activities are relevant to the local situation: consultations, participation and embedding programmes within governments and existing policies and programmes. However, it was felt that agreeing on priorities and creating unified objectives remain a challenge. Weak national and local capacities, insufficient time and funding for truly participatory processes, and lack of harmonization among donors were mentioned among the problems often encountered. Remedies used to address these constraints included increased donor coordination, transparency and communication, and actively using partnerships and establishing mechanisms for collaboration. A wide range of approaches was used for strengthening of national and local capacities – e.g. targeting youth to high level policy-makers, using informal and formal processes, covering technical and managerial subjects, and implementing on the ground locally as well as at the regional level – with a focus on training as a core activity. Communication and awareness raising were generally recognized as essential components of programmes although these aspects were still sometimes addressed ad hoc. Those respondents that reported on dedicated communication strategies cited a number of different formats for outreach and awareness raising, ranging from simple formats – e.g. leaflets – to more high tech media such as TV and web-based solutions.

While respondents generally stated that monitoring and evaluation (M&E) is important for measuring the efficiency and effectiveness of programme implementation, not all had incorporated comprehensive M&E components into their programmes. M&E is however receiving increased attention. This is sometimes inspired by internal interests and in other cases it is donor driven. It was also noted that also in those cases where M&E is in place during programme implementation, there is often no follow-up after programme completion. Nevertheless, efforts are commonly made to disseminate results – sometimes also including the short-comings of a programme. Workshops, training activities, multimedia products and special events were cited as means for communicating with targeted or wider audiences.

In summary, the questionnaire responses gave a great deal of interesting and useful information on existing programmes and processes that the above brief account cannot do justice. The FAO Fisheries and Aquaculture Department is grateful to the respondents for their contributions and will seize upon the overarching message of the importance to collaborate, complement and connect and also further explore the opportunities cited in the process of developing the global FAO programme.

5. REPORTS ON GROUP DISCUSSIONS 1: THEMATIC GAPS AND PRIORITIES

The first round of group discussions examined the three thematic areas, their contents as expressed in the focus areas or outputs¹, and the priorities and key considerations that should be taken into account when developing the programme themes more fully. Participants were divided into three separate groups that reported back to plenary presenting their main discussions points and conclusions.

THEME 1: Small-scale fisheries and aquaculture

The group discussion² on thematic gaps and priorities for theme 1 – *Increased contribution of small-scale fisheries and aquaculture to poverty alleviation* – focused its deliberations on the identification of priority actions needed for each of the four envisaged programme outputs. These included:

- 1) **Development and dissemination of small-scale fisheries and aquaculture assessment and monitoring methods:** Better information and baseline data are needed to raise awareness of the importance of fisheries and aquaculture and to inform policy and decision-making processes. At the national level, it would be important to integrate fisheries and aquaculture information into existing surveys and statistical systems, as well as ensuring that national development plans and poverty alleviation strategies take the needs of the sector and its people into account.

Key indicators should be defined and agreed upon to focus data collection and dissemination efforts. One such indicator could be the role of fish in nutrition, but also more information on employment and incomes generated by the sector and on the roles of different groups – e.g. men and women, fishers and post harvest workers – is needed. Methods for many assessment and monitoring aspects may already exist (in other sectors) but participatory approaches are needed when defining systems and indicators to ensure that the information collected, compiled and disseminated is appropriate and accessible to those that will use it. Better information will only contribute to poverty alleviation and food security if it is acted upon.

- 2) **Improvement of domestic and international market access for products originating from the small-scale fisheries and aquaculture post-harvest sector:** Small-scale producers have often difficulties accessing competitive markets and obtaining the best prices. Marketing infrastructure and food chains are often export-oriented to the neglect of domestic needs and opportunities. Post-harvest activities are critical for employment and income generation, especially for women. Many export markets require certain standards and certification schemes are becoming more common. These are often beyond the reach of small-scale producers because of the need for information and financial and human resources. Alternatives to international certification schemes are needed and the potential of setting up of national and regional certification systems should be explored. The certification of some aspects might also be assigned to producer organizations where this is in line with good practices of independence, accountability and transparency. The seafood market has a major influence on fish production and businesses need to be sensitized to influence their buying decisions in favour of small-scale producers. A key to strengthening the marketing power of small-scale producers is capacity building and organizational development. Larger groups of small-scale producers are in a stronger position for negotiating good prices, both when buying inputs and when selling their produce. Improved access by small-scale operators to price and other market information is also important for strengthening their competitiveness.

The issues and constraints are different whether targeting domestic, regional or international markets. In domestic and local markets, more efforts are needed to identify and develop small-scale market facilities and storage and transport infrastructures. Such developments should be planned and implemented in close consultation with the small-scale operators.

¹ See "Introduction of the thematic areas" above and/or the annex of the Prospectus in Appendix C.

² The group was organized with the assistance of Mr Rolf Willmann (FIE) and Mr Rohana Subasinghe (FIM). The facilitator was Ms Melba Reantaso (FIM) and Mr Suriyan Vichitlekarn (Association of Southeast Asian Nations – ASEAN) presented the group's report in plenary. Lena Westlund (FIDP) acted as the group's rapporteur.

- 3) **Development, piloting, dissemination and implementation of policies, practices (including management) and best practice guidelines:** Testing and piloting are needed for things that have not been tried before but it is equally important to think of pathways for scale. Pilots may be successful but often difficult to implement on a bigger scale and unless this happens, the impact will be limited. Related to scaling up is the importance of communicating successes and failures as well as the socio-economic impact.

Poverty and vulnerabilities in small-scale fishing and fish farming communities do not only relate to issues and constraints contained within the sector itself. Hence, guidelines and best practices need to cover not only technical aspects but also, for example, organizational development, and social and economic issues. There is a need to develop comprehensive guidance for pro-poor small-scale fisheries and aquaculture management and development. Other specific critical gaps should be identified for which advice and guidelines are needed and these should then be developed in participation with stakeholders.

- 4) **Enhancement and development of partnership and creation of networks to exchange and share knowledge and experiences on best practices for small-scale fisheries and aquaculture, including the post-harvest sector:** There are multiple levels of networking and interactions that can be strengthened and developed. It is important to know the various stakeholders and their networks and – to the extent possible – build on these rather than creating new structures.

A network has to be based on a common interest to be sustainable and the mutual benefits have to be recognized. Networking among small-scale operators themselves should be supported as well as encouraging their integration in broader national, regional and international networks. A value chain approach should be applied (covering actors and activities from input supply to post-harvest and marketing) and the incorporation of small-scale operators into the value chain of large-scale operators is an opportunity that can give reciprocal benefits if given the necessary policy support.

On the whole, the group believed that the theme and its four output areas covered most key issues but after the discussion on priorities, it was felt that – when developing the full programme – the outputs and activities might need reorganising and some reformulation to provide a more logic structure. Attention was also brought to the need to ensure that gender considerations were adequately built into the programme as well as taking the particular needs and interests of indigenous people and subsistence fishers, particularly in inland waters, into account.

THEME 2: The ecosystem approach to fisheries and aquaculture

With regard to theme 2³ – *Sustainable production for optimal societal benefits through implementation and development of the ecosystem approach to fisheries and aquaculture* – the group discussions focused primarily on identifying gaps and needs for improvement in the development of the EAF/EAA framework and implementation. While some identification of "priority" areas was discussed, it was generally felt that prioritization was difficult at this moment and might not, in any case, be appropriate as many of the issues raised concerning the EAF/EAA framework are interlocking and not easily implemented in isolation.

Given the overall programme's emphasis on poverty alleviation and food security, the question was raised as to whether the main objective of the programme, and of the group discussion exercise, would be to adapt the EAF/EAA to small-scale fisheries and aquaculture. The theme coordinator considered that, at this stage, the intention was not to limit the application of EAF/EAA to small-scale activities only, as other subsectors also have significant implications for both poverty alleviation and food

³ The coordinator for theme 3 was Ms Gabriella Bianchi (FIM) and the session was facilitated by Ms Doris Soto (FIM). Mr Philip Townsley (IMM Ltd) acted as rapporteur and also made the presentation of the group's conclusions to plenary.

security. The decision on where emphasis should be put would best be made according to the specific context of any particular intervention.

There was, however, broad consensus in the group that the small-scale sub-sectors in fisheries and aquaculture should be areas of particular attention. It was noted that, in documentation and discussions around EAF/EAA, some clarification might be in order so that the nature of the relationships between EAF/EAA, small-scale fisheries and aquaculture, and the overall programme goals of poverty alleviation and food security are made absolutely clear. Otherwise there is some risk for confusion since they are being addressed under the umbrella of a single programme.

Following this initial, general discussions, the group started its work on identifying gaps in current understanding of the processes required for EAF/EAA. As a result, five main categories of gaps in need of attention were identified:

- 1) **Understanding and improving policy-making processes:** it is important for those involved in initiating and promoting EAF/EAA to be aware of the context of power and processes within which they are operating. Thinking strategically about appropriate ways of encouraging change in policy processes and the enabling context is important. This means, for example, identifying points of leverage, potential champions of change, avenues of least resistance, appropriate coalitions for facilitating change, etc.

There is a need for analysing and identifying those institutional and policy frameworks to enable EAF/EAA implementation. Policy development, and the policy cycle, needs to be transparent and involve learning and adaptation mechanisms. Policy processes in support of EAF/EAA should be informed and influenced by the outputs of research in many scientific sectors (social, economic, environmental). Ways in which new knowledge generated by research in these different sectors can inform the policy process need to be explored. The establishment of principles guiding policy decisions that are commonly accepted among key stakeholders can enhance transparency and the support base for policy decisions.

- 2) **Institutional arrangements and governance:** Working on EAF/EAA will inevitably involve work across many institutions and at different levels (e.g. different sectors, geographic scales, management levels, etc.). This means that understanding institutions, what they are and how they work is key. The roles, responsibilities and mandates of institutions are often complex and need to be clarified both across sectors as well as vertically. This means understanding both institutions' formal and documented roles (what institutions are supposed to do) and what their informal and unwritten roles are (what they actually do). The ways in which roles, responsibilities and mandates are delegated in the context of processes of decentralization are particularly important. Of special importance is to understand the local decision-making process.

Institutional processes are as important as the structures, especially in processes that involve interinstitutional coordination and cooperation. The processes by which institutions involved in EAF/EAA work have to be adaptive, responsive and flexible. This involves a willingness, and appropriate mechanisms, to learn lessons within institutions, to recognize and respond to mistakes and "critical awareness" which allows institutions to assess what they do and recognize the need for adjustment.

Ensuring that institutions involved in EAF/EAA have appropriate legislation and enforcement mechanisms at their disposal is also of fundamental importance.

- 3) **Capacity building and tools for EAF/EAA facilitation and implementation:** capacity building, as a continued process supporting EAF/EAA throughout, is required, providing people with manageable tools which enable them to contribute to the overall process. Tools are needed at all levels, both in relation to facilitating planning and implementation processes, as well as in support to building knowledge on the human as well as environmental parts of the system.