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Наций

PROGRAMME COMMITTEE

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Evaluation of FAO's support to the implementation of the Code of Conduct for Responsible Fisheries

MANAGEMENT RESPONSE

1. Management welcomes the Evaluation of FAO's support to the implementation of the Code of *Conduct for Responsible Fisheries.* It provides an assessment of the support by the FAO Secretariat to the implementation of the Code, including the Secretariat's performance and comparative advantage in this area of work, and recommendations on the future role and strategies of the Secretariat.

2. Management appreciates the participatory process used for the Evaluation with the involvement of many FAO staff members in addition to the numerous stakeholders, external experts and partners. The Management Response was prepared by the Fisheries and Aquaculture Department (FI) following on wide consultation with concerned FAO staff. Members had the opportunity during the 30th session of COFI in July 2012 to provide comments to the Evaluation Team on the report.

This report is particularly important because the Code of Conduct for Responsible Fisheries 3. has provided a guiding framework for most of FAO's work on fisheries and aquaculture for more than 15 years. Management welcomes the Evaluation's recognition of this in its statements that:

- FAO had been a key player in the preparation and negotiation process that led to the adoption of the Code by FAO Members in 1995.
- FAO Members, COFI and the Secretariat are the official owners of the Code; and have taken • their mandate seriously. COFI has continuously guided FAO's work in supporting the implementation of the Code, which has been the first agenda item of COFI since adoption and has been the object of intense debate among participants, as well as of items sent forward to FAO Council and Conference.
- Within the Secretariat, all FAO fisheries staff refer to the Code as the "overarching framework for their work and mandate".

4. Management welcomes the conclusion that FAO's performance has been highly commendable and the quality of its work consistently high. Management notes the Evaluation's findings that the Organization has fallen short of its potential, with the main shortcomings identified as: i) a lack of strategy and priorities for Code development and support to its implementation; ii) limited and mediocre outreach; iii) inconsistent articulation between the normative and operational work,

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including capacity development; and iv) insufficient attention to the human dimensions. Management accepts the validity of these concerns and will ensure they are addressed under the leadership of the Assistant Director-General of the Fisheries and Aquaculture Department. The ecosystem approach to fisheries and aquaculture, which also explicitly includes the human dimension, will be a key component of the implementation strategy.

5. Management agrees with the Evaluation's conclusion that implementation of the Code is at the core of sustainable fisheries and aquaculture management, which is central to FAO's mandate and mission. FI has a specific responsibility in this endeavour and will strategically re-align its work to support the implementation of the Code in a more proactive manner, seeking extrabudgetary funds to extend its reach.

6. The Evaluation concluded that for the Code to become a living and meaningful source of inspiration for transformative change in fisheries and aquaculture, the large gap between the formal authority of the Code and its users must be bridged in numerous ways. Management agrees that FAO has a catalytic role in helping the world build this bridge, and believes that its active promotion of the ecosystem approach (comprising concepts, guidelines and a toolkit) provides the best mechanism for this goal, which continues to receive increasing uptake worldwide..

7. Management endorses the Overarching Framework for the implementation of the Code proposed by the Evaluation which comprises three main components:

A. Strategic and operational planning for Code development, dissemination and monitoring;

- B. Advocacy for Code implementation;
- C. Embedding elements of Code implementation in all FAO aquaculture and fisheries projects.

8. In applying this framework, FAO will build on the support from the 2012 session of COFI to: a) the overall goal of ensuring food security and poverty alleviation through sustainable fisheries and aquaculture, and the leadership role expected of FAO; b) using the ecosystem approach to translate high-level goals into action through a participatory process, considering the three pillars of sustainable development; and c) focussing on challenges relevant to its core mandate, while joining efforts with partners to the extent possible. This will be done, in line with the Evaluation, by recognising the primacy of the Code's eight legal instruments, as well as the importance of the 31 Technical Guidelines.

9. In conclusion, Management finds that the Evaluation report is well formulated, insightful and constructive. The report shows strong recognition of the importance of the Code and of FAO's work in supporting it. Management concurs with most of the findings and recommendations presented. Out of the 16 main recommendations, 9 are accepted, 6 are partially accepted, and 1 is rejected. The recommendations generally mirror the approach undertaken by FAO in recent years, but they do entail adjustments in strategic direction and changes in emphasis. The fact that not all recommendations are fully accepted, does not imply rejection of their underlying concepts, but rather constraints due to the practicality of their implementation.

10. Management wishes to thank the Evaluation Team, the external expert panel members (including representatives of international organizations), experts in their personal capacity, and the Office of Evaluation for their thorough review and analysis, which enabled the formulation of the recommendations of the Evaluation.

11. The table below provides the Management Response to the individual recommendations.

	Management response Accepted, partially accepted or rejected and comment on the Recommendation	Management plan			
Evaluation Recommendation		Action to be taken	Responsible unit	Timeframe	Further funding required (Y or N)
Recommendation 1: To FI, on its Vision for the implementation of the Code of Conduct for Responsible Fisheries As the Code of Conduct for Responsible Fisheries is the key pillar of FAO's mandate and mission for fisheries and aquaculture, the Fisheries and Aquaculture Department should make the promotion, development and implementation of the Code central to its strategies, planning and management. To achieve this, the FI- ADG should explicitly be the chief Code promoter and manager, responsible in FI and FAO for Code coordination and resource mobilization through direct reporting lines.	Partially accepted The Code has provided a crucial framework to guide most of FAO's work on fisheries and aquaculture since its adoption in 1995. Promotion and management will be further strengthened in line with the 2011 COFI call for more proactive advocacy. The work on resource mobilization cannot be carried out by FI alone, but rather through close collaboration with TC, OSP and regional offices in a corporate manner.	 1.1 Designate FI-ADG as chief Code promoter, motivator for resources, and manager, working in close collaboration with DOs, TC and OSP. 1.2 The FishCode unit will support the ADG in these activities, working within the approved corporate Resources Mobilization Management Strategy (RMMS) in close coordination with TC and OSP. 	FI, working with TC, OSP and DOs	December 2012	No
Recommendation 2: To FI, on its developmental objectives The Fisheries and Aquaculture Department should ensure that human developmental objectives such as gender equality, food security and poverty reduction become the primary driver of its work, across all types of fisheries and aquaculture. Greater attention should be paid to the social and economic context in which fishing	Accepted It is necessary to strike a balance in FAO's fisheries work between social and economic objectives on the one hand, and conservation, environmental and ecosystem objectives on the other. This is consistent with the ecosystem approach which, by definition, includes the human dimension.	 2.1 Reinforce cross- organizational linkages with emphasis on the MDGs and outcomes of RIO+20, covering human development objectives. 2.2 Promote multidisciplinary work in project design, implementation, and monitoring and evaluation to enhance positive impacts on the ground. 	FI	2012-13	No

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and fish farming populations live; and fishing and aquaculture should be approached within this wider context. This will require the greater involvement of profession-als competent in social, economic and gender analysis and action.					
Recommendation 3: To FI on CCRF monitoring The Fisheries and Aquaculture Department should: (a) develop in a participatory manner with Member Countries, a set of objective indicators and benchmarks for reporting at national and sub- national level on progress in Code implementation; (b) include in every issue of SOFIA a stand-alone section on the Code; (c) in consideration of current budget restrictions, propose again to COFI to extend the frequency of the CCRF questionnaire to four years so as to redirect efforts to increase response rates.	Partially accepted With regard to (c), the reason for extending the frequency would be to allow countries to report on a longer period during which more significant results on the Code's implementation are likely to have been obtained. However, given the rapid changes/growth in aquaculture, for the near future it would not be appropriate to reduce the frequency of the separate questionnaire on aquaculture/CCRF.	 3.1 The development of a set of objective indicators and benchmarks for reporting at national and subnational level on progress in Code implementation has been an ongoing activity since the adoption of the Code, which depends on the willingness and efforts of member countries. For this exercise to progress, technical regional and global consultations and training will be required. 3.2 A stand-alone section on the Code will be included in future issues of the SOFIA. 3.3 The Secretariat will propose to COFI to change the frequency of the main CCRF questionnaire to four years. 3.4 FAO will develop a more 	FI	3.1: 2014 3.2: 2013 3.3: 2014 3.4: 2013	Yes for 3.1, from extrabudgetary resources No for 3.2-3.4

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		efficient reporting process through electronic means, including for reporting by RFBs and NGOs, together with the development of a database to better manage information submitted and monitor progress of the various components of the Code over time.			
 Recommendation 4: To FI, on an Immediate strategy for Code dissemination By COFI 2014, the Fisheries and Aquaculture Department should: (a) develop a Code dissemination strategy for the next 6 years; and (b) develop strategies to promote, encourage and recognize innovation and achievement by stakeholders such as fishing and fish farmers groups and Member Countries agencies, in promoting the implementation of the Code. 	 Accepted (a) The Ecosystem Approach introduced 8 years after the Code is a holistic approach to facilitate practical implementation of its principles, in a comprehensive and contextualized way. An advocacy programme for the Code is being developed. (b) The Code is well known to member countries and reference is included in most national fisheries policies. The practical implementation of the high-level principles and goals to produce change among stakeholders at country level is the real challenge. 	 4.1 Review existing CCRF information dissemination and advocacy strategies and means including FAO Web site and CCRF home pages, as well as social media, and develop a new dissemination strategy. 4.2 Implement new dissemination and advocacy strategies. 4.3 Use novel approaches to help countries effect change among stakeholders. 	FI	2012-13	No for 4.1 Yes for 4.2, from Regular Programme and extrabudgetary resources Yes for 4.3, from extrabudgetary resources

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Recommendation 5: To FI, on a simplified version of the CCRF The Fisheries and Aquaculture Department needs to produce a simplified version of the Code, written in plain English, to serve as template for adaptation of the Code to national contexts, and foster its translation into the national spoken languages, and subsequently used as the basis for awareness creation and implementation of the Code at the district level. To support the successful implementation of the Code at national levels, the Code must be more widely appreciated and the Code's principles must be better understood. To achieve this result, a document is required that both describes the essence of the Code, the Code's aim and objectives, the Articles of the Code - avoiding technical, legal, legislative or bureaucratic jargon - and contextualizes the Code by incorporating national examples of irresponsible/responsible and unsustainable/sustainable fisheries practices and management.	Partially accepted Incorporating national examples of irresponsible and unsustainable fisheries practices and management, as suggested in this recommendation, might not be acceptable to the Members. Focusing on the benefits of successful implementation, with examples, may be more productive.	 5.1 Create "ownership" with Code users, by (1) reducing traditional emphasis on a "FAO document" and stressing the Code as an intergovernmental agreement and the countries' commitment to the Code, and (2) suggesting incentives and demonstrating the many benefits that can be derived from implementing and adapting the guidance given with the Code. 5.2 Review the 2001 simplified version of the Code and update/modify if necessary. 	FI	2014	No

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 Recommendation 6: To FI, on Establishing a system for relevant and effective CCRF products By COFI 2014, the Fisheries and Aquaculture Department should: (a) define the different categories of Code instruments (Technical Guidelines, IPOAs, Agreements, Strategies, etc.), giving consideration to the procedures for the development, review and clearance of each category; (b) establish clear and transparent criteria for assessing the need for new TGs and submit to COFI for endorsement; (c) ensure that participants in technical consultations represent the diversity of FAO membership and regions, represent the range of necessary fields of expertise including human dimensions, and aim for gender- balance. 	Accepted	 6.1 Define categories of Code instruments, distinguishing between guidelines, usually developed by the Secretariat with input from expert consultations, and international instruments (e.g. IPOAs, Strategies, Agreements, International Guidelines) which are negotiated separately in international fora. 6.2 Establish criteria for assessing the need for new or updated TGs. 	FI	2014	No
Recommendation 7: To FI, on Resource Mobilization approach The Fisheries and Aquaculture Department should maintain a strategic and programmatic approach to Resource Mobilization through a	Partially accepted The work on resource mobilization cannot be carried out by FI alone, but rather through close collaboration with TC, OSP and the regional offices in a corporate manner.	7.1 Under the leadership of the ADG/FI and in close collaboration with TC and OSP, prepare a resource mobilization plan. Priority will be given to sustainable aquaculture development, capacity development for	FI, TC, OSP, ROs	2013	Yes from extra- budgetary resources

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dedicated unit that manages the umbrella programme and has trust and visibility with traditional and new resource partners. In its Resource Mobilization strategy, FI should give priority and make specific effort to mobilize resources for:		STA/STF, inland fisheries, as well as other priority areas within fisheries and aquaculture in the context of food security and poverty elimination.			
(a) Sustainable aquaculture development;(b) Capacity development for					
(c) Inland fisheries					
Recommendation 8: To FI and TC, on advocacy in development assistance for the implementation of the CCRF	Accepted	8.1 Engage further and strengthen interactions with GEF, World Bank (Global Partnership for Oceans) and other development agencies, IGOs and IFIs active in	FI, TCI, TCS	2012-13	Yes from regular programme and extrabudgetary resources
The Fisheries and Aquaculture Department and the Technical Cooperation Department, including the Investment Centre and the Funding Liaison Unit should engage more effectively with major resource partners, such as the IFIs, to influence their programmes in the fisheries and aquaculture sector towards promoting the implementation of the Code.		fisheries and aquaculture and related fields. Such engagement will include promotion of the Code and proposals for specific initiatives.			

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Recommendation 9: To FI, on Human Capacity Development within the Department The Fisheries and Aquaculture Department should develop and implement an action plan for improving the planning, implementation, coordination, and monitoring of HCD in fisheries and aquaculture. The plan should: (a) be informed by the 2005 Strategic Framework on Human Capacity Development in Fisheries, the 2008 FAO Corporate Strategy on CD, existing success stories and internal support and learning resources; (b) assign to the FI Focal Point for Capacity Development, responsibility for leading the action plan development and implementation within the department; (c) make provisions for training FI staff in incorporating the three dimensions of HCD in their HCD activities; (d) make full use of FI staff comparative advantage as technical experts while facilitating and partnering with other organizations in HCD efforts;	Accepted	 9.1 Prepare an action plan as follows: conduct a capacity development needs assessment of staff, identify targets and train staff accordingly; conduct an inventory and review of existing FAO products, tools and practices on HCD; conduct an inventory and analysis of regional institutions involved in HCD – who is doing what, how, when and where and the gaps that need to be filled. Revisit existing HCD strategies and revise if necessary; plan for developing guidelines, standards, quality controls and impact measures for HCD interventions. 9.2 Develop guidelines, standards, quality controls and impact measures for HCD interventions. 	All FI units	9.1: 2013 9.2: 2014	Yes through Staff Development funds Yes from extra- budgetary resources

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(e) focus on training of trainers and development of national and regional capacity to do HCD work. Regional networks of experts and organizations can be built to assist regional, sub- regional and national HCD implementation.					
(f) make provision for developing specific guidelines for HCD in EAF and EAA in the three dimensions, i.e. beyond the provision of tools and training activities;					
(g) ensure HCD standards are set and met and quality control of HCD interventions are imposed; and					
(h) develop indicators or other means for measuring HCD impacts.					
Recommendation 10: To FI, on Human Capacity Development for the implementation of the CCRF in Member Countries The Fisheries and Aquaculture Department should support Member Countries and RFBs/RFMOs in developing capacity to implement the Code at the individual, organizational and enabling environment level by: (a) providing assistance in assessing the actions they need to take to	Accepted	 10.1 Enhance partnerships with RFBs/RFMOs, other agencies, NGOs, universities, and other FAO units dealing with HCD, to strengthen HCD in support of implementation of the Code and its instruments. 10.2 Enhance efforts in the development of Country Programming Frameworks with a view to including HCD 	All FI units	2013	Yes from extra- budgetary resources
improve their capacity in the three dimensions;		components supporting			

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 (b) strengthening human capacity development as an integral part of plans and strategies for fisheries and aquaculture; (c) identifying common needs, available expertise and resources, and potential partnerships and networking opportunities at national, regional and interregional levels, which might serve to assist and implement respective HCD plans. Universities and other training organizations should be given special focus as outreach partners for the long term. 		fisheries and aquaculture priorities and portfolios.				
Recommendation 11: To FI, on Fishing capacity reduction The Fisheries and Aquaculture Department should increase momentum in addressing the management of fishing capacity, to include complex multi species/multi gear fisheries and small-scale fisheries. It should revise its technical guidance on Fishing Capacity, to better address the complexity of issues that relate to fisheries management, fishing effort and capacity reduction and national economic planning. This should focus especially on: - defining excess fishing effort,	Accepted	 11.1 Develop proposals and seek funding for a concerted effort to make progress regarding the governance and technical management of fishing capacity at national, regional and global levels. 11.2 Implement work plan and projects for effective governance and management of fishing capacity at regional ad subregional levels. 	All FI units, DOs	11.1: 2013 11.2: 2014	Yes from Regular Programme Yes from extra- budgetary resources	

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capacity and over-fishing in view of assessments of resource sustainability and existing fishing capacity and effort levels;					
- social and economic consequences of, as well as resistance to, effort and capacity reduction on employment, income, food security, poverty; and					
 links between excess capacity and IUU fisheries management, subsidies and fishing rights. 					
Recommendation 12: To FI, on Strategic outlook for sustainable aquaculture	Accepted	12.1 Work on a global/ regional aquaculture advancement programme involving countries. Focus efforts on private sector	FI, DOs	2013	Yes from extra- budgetary resources
The Fisheries and Aquaculture Department should engage more vigorously with Member Countries and		engagement.			
the private sector, fostering awareness of resource demands associated with further development and intensification of aquaculture development, including		12.2 Develop a strategy for raising extrabudgetary funds in support of implementation of programme.			
in particular the pressure on marine resources associated with high demand for under-valued fish and fish meal.					

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Recommendation 13: To FI, on Aquaculture certification	Rejected				
The Fisheries and Aquaculture Department should take stock of – and clarify - its role in certification, in terms of both guidance and possible further engagement in the setting of minimum international standards for sustainable aquaculture development, determining its most appropriate and strategic role in certification and labelling of fish products, with reference to FAO's mandate and the requirements of the CCRF.	The Aquaculture Certification Guidelines are a separate instrument from the Code which have been negotiated in detail and subsequently endorsed by COFI and the Conference. FAO provides a neutral forum for member countries to negotiate guidelines on ecolabelling and certification, is a neutral facilitator in the negotiations and provides technical advice, if needed. Additional roles for FAO would have to be decided by member countries.				
	This is a highly sensitive area of ongoing work, where member countries have serious and legitimate concerns, but it also involves IGOs, NGOs, the private sector and ultimately the consumer. It is extremely important that FAO does not prejudice its role and neutrality in work on ecolabelling guidelines by implementing a recommendation that could potentially change that role.				

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Recommendation 14: To FI, on the Code and the Ecosystem Approach to Fisheries and Aquaculture Department should explain the EAF and EAA for its primary fisheries and aquaculture sector stakeholders by: (a) Making explicit references to the embodied Articles of the CCRF and its technical guidelines, especially in fisheries management, the precautionary approach, fishing operations, sustainable aquaculture and integrated coastal management. (b) Exploring whether the EAF and EAA could be renamed or rebranded to emphasise more its people-centred approach and links with the CCRF. (c) Clarifying: - the FAO definition and principles or equivalent, of EAF and EAA; - the environment, social and economic objectives of the EAF and EAA; - commonalities and differences between the EA principles and practices adopted under the Convention on Biological Diversity and its decisions; (d) Forming partnerships to accelerate,	Partially accepted After much deliberation and consultation, the former denomination ecosystem-based fisheries management was dropped several years ago in favour of the "Ecosystem Approach to Fisheries and Aquaculture" which embodies a more holistic concept. A further renaming or rebranding might cause confusion as the ecosystem approach terminology has become widely accepted and the approach is increasingly being implemented.	 14.1 Reinforce and accelerate work on EAF/EAA, including more emphasis on environmental, social and economic aspects, noting that socio-economic wellbeing is one of the three pillars of EAF/EAA. 14.2 Make additional and more explicit references to CCRF articles and technical guidelines. 14.3 Provide further clarification on definitions, objectives and CBD linkages. 14.4 Identify and develop partnerships and strategic alliances aiming at implementing robust management systems, especially with RFBs/RFMOs. 14.5 The EAF/EAA toolbox, will be completed and accommodate relevant tools for fisheries and aquaculture management. 	All FI units, DOs	2013	Yes from extra- budgetary resources

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 coordinate and assess practical applications with a view to supporting faster development of robust governance and management systems and gathering experience on putting fisheries into Marine Spatial Planning; (e) Developing the EAF toolbox as a more comprehensive and rebranded CCRF toolbox to serve wider Code needs. 						
Recommendation 15: To FI, on Research in Fisheries and Aquaculture By COFI 2014, the Fisheries and Aquaculture Department should have conducted an Expert Consultation to explore the issues concerning research and research systems to support the development and implementation of the Code. In particular, the Consultation should address: (a) what types of research are needed to support Code implementation, especially giving greater emphasis on the social science research for rights (including community rights) based governance and inter-disciplinary approaches to understanding social- ecological linkages. Specific	Partially accepted FAO influences the global research agenda and responds to advances in research outcomes by adjusting its objectives and programme of work programme. Research needs enter all aspects of the Code implementation and most of the work that FAO carries out in fisheries and aquaculture. As for the proposed Expert Consultation, Management is not convinced about the usefulness of yet another study at the global level on research needs. The proposed agenda for the Expert Consultation is much too broad and, as such the Consultation is likely to lead to only general statements. Ultimately, COFI has to confirm priority for any proposed Consultation.	15.1 Alternatives to the Expert Consultation will be explored as mean to address the important questions posed in this recommendation. Work is ongoing on issues concerning research and research systems to support the development and implementation of the Code, but greater emphasis will be placed on promoting opportunities for strategic alliances with partners competent in research coordination and the development of research policy. Such alternatives would rely heavily on partnerships with research agencies.	All FI units	2014	No	

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recognition should also be given to peoples' science, e.g., traditional knowledge, in fisheries and aquaculture;					
(b) the organizational and institutional arrangements within which research operates and provides advice/seeks directions;					
(c) how to ensure that research is directed at solving pressing short term practical sustainability issues as well as at developing frameworks to better address longer-term issues;					
(d) FAO's roles in coordinating and facilitating research linkages among national, regional and academic agencies in support of the Code.					
Recommendation 16: To FI and FAO, on the strategic role of the organization in emergency, rehabilitation and disaster preparedness in the fisheries and aquaculture sector	Accepted	16.1 Update the policy and strategy in emergency preparedness and response relating to fisheries and aquaculture.	All FI units	2014	Yes from extra- budgetary resources
The Fisheries and Aquaculture Department and FAO should develop a corporate policy and strategy defining its role and mandate in emergency, rehabilitation and disaster preparedness in the fisheries and aquaculture sector,		16.2 Build partnerships and consult stakeholders at all levels, identify and prioritize FAO actions.16.3 Develop guidance to support the sector and partners			

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in line with the current focus on enhancing resilience. The policy should be informed by the CCRF, ensure that FAO engages exclusively on rehabilitation needs assessment, coordination and technical advisory role and clarify FAO's role in input distribution and boat-building.		 in preparing for, and responding to emergencies to facilitate transition to development – always ensuring that response is aligned to the Code and other international instruments. 16.4 Support policy integration between humanitarian/DRM sectors and the fisheries and aquaculture sectors. 16.5 In vulnerable countries, support DRM planning and capacity development for the 				
		sector at all levels to build resilient communities. 16.6 Carry out capacity development for stakeholders and partners in aligning their				
		preparedness and response actions to the Code.				