



**Asia-Pacific  
Economic Cooperation**

INDEPENDENT ASSESSMENT OF THE  
FISHERIES WORKING GROUP (FWG)  
AND THE  
MARINE RESOURCE CONSERVATION WORKING GROUP (MRCWG)

**FINAL REPORT**



SOM Steering Committee on Economic and Technical Cooperation  
September 2011

APEC Project # SCE 02/2010

Authored By:

Mr. Sharif James Zainal Aziz  
G&P Maritime Sdn Bhd,  
Kuala Lumpur,  
Malaysia  
Website: [www.gnpgroup.com.my](http://www.gnpgroup.com.my)

Prepared For:

The APEC Secretariat  
35 Heng Mui Keng Terrace,  
Singapore 119616  
Tel: (65) 6891 9616  
Fax: (65) 6891 9690

© 2011 APEC Secretariat

APEC#211-ES-01.3

Cover Photo –Participants of the final annual and joint meetings of the FWG and MRCWG, 6-8 June 2011.

## REPORT APPROVAL

**Prepared By:**

Sharif James Zainal Aziz  
Manager-Marine Consulting  
G&P Maritime Sdn Bhd  
Kuala Lumpur  
Malaysia

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

**Reviewed & Authorised for Release By:**

Ir. Lim Choon Lin  
Managing Director  
G&P Maritime Sdn Bhd  
Kuala Lumpur  
Malaysia

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

**Note**

Documents with the letters 'FRC' – Final Release Copy – at the end of the document identifier (bottom left corner) shall be considered binding references. The views and opinions expressed in this report are those of the Contractor and not of the Client.

## TABLE OF CONTENTS

<b>REPORT APPROVAL</b> .....	<b>ii</b>
<b>TABLE OF CONTENTS</b> .....	<b>iii</b>
<b>ABBREVIATIONS &amp; ACRONYMS</b> .....	<b>iv</b>
<b>EXECUTIVE SUMMARY</b> .....	<b>1</b>
<b>1.0 BACKGROUND AND PURPOSE OF THE INDEPENDENT ASSESSMENT</b> .....	<b>4</b>
1.1 Independent Assessment Approach & Context .....	4
1.2 Independent Assessment Terms of Reference .....	5
<b>2.0 ASSESSMENT METHODOLOGY</b> .....	<b>6</b>
2.1 Economy Survey Questionnaire .....	6
2.2 Secondary Data Collection, Compilation and Review .....	7
2.3 Meeting Observation and Interviews .....	7
<b>3.0 FWG &amp; MRCWG WORK ACTIVITIES</b> .....	<b>7</b>
3.1 Activity Type & Focus .....	7
3.2 Working Group Project Budgets .....	9
3.3 Working Group Economy Contributions .....	10
3.4 Working Group Focal Point Knowledge .....	12
3.5 Working Group Meeting - General Observations .....	12
<b>4.0 EFFICIENCY AND EFFECTIVENESS OF FWG AND MRCWG IN SUPPORTING APEC GOALS / OBJECTIVES</b> .....	<b>13</b>
4.1 Gender Equality in Working Group Programs .....	15
4.2 Alignment of FWG Terms of Reference & Other Strategic Guidance .....	15
4.3 Alignment of MRCWG Terms of Reference & Other Strategic Guidance .....	16
4.4 Recommendations for Enhancing TOR and Strategic Direction .....	17
<b>5.0 EFFICIENCY AND EFFECTIVENESS OF FWG AND MRCWG PROJECTS, AND REVIEW OF IMPACTS BY ECOTECH PRIORITY</b> .....	<b>18</b>
5.1 Working Group Economy Focal Point Benefits .....	18
5.2 The Original 10 ECOTECH Priorities .....	18
5.3 Assessment Against the 5 Medium-term SCE ECOTECH Priorities .....	19
5.3.1 <i>Regional Economic Integration</i> .....	21
5.3.2 <i>Addressing the Social Dimension of Globalisation (Inclusive Growth)</i> .....	21
5.3.3 <i>Safeguarding the Quality of Life Through Sustainable Growth</i> .....	22
5.3.4 <i>Structural Reform</i> .....	22
5.3.5 <i>Human Security</i> .....	23
5.3.6 <i>Summary &amp; Other Observations</i> .....	23
<b>6.0 COLLABORATIVE AREAS OF WORK &amp; EXPOSURE</b> .....	<b>24</b>
6.1 Collaboration with other APEC Fora .....	24
6.2 Collaboration with non-APEC Fora and Working Group Elevation .....	25
<b>7.0 CHALLENGES AND BENEFITS IN MERGING THE FWG AND MRCWG</b> .....	<b>27</b>

## ABBREVIATIONS &amp; ACRONYMS

Asian Development Bank	ADB
APEC Information Management Portal	AIMP
Asia Pacific Economic Cooperation	APEC
Asia-Pacific Fisheries Commission	APFIC
APEC Support Fund	ASF
Association of Southeast Asian Nations	ASEAN
Agricultural Technical Cooperation Working Group	ATCWG
APEC Budget and Management Committee	BMC
Bali Plan of Action	BPA
Convention on Biological Diversity	CBD
Convention on International Trade in Endangered Species	CITES
Coral Triangle Initiative	CTI
Deputy Lead Shepherd	DLS
Ecosystem-based Management	EBM
Economic and Technical Cooperation	ECOTECH
Emergency Preparedness Working Group	EPWG
European Union	EU
United Nations Fisheries and Agricultural Organisation	FAO
United Nations Framework Convention on Climate Change	FCCC or UNFCCC
Pacific Islands Forum Fisheries Agency	FFA
Fisheries Working Group	FWG
Gross Domestic Product	GDP
Inter-governmental Organisation	IGO
International Maritime Organization	IMO
Intergovernmental Oceanographic Commission	IOC
Indian Ocean Tuna Commission	IOTC
International Union for Conservation of Nature	IUCN
Illegal, Unreported and Unregulated	IUU
Information Technology	IT
Lead Shepherd	LS
APEC Meetings Document Database	MDDDB
Marine Resource Conservation Working Group	MRCWG
Network of Aquaculture Centres in Asia-Pacific	NACA
Operational Account	OA
Organisation for Economic Cooperation and Development	OECD
Program Director	PD
APEC Project Information Management Portal, Projects Database	PDB
Project Proponent	PP
Regional Fisheries Management Organisation	RFMO
Regional Plan of Action	RPOA
SOM Steering Committee on ECOTECH	SCE
Southeast Asian Fisheries Development Centre	SEAFDEC
Small and Medium Enterprises Working Group	SMEWG
Secretariat of the Pacific Community	SPC
Trade and Investment Liberalisation and Facilitation Account	TILF
Terms of Reference	TOR
Transportation Working Group	TPTWG
Tourism Working Group	TWG
United Nations Environment Programme	UNEP
UNEP Global Programme of Action for the Protection of the Marine Environment from Land-based Activities	UNEP-GPA
United States Dollar	USD
Working Group	WG

## EXECUTIVE SUMMARY

- (1) To meet the requirements of the Independent Assessment Terms of Reference (TOR) this report makes a distinction between:
- how well the working groups achieve their respective objectives and goals, and
  - how effectively and efficiently they support the central overarching goals and objectives of APEC<sup>1</sup> (to encourage free and open trade and investment), and to what level the Fisheries Working Group (FWG) and Marine Resource Conservation Working Group (MRCWG) support the SOM Steering Committee on ECOTECH (SCE) priorities in two periods (i.e. the 10 ECOTECH priorities effective from the years 2006 to 2008 and the rationalised 5 Medium-term ECOTECH Priorities for the years 2009 and 2010).

In doing so, the assessment also explores matters related to the idea of merging the two groups.

- (2) The assessment recognises that the FWG and MRCWG have provided operational-level forums that promote implementation of key APEC instruments such as, the “*Soul Oceans Declaration - 2002*”, the “*Bali Plan of Action: Towards Healthy Oceans and Coasts for the Sustainable Growth and Prosperity of the Asia-Pacific Community – 2005*” (BPA), and the more recent “*Paracas Declaration – 2010 [including an action agenda]*”. The BPA provides a framework for practical guided action in a holistic manner under a number of thematic topics that resource administrators can work with at the Economy level. The more recent Paracas Declaration reinforces Ministers’ original objectives requiring the two working groups to re-focus their effort upon four thematic areas; i.e., (1) Sustainable Development and Protection of the Marine Environment, (2) [the] Impact of Climate Change on the Oceans, (3) [to] promote Free and Open Trade and Investment, and (4) The Role of Oceans in Food Security.<sup>2</sup>
- (3) The relationship between APEC Goals and Objectives and the strategic direction of the two working groups has been more evident in recent years within each groups’ Terms of Reference. One of the key challenges faced by the working groups is how best to through strong leadership ensure that the work of the working groups is effective and promoted not only during the time coming up to annual meetings but also during the time when there is less contact amongst group members. Also continuity in leadership and Economy representation (through focal points) stability is important. Without continuity, the drive and direction of the working groups or a merged group (and knowledge of key work programs etc) can be put at risk of failing to meet broad expectations placed on them by APEC.
- (4) Notwithstanding the above the Independent Assessment takes cognisance of the fact that during the 10<sup>th</sup> Joint Session Meetings of the FWG and MRCWG held in Bali, Indonesia 6-9 June, 2011, a consensus decision to merge the groups was arrived at by all Economies present at that meeting. To this end, a draft TOR for the would-be-merged group (designated the Oceans & Fisheries Working Group) was developed during the meetings - an effort to formalise the merging decision. Therefore, apart from remaining focused upon meeting the specific requirements of this Independent Assessments’ TOR, the Contractor places emphasis on providing a range of recommendations in the context of challenges and opportunities to promote a more effective and efficient future merged working

<sup>1</sup> APEC instruments such as the “*Bali Plan of Action: Towards Healthy Oceans and Coasts for the Sustainable Growth and Prosperity of the Asia-Pacific Community*” is an instrument or guiding goal/objectives framework developed and endorsed by APEC Ministers’ in 2005 to provide operational on-the-ground direction to the FWG and MRCWG to implement the APEC Ministers’ objectives.

<sup>2</sup> [http://www.apec.org/Meeting-Papers/Ministerial-Statements/Ocean-related/2010\\_ocean.aspx](http://www.apec.org/Meeting-Papers/Ministerial-Statements/Ocean-related/2010_ocean.aspx) , extracted 20.06.2011. Note: The importance of the Paracas Declaration to re-focus working group activities was welcomed and acknowledged by working group focal points at the recent 10<sup>th</sup> Joint Session Meeting of the FWG and MRCWG held in Bali, Indonesia 6 and 8 June 2011. Note: the importance placed on food security by APEC should continue to recognise the importance of oceans & fisheries in the food security debate, particularly in light of the fact that a significant proportion of the population of APEC rely on these resources for daily protein and subsistence in addition to the commercial value derived from marine resources.

group.<sup>3</sup> Hence, it is hoped that if implemented such reasoned recommendations should assist the merged group to satisfy expectations placed on them.<sup>4</sup>

- (5) Generally the structure and where the working groups fit into APEC are not issues in themselves, as this structure should result in operational efficiency and effectiveness. It is more likely that any issues related to organisational structure may be more a case of the need for effective communications and information management between the working groups and upper or horizontal level fora.
- (6) This reports' findings highlight mixed results in terms of the two working groups' ability to demonstrate consistent effective and efficient support and alignment to the APEC objectives and goals, and the ECOTECH priorities. On many counts, the two groups have done a great deal to be consistent; although on others the groups could improve in the efficient and effective delivery of tangible outcomes that demonstrate benefits on the ground, particularly if more focus is given to collaboration. In many ways identifying and assessing on-the-ground outcomes is challenged by limited data, also an issue faced by previous assessment of the two groups – although this subject area is assisted by Economy survey responses and a broad consideration of what evidence can be referred to in determining on-the-ground impact, e.g. evidence of regular collaborative activity outcomes etc.
- (7) There are 19 recommendations presented for the newly merged working groups' consideration. The most prevalent of these are repeated here, while all are provided in the report. The five (5) SCE recommendations are given below as well as in specific segments of the report related to the analysis.

**SCE Recommendation 1**

*Seek to enhance communication & information management between the newly merged group (including developing for the working group a range of procedural enhancements as appropriate) and the SCE to ensure that during times of transition in group membership or LS offices that communication processes and outcomes are not unnecessarily affected.*

**SCE Recommendation 2**

*Provide guidance and realistic timeframes on when the newly merged working group should develop and finalise a Strategic Framework, and provide support for the group to develop more action-oriented work plans with achievable milestones and timelines.*

**SCE Recommendation 3**

*Guide finalisation of the newly merged working groups' Terms of Reference (TOR) to ensure that this instrument meets the expectation of APEC. In doing so, also encourage direct reference in the TOR to the 5 Medium-term ECOTECH priorities (thus encouraging enhanced working group activity correlation to ECOTECH priorities).*

**SCE Recommendation 4**

*In light of the decision to merge the FWG and MRCWG made by represented Economies at the 10<sup>th</sup> Joint FWG/MRCWG Meeting Sessions held in Bali, Indonesia between 6-9 June 2011, endorse the merge and support the formalisation of this decision whilst continuing to provide annual guidance on APEC priorities.*

**SCE Recommendation 5**

*Seek agreement with the newly merged working group on the level of any additional administrative support that the SCE can reasonably provide and document such agreement if deemed necessary.*

---

<sup>3</sup> This position acknowledges that there would be no benefit in recommending an outcome different to that already arrived at by the working groups at their recent Annual Joint and Individual Meetings in June 2011 in Bali, Indonesia.

<sup>4</sup> The decision to merge the FWG and MRCWG is consistent with the expectations of Ministers, the SCE & also likely the expectation of other fora in the APEC Secretariat in order to promote enhancement in operational efficiency of SCE fora.

**Working Group Recommendation 2**

*Adopt an internal annual audit & reporting process (submitted to the SCE for comment) to measure how well the working group has: met its objectives, and supported the objectives and goals of APEC and ECOTECH priorities. This audit should be weighed against specified achievable milestones, timelines and practical measures of effectiveness.*

**Working Group Recommendation 5**

*During the inter-sessional period prior to tabling a finalised TOR for the merged working group ensure clarity of content and achievability of targets or outcomes if specified.*

**Working Group Recommendation 6**

*Develop focused and descriptive action-oriented Work-Plans that are reviewed annually. These work-plans should include indicators to measure implementation, as well as specific actions that will take place (in addition to annual meetings) to enhance working group performance particularly in securing collaborative activity with other APEC fora and organisations external to APEC.*

**Working Group Recommendation 8**

*Strongly consider the benefit of making direct reference to all ECOTECH priorities within the new TOR.*

**Working Group Recommendation 9**

*When developing new projects, review to what level such projects can support ECOTECH priorities and communicate these links during the project proposal development process.*

**Working Group Recommendation 11**

*Additional to the guidance contained in 2011/SOM1/SCE/003 for annual meetings after 2011 to be “held at the same time and the same venue as SOM”<sup>5</sup>, invite Lead Shepherds of other relevant working groups to future annual WG meetings (in addition to workshops) where scheduling permits.*

**Working Group Recommendation 12**

*Within the merged working groups TOR specify in some detail the anticipated relationships with APEC and non-APEC fora and outline how collaborative/cooperative goals will be pursued.<sup>6</sup>*

**Working Group Recommendation 14**

*Seek to implement shared projects and activities on a regular basis with suitable organisations. In doing so, create a shortlist of the most viable collaboration potential entities and during inter-sessional periods seek to establish shared project work or activities.<sup>7</sup>*

**Working Group Recommendation 16**

*Place a higher level of importance on achieving successful collaborative activities and report on the types and impacts of these at annual meetings and at SOM.*

**Working Group Recommendation 17**

*To provide a platform for enhanced integration and cooperation, proceed with the working group merge and adopt a standard single tier structure for the merged working group.*

**Working Group Recommendation 18**

*Adopt within the new groups TOR and Strategic Framework the four thematic areas of the Paracas Declaration, whilst ensuring that each instrument continues to account for the need to achieve Ecosystem-based Management (EBM).*

<sup>5</sup> 2011/SOM1/SCE/003, Scheduling Sub-Fora Operations to Enhance Effectiveness, Agenda Item: 5.1.

<sup>6</sup> The exact nature of how the merged working group will achieve more effective collaborative outcomes is a decision best decided by the group under guidance from the SCE; however, instruments such as the action-orientated work-plans could be suitable vehicles to describe how this will be achieved.

<sup>7</sup> E.g., FAO, UNFCCC, RFMOs, CBD, CITES, Trade Organisations, OECD, UNEP, IOTC etc.



## 1.0 BACKGROUND AND PURPOSE OF THE INDEPENDENT ASSESSMENT

1.0.1 The purpose of this independent assessment is to review the activities and outputs of the Fisheries Working Group (FWG) and Marine Resource Conservation Working Group (MRCWG), and develop recommendations to: (1) assist the Client in selecting an appropriate approach to oversee, assist, and guide each working groups (or a would-be-merged groups') abilities to support and sustain the APEC goals and objectives and the SCE ECOTECH priorities more effectively and efficiently; and (2) provide additional guidance to working group operations, processes and work activities etc.

1.0.2 As a result of an increasing emphasis over recent years by APEC Minister's for the need to continue to enhance APEC fora processes, effectiveness and efficiency the requirement for independent assessments has gained momentum as a strategic management tool. The first independent assessment of SCE sub-fora was conducted in 2004 when the FWG underwent a pilot independent assessment. Following this, in amidst other assessments, the MRCWG was subject to an independent assessment in 2008.<sup>8</sup> In the context of the priorities that influence the work activities and projects of SCE fora, it is noted that these priorities have undergone refinement in recent years. Hence, past recommendations for each group if not already implemented may no longer be entirely relevant.<sup>9</sup>

### 1.1 Independent Assessment Approach & Context

1.1.1 The two working groups were established in the early 1990s.<sup>10</sup> The assessment considers events and milestones, particularly in terms of the increasing cross-cutting nature of each working groups' work programs. This is followed by a specific analysis of the working groups activities and projects in terms of efficiency and effectiveness in meeting the goals and objectives of APEC, and the ECOTECH priorities over two time horizons, i.e., from 2006 to 2008 where the 10 SCE ECOTECH priorities applied, and between 2009 and 2010 when the SCE priorities were rationalised to 5 Medium-term ECOTECH Priorities/workstreams.<sup>11</sup> At each juncture, the achievements, challenges, and structural/management adjustments are considered with focus directed to what evidence there is that the two groups continue to evolve to meet the requirements and obligations under APEC. Notably, each working groups TOR were recently developed and therefore mostly set the groups' direction in the context of the 5 Medium-term ECOTECH Priorities of the SCE.<sup>12</sup>

1.1.2 A key factor in the consideration of effectiveness and efficiency is the variable level of capacity amongst Economies. This can be compounded by changes in Economy focal points, thus possibly offsetting long-term benefits of potential capacity enhancement.<sup>13</sup> No doubt each Economy does aim to maintain continuity through succession processes. Hence variable Economy capacity has since the inception of each group, required specific attention through working group activities aimed at continuing technical capacity enhancement.<sup>14</sup> This continues to influence each working groups' activity, and may

<sup>8</sup> (1) "An Independent Assessment of APEC's Economic and Technical Cooperation: Activities of the Fisheries Working Group", date March 2004-APEC#204-ES-01.1 prepared by Basil M.H. Sharp. (2) "Independent Assessment of the APEC Marine Resource Conservation Working Group (MRCWG)", dated August 2008-APEC#208-ES-0.1.2 prepared by Dr. Tegan Churcher Hoffman.

<sup>9</sup> A number of past recommendations provided in the recent independent assessment of the MRCWG still appear relevant.

<sup>10</sup> The MRCWG was formed in 1990, while the FWG was formed not long after in 1991.

<sup>11</sup> For the breakdown of FWG and MRCWG projects review refer to Appendix D.

<sup>12</sup> The MRCWG Draft TOR was developed in 2007, whilst the revised MRCWG TOR was not in effect until mid 2008. For the FWG, the Contractor is unable to ascertain whether there was an earlier TOR for the group prior to June 2010 when the current TOR seems to have been produced.

<sup>13</sup> Evidence of this issue, i.e., frequent changes to Economy focal points was demonstrated at the recent working group meetings (June 2011), where upon enquiry on the status of the previously distributed Economy survey for this Independent Assessment, it was found that a number of focal points at the meeting indicated no knowledge of the survey. This implies that when the working group port-olio is transferred to new focal points there may not be an adequate hand-over process in all Economies. This also led to the SCE contact list not being up-to-date.

<sup>14</sup> According to the AIMP Projects Database – the project category "seminar/symposium" have comprised 11 out of 44 FWG projects, while this category accounted for 20 out of 59 MRCWG projects. The project category of "other" also includes projects of a capacity building nature. The "other" project category account for about half of each working groups projects. Consequently, for the FWG only eight of the 44 projects listed were of an APEC-wide research focus (i.e. listed under the category of "survey or analysis and research"), whilst for the MRCWG the proportion was even lower with only eight of 59 projects under this category. These very broad observations serve to demonstrate the level of importance placed on the need for continuous technical capacity enhancement amongst Economies. Table 1 provides the summary of project types for each group.

continue as the ability to achieve sustainable management of marine ocean resources amongst Economies levels out – noting that no Economy seems to have achieved this yet.

1.1.3 The matters above should be considered as having been tempered in the context of an evolving organism, i.e. APEC, as it moved from its foundation phase to a level of more sophisticated administration - thus requiring SCE fora to deliver activities and outcomes that directly support Ministers' objectives, and the goals and objectives of APEC driven by the Bogor Goals.

1.1.4 The recommendations presented in this report are proposed to address the most pertinent issues or matters raised, and whilst these recommendations have been independently developed, they are influenced by pertinent suggestions made by Economies in the research process.

## **1.2 Independent Assessment Terms of Reference**

1.2.1 The independent assessment outputs, objectives and direction are guided by the following Client-developed study Terms of Reference (TOR):

1. Review FWG and MRCWG meetings, projects and activities; assess the outcomes of these activities and how they are supporting the main objectives/goals of the groups and APEC; assess the impact of the FWG and MRCWG work program "on the ground" in APEC member economies;
2. Evaluate whether FWG and MRCWG are operating effectively and efficiently; whether the groups' Terms of Reference and operation should be changed so that they can better respond to APEC ECOTECH priorities and contribute to the achievement of the APEC goals. Particular attention should be paid to: whether FWG and MRCWG should be merged; and if there were a decision to merge the two groups, what would be the key factors/issues to be considered to ensure the effectiveness and efficiency of the would-be-merged group's operation;
3. Identify ways to strengthen FWG, MRCWG, or the would-be-merged group's strategic priorities and direction for future works;
4. Provide recommendations on how FWG, MRCWG, or the would-be-merged group can better focus and more efficiently and effectively manage their/its tasks and assure that its capacity building activities are providing benefits according to the Leaders' and Ministers' priorities;
5. Identify ways to develop synergies among the work of FWG and MRCWG, or the would-be-merged group and various relevant APEC fora;
6. Identify opportunities and provide recommendations for greater collaboration with non-APEC parties, including the private sector, civil society and other international organizations; identify ways to tap resources for programs; opportunities to profile and share programs or projects;
7. Explore how FWG and MRCWG or the would-be-merged group can better take into account the APEC commitment to give gender greater consideration;
8. Finalize an array of recommendations on the above-mentioned areas. Recommendations are to be provided in two lists: the first list entailing the (no more than) 5 decision points for consideration by SCE to provide further instruction to the group, and the second list covering those recommended actions that can be further discussed for implementation by the groups themselves;
9. Provide a draft report on initial findings, of no more than 30 pages, written clearly and containing robust analysis to be conveyed to the APEC Secretariat, members of SCE, FWG and MRCWG;
10. Analyze member economies' responses to the draft report on initial findings; and
11. Produce and present the final report employing a clear and diplomatic style of presentation.<sup>15</sup>

---

<sup>15</sup> Reproduced from the Clients' RFP documentation.

## 2.0 ASSESSMENT METHODOLOGY

2.0.1 This Independent Assessment is based on data collected, compiled and analysed through review of APEC and working group documentation and reports (i.e. strategic documents, the two previous independent assessments<sup>16</sup>, meeting reports, project reports, proposal documents, and any available project evaluation documentation<sup>17</sup>). The assessment also included the collection, compilation and analysis of Economy Survey Questionnaire (hence referred to as the survey) responses, and consideration of information gained through observations made during working group meetings and focal point informal discussion with the Contractor.<sup>18</sup> The survey for the working groups was developed shortly after the project contract was signed (in March 2011). The survey was then tested and submitted to the Client for evaluation prior to finalisation in mid March 2011. The survey (**Appendix A**) was distributed to focal points of each working group in each Economy on 01 April 2011 – with a request to return a single survey response per working group in each Economy, i.e. two returned surveys from 20 Economies (please see **Appendix B** – survey distribution email), and one returned survey from one Economy.<sup>19</sup> The survey liaison strategy adopted for this study is provided at **Appendix C**. At the request of Economies the survey return deadline was extended twice (i.e. until 30 June). In total 14 individual working group Economy surveys and one combined (representing both working group in one Economy) survey were returned – a response rate of 39% i.e., 16 out of a possible 41 returned surveys. Based on this moderate response rate, the analysis of the survey results is given in the context of the results being reflective of a partial perspective of the working groups.

### 2.1 Economy Survey Questionnaire

2.1.1 The aim of the survey was to gather largely perception information on how each of the Economies believe the working groups were achieving their own respective targets and objectives, and to what level these conform to and support APEC goals and objective, and the 5 ECOTECH priorities along with the previous 10 priorities. The questions in the survey comprised closed questions, supplemented by a few open-ended questions. Closed questions provide quantitative data, whilst open-ended questions allowed Economy respondents to present detailed information, or to elaborate on programs, or specific Economy projects and activities that may be directly a result of the influence of these APEC working group's activities. As the areas of enquiry were the same for each working group, a single questionnaire was employed.

2.1.2 A Survey Distribution and Liaison Strategy (**Appendix C**) was developed to assist in survey returns (response rates) and additionally stakeholder inclusion and information dissemination. The intent was also to have a strategy in place to assist the Contractor in building up some rapport with likely interviewees prior to the working group meetings held 6-9 June 2011. This was challenged slightly by sometimes different representation by some Economies at the meetings. Importantly, during the survey distribution and liaison process the Contractor endeavoured to maintain contact and follow-up only as necessary, appreciating that the Economy representatives do have other priorities. One potential reason for the limited survey response rate could be that focal points perceived partial relevance for the assessment, although the assessment provides a range of useful recommendations developed to assist the newly merged group.

<sup>16</sup> For the FWG, the report entitled, "An Independent Assessment of APEC's Economic and Technical Cooperation: Activities of the Fisheries Working Group", date March 2004-APEC#204-ES-01.1 prepared by Basil M.H. Sharp. For the MRCWG, the report entitled, "Independent Assessment of the APEC Marine Resource Conservation Working Group (MRCWG)", dated August 2008-APEC#208-ES-0.1.2 prepared by Dr. Tegan Churcher Hoffman.

Note: Given the recentness of the MRCWG past review, it may be found that implementation and consideration of the previous assessment recommendations may still be in train or under consideration; whereas recommendations for the FWG from the past assessment will have either been implemented or not given the longer passage of time since that review.

<sup>17</sup> These documents were not available publicly on the APEC website instead being supplied by the Client.

<sup>18</sup> The Contractor attended the 10<sup>th</sup> Joint Session and individual working group Annual Meetings in Bali, Indonesia between 6-9 June 2011.

<sup>19</sup> Note: At the time of survey distribution, it was believed that each of the 21 Economy had representation on both working groups. During the Annual meeting in Bali the Contractor was informed by one Economy that in fact they only participate in the FWG.

## 2.2 Secondary Data Collection, Compilation and Review

2.2.1 In review and analysis of secondary data sources, the Contractor has identified and screened more than 400 reports and meeting documents produced by the working groups over recent years.<sup>20</sup> Through the initial scoping/screening process of documents between 2005 and 2011 it has been determined that many of the meeting agenda items did not require thorough review – they are ‘mostly’ cumulative evidence of working group process and administration. Through reviewing every meeting agenda item in addition to all working group reports for the same period, the key documents produced during this period have been identified and used as key references.

2.2.2 In terms of zooming in to the core documents relevant to each working groups projects, two assessment tables have been developed that contain information by project for the periods of most relevance to this assessment (please see **Appendix E**). This assessment table along with a range of measurable effectiveness and efficiency criteria was applied in the analysis. The analysis of trends and outcomes identified in the assessment of how well the two working groups have supported APEC objectives and goals, and the two sets of ECOTECH priorities are discussed in the following sections.

## 2.3 Meeting Observation and Interviews

2.3.1 The Contractor attended the annual joint and individual meetings of the FWG and MRCWG between 6-9 June 2011, in Bali, Indonesia. At these meetings the Contractor observed meeting processes, procedure and outcomes, whilst also using the meeting platform to encourage working group members to continue their efforts to complete and return the survey. The Contractor was available to focal points to discuss the Independent Assessment and the perceptions of represented Economies in how effective/efficient the working groups have been in past years. A number of observations made during the meetings including advice communicated by focal points are cited in the analysis – mostly in terms of what was seen to be effective, what issues there may be, and matters of effectiveness and efficiency in meeting obligations assigned to the group through the APEC framework.

## 3.0 FWG & MRCWG WORK ACTIVITIES

### 3.1 Activity Type & Focus

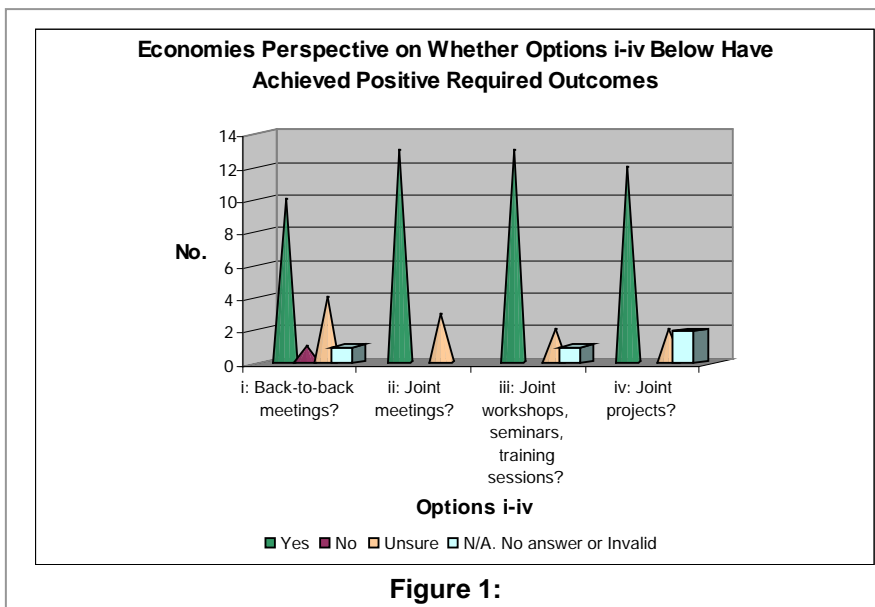
3.1.1 Both the FWG and MRCWG undertake much of their work program through annual meetings and projects, and to a lesser extent inter-sessional activities. Working group projects are classified under four project categories, i.e. *Seminar/Symposium*, *Survey or Analysis & Research*, *Short Term Training*, or *Other*, meaning that, activities conducted by both working groups usually come in the form of workshops, seminars, studies, inventories & IT solutions, and training forums for capacity development. As shown in **Table 1**, the MRCWG has either in process or completion 59 projects<sup>21</sup>, whilst for the FWG the project total is 44.

3.1.2 Since the 1990s as APEC and its sub-fora developed and became more sophisticated there has been an increasing requirement for enhanced efficiencies, and clearer accountability and working group effectiveness. For each of the working groups (i.e. FWG and MRCWG) this and the cross-cutting nature of their focus led to a gradual increase in the level of coordination and collaboration; i.e. from 1996 to 2005 the groups held joint meetings every two years, and held concurrent and Shared

<sup>20</sup> For reasons of relevance to the SCE priorities the assessment focuses on two timeframes, i.e. 2006-2008 where the original 10 SCE priorities were in place, and 2009-2010 where the SCE revised the priorities focusing necessarily upon 5 Medium-term priorities. The work and project activities prior to 2006 provide a more general assortment of data also reviewed only as far as it provides for background work and projects activities context.

<sup>21</sup> Interestingly, this figure (based on info in APEC Projects Database) matches the number (59 projects) mentioned within the previous MRCWG assessment conducted in 2008. This may indicate that either the APEC project database is out of date, or some of the earlier projects may not be listed on the database.

Ministerials every other year. Responding to the call for further efficiency – the frequency of these joint meetings moved to being held every year back-to-back with each groups’ respective annual meeting from 2006 onwards.<sup>22</sup> In terms of Economy FWG and MRCWG focal point perceptions of the level of effectiveness of collaborative efforts between the two groups the following responses were provided in the survey response: 10 responses indicated that back to back meeting have been positive; 13 survey responses indicated that joint meetings have achieved the required desirable outcome; and 12 indicated positive outcomes from joint projects, while 13 responses indicated positive outcomes from joint workshops, seminars and training session (**Figure 1**); a positive response in terms of the increasing collaborative nature of the two working groups. However, a moderate level of uncertainty to this subject was also accorded. Nevertheless, the positive outcomes should become more pronounced once the merge of the two groups is formalised. A key factor further supporting this conclusion is that during the analysis of recent (i.e. 2006-2010) working group projects (highlighted in **Appendix E**) the assessment has found that many of the projects could have been



(in theory) implemented by the other working group or implemented by a merged group. For administrative purposes the distinction between projects that have been collaborative and projects which have been entirely under one group or another is not discernable from the information provided on the APEC Project Information Management Portal, Projects Database (PDB) or the APEC Meetings Document Database (MDDB).

**Table 1: Summary of Working Group Project by Types 1995-2011**

Project Type	Seminar /Symposium	Survey or Analysis & Research	Short Term Training	Other	Totals
FWG	11	8	4	21	44
Notes	These project types dominated recent years of working group activity			Most common in early years	
MRCWG	20	8	8	23	59
Notes	Most common type of activity in recent years			Most common in early years	

3.1.3 A trend earlier observed by Sharp (2004)<sup>23</sup> could still be a factor effecting working group operational efficiency, i.e. some project proposals at times tended to reflect the interests of particular focal points. In these instances the link to APEC objectives and goals can be identified, although the linkages to the SCE ECOTECH priorities may be less obvious. Review of approved projects (**Appendix E**) does not demonstrate the same concern, indicating that the issue is managed through the project proposal 13 step evaluation/approval process starting out with the development of concept notes - reviewed for project quality and priority.<sup>24</sup> However, in terms of project proposal success, there was some mention at the recent working group meetings in Bali June 2011 of this posing some

<sup>22</sup> 11\_fwg-mrcwg\_006.pdf, Special Extraordinary Meeting Agenda Item 2011/SOM1/FWG-MRCWG/006, 7-8 March 2011.

<sup>23</sup> Basil M.H. Sharp, 2004; An Independent Assessment of APEC’s Economic and Technical Cooperation - Activities of the Fisheries Working Group, APEC #204-ES-01.1, APEC Secretariat.

<sup>24</sup> Guidebook on APEC Project 7<sup>th</sup> Edition.

challenge to the groups. This would imply a need for continuous project proposal development enhancement and training. The issue was also noted at the annual meetings in Canada in 2009.

### **Working Group Recommendation 1**

*Under the guidance of the Program Director (PD) the newly merged working group should ensure that an adequate level of understanding is maintained by all Project Proponents (PP) in order to enhance project proposal development processes to deliver greatest benefit to Economies.<sup>25</sup>*

## **3.2 Working Group Project Budgets**

3.2.1 Key trends in terms of working group annual project budgets are that: (1) the MRCWG projects budgets by year were generally more significant than that of the FWG, which could be attributable to a reliance in early years on scientific endeavours through primary data collection included in the project; (2) budget information for the early years (1990/90 to 1996/97) and indeed for some recent years was not available or incomplete; (3) the difference between APEC contributions and Economy contributions for both working groups show a general trend from mostly APEC sponsorship to a more even APEC/Economy funding split; and (4) for both working groups, annual project budgets trended upwards from the late 1990s to mid 2000s (more so for the FWG although the quantum's are lower than for the MRCWG), followed by a substantial projects budget reduction in recent years (**Table 2** and **3**).

3.2.2 Economy funding for the working group projects shown in **Tables 2** and **3** demonstrate that for the MRCWG more than 65% was Economy funded, whilst for the FWG the pattern is slightly different if viewed over the entire project funding budget timeframe, with about 60% being APEC funding and the remaining contributions coming from Economies. One possible explanation for this is perhaps the quantum of funding sought from APEC by each group was different with FWG mostly seeking a lower funding level than that sought by MRCWG. Without further data it can only be assumed that the trends, particularly fiscal tightening are a result of increasing calls for APEC fora efficiencies and perhaps changes in the mode of project types in later years along with a likely increasing competitiveness in budget allocations compounded by the growing number of APEC operational fora under the SCE. As observed by Sharp (2004) for the previous FWG independent assessment, "Organizational costs, Secretariat costs, member Economy costs, ... would need to be added to [this] data to get a more accurate estimate of costs [ ]".

3.2.3 The working groups have four key funds to choose from, i.e.: (1) the Operational Account (OA) funded by annual membership contributions, (2) the Trade and Investment Liberalisation and Facilitation Account (TILF) sourced from voluntary contributions, (3) APEC Support Fund (ASF), mostly used for capacity building, and (4) Self Funding.<sup>26</sup> From a review of recent projects by each working group (**Appendix E**) it is noted that although some projects were funded under the OA, they may not have been applicable APEC-wide. In such cases, consideration of placing such projects under the ASF should be given equal consideration. For the majority of recent projects (2006-2010) undertaken by both working groups the most common funding source has been the OA (for 16 projects) followed by the ASF (for 5 projects), with only one project being funded under TILF. The remaining projects were self-funded. No recommendation is given here, as the subject-matter is for information only, and does not imply a specific need for improvement in this area.

<sup>25</sup> Note: Considering the likely continued changes in focal points in years to come, the need to ensure focal points are aware of the proposal development processes seems an ongoing requirement.

<sup>26</sup> Guidebook on APEC Project 7<sup>th</sup> Edition.

<b>Year</b>	<b>APEC Budget (USD)</b>	<b>Economy Funding (USD)</b>	<b>Total Project Budget (USD)</b>
2011	<i>Nil recorded</i>	175,000.00	175,000.00
2010	<i>Nil recorded</i>	<i>Nil recorded</i>	<i>Nil recorded</i>
2009	192,786.00	68,053.00	260,839.00
2008	132,700.00	70,500.00	203,200.00
2007	145,000.00	110,000.00	255,000.00
2006	75,800.00	14,700.00	90,500.00
2005	52,700.00	29,010.00	81,710.00
2004	206,280.00	365,600.00	571,880.00
2003	128,640.00	<i>Nil recorded</i>	128,640.00
2002	202,913.00	202,000.00	404,913.00
2001	399,205.00	111,000.00	510,205.00
2000	157,000.00	38,000.00	195,000.00
1999	307,135.00	20,000.00	327,135.00
1998	173,388.00	18,000.00	191,388.00
Averages (Yr) <sup>28</sup>	181,128.92	101,821.92	261,185.38
Totals	2,173,547.00	1,221,863.00	3,395,410.00

<b>Year</b>	<b>APEC Budget (USD)</b>	<b>Economy Funding (USD)</b>	<b>Total Project Budget (USD)</b>
2009	127,890.00	215,052.00	342,942.00
2008	90,050.00	658,350.00	748,400.00
2007	306,878.00	764,620.00	1,071,498.00
2006	131,800.00	579,020.00	710,820.00
2005	84,000.00	376,390.00	460,390.00
2004	255,716.00	443,772.00	699,488.00
2003	193,810.00	<i>Nil recorded</i>	193,810.00
2002	390,734.00	761,150.00	1,151,884.00
2001	371,650.00	187,600.00	559,250.00
2000	655,900.00	1,748,000.00	2,403,900.00
1999	225,650.00	347,200.00	572,850.00
1998	153,700.00	245,000.00	398,700.00
1997	73,760.00	37,000.00	110,760.00
Averages (Yr)	235,502.92	530,262.83	724,976.31
Totals	3,061,538.00	6,363,154.00	9,424,692.00

### 3.3 Working Group Economy Contributions

3.3.1 Another measure of working group effectiveness is consideration of alternative working group contributions. To provide data on this subject, four survey questions were posed in the Economy Survey (refer **Appendix A** Questions 13, 14, 16 & 17). Two questions focused on the types of support provided by Economies, another on person days, and another on how effective and efficient Economies felt their contributions were utilised by the working groups. In determining respondents opinion as to what level they either sponsored or contributed finances to the working groups 11 respondents indicated that they either sponsored or contributed finances to the working groups 11 respondents indicated that they either sponsored or contributed finances to working group meetings; i.e., six responses indicated sponsoring joints meetings and five the contribution of finances to joint meetings (**Figure 2**).

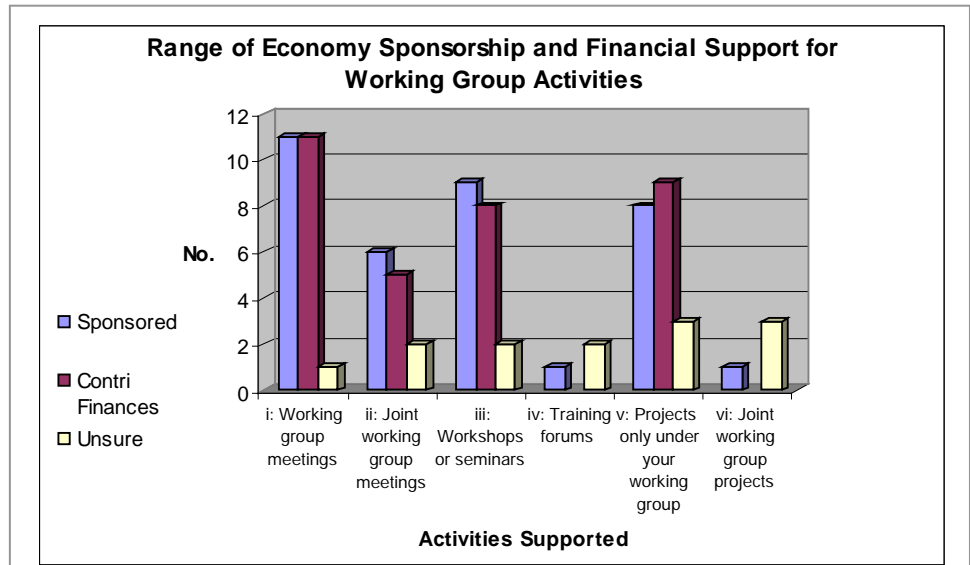
<sup>27</sup> Projects budget data for 1995, 1996, and 1997 was incomplete and thus not included in calculations. Data extracted from the AIMP Projects Database.

<sup>28</sup> The averages calculations in Table 2 & 3 are based only the years where a budget line exists in a column, e.g. if the timeline covers 13 years but only 12 of these years in a column has a budget reported then the average is based on 12 years.

<sup>29</sup> Projects budget data for 1995 and 1996 was incomplete and thus not included in calculations. 2010-2011 projects data either not in database or partial given the timing of this assessment. Data extracted from the AIMP Projects Database, March 2011.

3.3.2 The level of either financial contribution or sponsorship for workshops or seminars and projects only under one of the two working groups was also moderately high. Interestingly, and in the context of the increasing level of working group collaboration only one respondent observed having provided sponsorship for joint working group projects. This could indicate that actual collaboration between the working groups is mostly restricted to the conduct of joint meetings – where the spirit of frequent collaborative project activity is still a recent outcome (**Figure 2**). The actual range of financial support reported varied from a few to several hundred thousand USD with some total contributions higher in certain years.

3.3.3 The results in terms of how much time certain respondents provide to the working groups functionality implies a very high level of commitment by some Economies. For example, the reported cumulative number of days indicated working on or being involved in working group activities (for both the FWG and MRCWG) in 2005 was 819 days, whilst the lowest number of days



**Figure 2:**

was 502 in 2009 (**Appendix D - Figure D.1**). The most noticeable trends shown at **Appendix D - Figure D.1** is that the cumulative reported days spent by Economies on working group activities has steadily declined by between 25-30% over the five-year period. This could be due to a number of factors, such as: a possible decline in the level of importance placed on the activities of the working groups; an outcome of increasing working group efficiency; or an outcome of reduced activities in recent years; or a combination of these. However, the results of declining time spent on working groups' activities could be a reflection of a number of surveys having not been returned. This conclusion is based on an assumption made from returned responses where many Economies indicated large numbers of days in certain years due to being the host Economies for meetings in that year, therefore resulting in what seem to be anomalies (e.g. 100-150 days in one year reported by a respondent whilst the same respondent would indicate 10-20 days in every other year). Nevertheless, the high numbers even after accounting for Economy meeting sponsorship still indicate a moderate level of interest/support for the work of the working groups.

3.3.4 Survey respondents were also asked to indicate the level of involvement in project development and management and whether they shared the research outputs, thus demonstrating some on-the-ground impact. Four respondent surveys did not respond to this question; however, a number of other respondents did indicate positive involvement in working group project development, administration and research results dissemination. The most notable result was that in recent years, Economies have been increasingly involved in the sharing of research results with other APEC fora. This indicates that the level of communication and cross-pollination between APEC fora may have been on the increase. Another pertinent observation is that in terms of Economies participating in shared-funding projects this has been minimal in recent years, whilst the review of project outcomes (the project evaluation process) as an activity conducted by working group members may be restricted in terms of the number of Economies involved in this evaluation/audit process (**Appendix D - Figure D.2**).



3.3.5 Economy focal points were also requested to gauge the level they perceived their Economies contribution to the working groups being effective and efficient. Six responses indicated that their Economy contributions were used by working groups only slightly effectively and slightly efficiently, whilst eight responses indicated that the level for each was moderate. Interestingly, one respondent reported that this line of questioning was not applicable (**Appendix D-Figure D.3**). The results imply that a number of Economies see room for improvement in how their Economies contributions are utilised. This matter is the shared responsibility of the working groups and the SCE, but is also an outcome of how successfully the Lead Shepherd (LS) is able to bring balance to or acknowledge Economy input at annual meetings. Recognition is essential in order that Economies are able to identify the inclusion of their contributions. What does not appear to be widely publicised is a record of past achievements or a process whereby the groups' can measure how well they have been performing. Measuring performance internally on a regular basis (and recognising achievements and challenges) would add value to the group through the adoption of in principle a continual process enhancement approach – as was highlighted in the recent TPTWG Independent Assessment<sup>30</sup>.

#### **Working Group Recommendation 2**

*Adopt an internal annual audit & reporting process (submitted to the SCE for comment) to measure how well the working group has: met its objectives, and supported the objectives and goals of APEC and ECOTECH priorities. This audit should be weighed against specified achievable milestones, timelines and practical measures of effectiveness.<sup>31</sup>*

### **3.4 Working Group Focal Point Knowledge**

3.4.1 On more than one occasion whilst observing the processes and procedures and outcomes of the two individual and joint working group meetings held in Bali, Indonesia in June 2011, it was evident that due to changes of some Economy focal points there was a gap in focal point knowledge of the activities, programs, and purposes of the working groups. Furthermore, one focal point highlighted that historical knowledge is limited to each focal points years of participation, where many are not aware of previous working group achievements. Although it is possible to piece together a track record over the long term from the APEC databases, this process would not be practical for new focal points to gain an understanding of the historical background/achievements of the working group including events that led to the merging of the two groups. Past history needs to be compiled in a format that communicates the essence of past work and the groups' purpose - once developed this could be considered an essential reference for new focal points, in addition to other working group documentation. If considered in the context of a potential 20-30% focal point turnover within a two to three year period the matter appears significant to the successful continuation and effectiveness of the newly merged working group.

#### **Working Group Recommendation 3**

*Upon the formalisation of the newly merged group, document the history of the two working groups past significant events, work activities and projects. Include key decision or turning points in the evolution of the two groups becoming one. Update this document annually.<sup>32</sup>*

### **3.5 Working Group Meeting - General Observations**

3.5.1 During the meetings in Bali, Indonesia 2011 two issues stood out in terms of potential efficiency and effectiveness. The first issue was supported by comment made by a focal point commenting that it

<sup>30</sup> APEC#210-ES-01.1.

<sup>31</sup> Note: The audit report can be provided to all working group members and the SCE to highlight how effective the working group has been and to provide information to Economies of the importance and relevance of working group programs. Alternatively, the audit process could also take the form of a simplified survey sent to working group focal points annually for them to comment on performance and expectations.

<sup>32</sup> Note: This can also provide the working group with an overview of annual progress, which can be a useful reference for other APEC groups, and provide a reference for the group should they decide to implement the recommended annual review process also put forth as a recommendation in this report.

seemed usual to stray from the agenda, and sometimes without providing adequate explanation to all attendees during session. The level at which this occurred at these meetings may have been due to the perceived need to re-direct emphasis to the issue of the potential merge. Nevertheless, this may not provide enough rigidity/certainty and order expected by some focal points, who may perceive this as inefficient and ineffective, whilst others may prefer the fluidity. Perhaps this issue was also compounded possibly by a limited lead time to develop the draft agendas to ensure that they focused upon the most important matters. This would tend to be supported by the fact that as the meetings progressed the merging issue increasingly took centre stage, which may not have been originally anticipated when agendas were developed.<sup>33</sup> The second concern observed during the meeting sessions was in the area of effective communication and administrative information management. Although having multiple aspects, this issue is mostly in reference to the need for the SCE to always be updated of changes in Economy focal points. Additionally, during this assessment the contractor has observed certain information either on the working group web-pages or information contained within the APEC database that was not up to date.

#### **Working Group Recommendation 4**

*Develop meeting agendas with a lead time of 2 – 3 months and place a higher level of importance on following the agenda more rigidly (unless otherwise needed) to provide greater certainty for meeting participants on the intended scope and subject matter of meetings which they may need to prepare for or address from their Economies perspective. Where minor or significant deviation from an agenda is necessary ensure that the reasons for this are adequately communicated to and understood by meeting attendees.*

#### **SCE Recommendation 1**

*Seek to enhance communication & information management between the newly merged group (including developing for the working group a range of procedural enhancements as appropriate) and the SCE to ensure that during times of transition in group membership or LS offices that communication processes and outcomes are not unnecessarily affected.*

## 4.0 EFFICIENCY AND EFFECTIVENESS OF FWG AND MRCWG IN SUPPORTING APEC GOALS / OBJECTIVES

4.0.1 The central purpose of APEC and all sub-fora in their capacities is the facilitation and development of economic growth, cooperation, and free and open trade and investment in the APEC region. This region is home to about 40% of world human population who produce 54.2% of global GDP.<sup>34</sup>

4.0.2 The following discussion of the efficiency and effectiveness of the FWG and MRCWG in supporting the APEC objectives and goals is seated in the following – although it is not certain to what level the activities of the FWG and MRCWG have influenced these matters:

- APEC Economy fisheries account for approximately 75% of global capture fisheries production, and more than 90% of global aquaculture production.
- APEC Economies fisheries trade to non-APEC countries averages about USD\$36.5 billion annually – equal to about half the worlds fish export value annually.
- The APEC fisheries and aquaculture sector employ 26.2 million people equating to 60% of the worlds fisheries sector workforce.<sup>35</sup>

<sup>33</sup> The commentary on agenda focus during the meeting does not imply that the meetings were unproductive, as it was observed that during these meeting sessions overall the these resulted in very productive outcomes, the primary result being the agreement to merge the FWG and MRCWG and the related development of a draft TOR for the merged group.

<sup>34</sup> www.apec.org.

<sup>35</sup> *Ibid.*

- Geographically the marine/oceans environment comprise a much greater area of APEC than does the terrestrial environment and therefore in light of the above oceans resource use is a key contributor to food security.
- The economic value of marine resources and other activities that occur in the marine environment can for many of APEC Economies equate to around 30-50% of GDP or even greater.<sup>36</sup>
- The socio-economic importance of the fisheries and marine resource sector is vital in supporting and providing a livelihood and sustenance to many millions of coastal people in APEC.<sup>37</sup>

4.0.3 Identifying, analysing and accurately quantifying a direct link or causal relationship between the work activities and programs of the FWG and MRCWG and the factors above is not achievable in precise economic terms. However, gauging on-the-ground effects of working group activities to each Economy is partly possible based upon perceived benefits. Whilst considering this chapter, it is important to keep in mind the implications of analysis provided at **Chapter 6**, where collaboration is discussed.

4.0.4 An alternative consideration of measuring on-the-ground impacts could be through consideration of how the scope and complexity of working group projects has increased in recent years. This outcome could indicate that capacity building has led to positive on-the-ground impacts. Survey responses showed that 75% of responding Economy focal points did perceive there being a range of tangible benefits attained from their

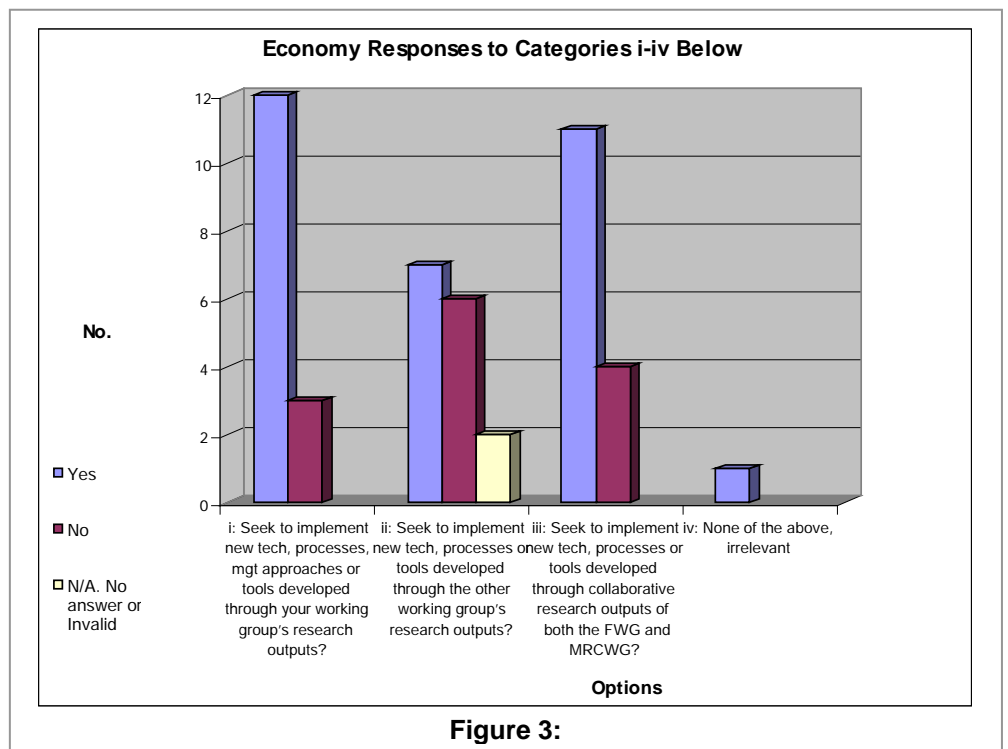


Figure 3:

involvement in working group activities (**Appendix D-Figure D.4**). To qualify the positive 75% response, some of the respondent did note that the tangible benefits were limited and not always easy to identify or quantify. One Economy survey indicated 'No perceived tangible benefit' - No reason was stipulated (**Appendix D-Figure D.4**). When questioned on whether the work of the two working groups has positive on-the-ground effect within Economies, 11 of 16 respondents indicated 'Yes', three indicated 'No', while two respondents were 'Unsure' (**Appendix D-Figure D.5**). Therefore, a perception-based analysis demonstrates an overall positive perception of on-the-ground outcomes from the work of the two working groups. Additionally, some economies cited throughout different parts of the survey response that often on-the-ground benefits included the adoption of alternative policy or management approaches for fisheries and marine resources.<sup>38</sup> This may not have been as readily achievable without the work of the groups and the open collaborative environment promulgated during group meetings.

4.0.5 In terms of perceived working group effectiveness in achieving a central objective of APEC (i.e. capacity enhancement through technical cooperation) through research: 12 responses indicated that

<sup>36</sup> Personal observations made during past research when considering the multi-faceted range and value of marine-related economic endeavour.  
<sup>37</sup> Fisheries and Oceans, Canada for the APEC Secretariat, 2009: *Harvesting Currency- The importance of fisheries and aquaculture for APEC Economies, 2009*, APEC#209-FS-05.1

<sup>38</sup> An interpretation of some of the positive elaboration or comments provided in survey responses.

Economies seek to implement new technology, processes, management approaches or tools developed through effort of their own working group; seven respondents observed the same effort for outputs developed by the other working group; while 11 seek to have joint research outputs implemented. Only one respondent survey indicated that this collaborative regime of research implementation seemed irrelevant (**Figure 3**). Following **Section 4.1** below the assessment considers how and to what level the strategic guiding framework of each working group aligns the work and activities of the groups with the core objectives and goals of APEC. This is done by contrasting the working groups TOR against the goals and objectives of APEC and the ECOTECH priorities. Determining to what point and how well each TOR is aligned with APEC objectives and goals and SCE priorities provides evidence of effectiveness.

## 4.1 Gender Equality in Working Group Programs

4.1.1 Upon review of FWG and MRCWG projects (please refer **Appendix E**), no project by either group from the years 2006 to 2011 specifically focused upon the issue of gender or gender equality. When questioned in the survey about gender-related joint working group projects or individual working group projects between the years 2000 and 2010, 11 of the 16 responses indicated either that they were 'Unsure' of any or the subject was 'Not applicable' or they gave 'No response' to this question. Four responses indicated 'No' known project focusing on gender (**Appendix D – Figure D.13**). That being said, participants from the survey noted that in developing projects under each of the working groups, gender was always given specific recognition. Only for observational purposes, the survey responses also showed that in terms of gender representation in the FWG and MRCWG, male representation at meetings from 2005 to 2010 was often two third to three quarters of total Economy representation (**Appendix D – Figure D.14**).

## 4.2 Alignment of FWG Terms of Reference & Other Strategic Guidance

4.2.1 This discussion considers the alignment between the FWG and APEC objectives and goals based upon any evidence of a communicated working group strategy, terms of reference or descriptions of working group goals, objectives or other operational guiding instrument.

4.2.2 The original "aims" of the FWG group upon its establishment in 1991 were to:

- Promote the conservation and sustainable use of fisheries resources;
- Promote sustainable development of aquaculture and habitat preservation;
- Seek solutions to common fisheries resource mgt problems and aquaculture disease control;
- Enhance food safety and quality of fish and fisheries products; and
- Promote sector-specific work relating to trade and investment liberalization and facilitation.<sup>39</sup>

4.2.3 These initial aims have not changed significantly, mostly becoming more refined. The FWG have goals (otherwise expressed as the *Vision*) and objectives that guide the groups' activities. The group has also developed a Strategic Framework, a TOR and Work-plans.<sup>40</sup> The goals (i.e. the *Vision*) of the FWG as contained in the FWG TOR (attached as **Appendix F**) "are: well-managed fisheries and aquaculture that yield optimal economic value and support sustainable communities and livelihoods; and the long-term conservation and sustainable use of these resources".<sup>41</sup>

<sup>39</sup> Basil M.H. Sharp, 2004; An Independent Assessment of APEC's Economic and Technical Cooperation - Activities of the Fisheries Working Group, APEC #204-ES-01.1, APEC Secretariat.

<sup>40</sup> <http://www.apec.org/Groups/SOM-Steering-Committee-on-Economic-and-Technical-Cooperation/Working-Groups/Fisheries.aspx> and APEC Meeting Document Database <http://aimp.apec.org/MDDB/pages/browseGroup.aspx>.

<sup>41</sup> Note: During the recent Joint meetings of the FWG and MRCWG June 2011 there did not appear to be consensus as to whether the TOR for the FWG and MRCWG were final or draft – although the TOR available through the APEC document database (attached as Appendix E & G) does not appear to suggest that these instruments are anything but the final version. Some focal points were unaware of the documents or their content.

4.2.4 The current FWG objectives (extracted from the TOR) include:

- Advancing APEC strategic objectives and responding to emerging regional priorities;
- Supporting/promoting domestic implementation of sustainable practices across the seafood value chain;
- Supporting the development and regional implementation of global fisheries and aquaculture practices that help ensure sustainability and an economically viable industry; and
- Supporting and promoting trade liberalisation and facilitation in fish and fisheries products to eliminate distortions and barriers that restrict access to markets”.<sup>42</sup>

4.2.5 Upon comparison of the FWG TOR against the APEC goals and objectives, there appear to be a clear link with which the group now bases and justifies its activities and work program (refer to **Appendix G** a comparison of the FWG TOR against APEC Goals/Objectives and SCE ECOTECH Priorities). Prior to the development of a clear TOR in mid 2010, that is, when the group was guided mostly by the Strategic Framework and other instruments the links between the activities of the FWG and APEC objectives and goals may have appeared tenuous to those without detailed understanding of the working group. Noting the above, there is potential for ambiguous interpretation of the ‘mandate’ contained within the existing TOR, where clarity of the intent of this component of the TOR can be enhanced. Furthermore, although the objectives of the TOR appear consistent with the APEC goals and objectives there is some uncertainty in whether the objectives, particularly objectives two to four have been met by the work activities of the FWG. The final comment pertains to the identified ‘Outcomes’ in the TOR, where “Effective conservation and sustainable management of living marine resources” (the first of four identified outcomes) appears not to be readily achievable in light of international findings which indicate a continuous steady decline in marine resources. Perhaps provision of a more easily achievable outcome in the TOR should be considered (refer **Appendix G**).

4.2.6 From a review of the 2010 and 2011 FWG Annual Work Plans these appear developed at a fairly broad-brush level lacking specificity in *actual program planning* that would confirm that the work plans do support in a practical sense APEC goals and objectives and ECOTECH priorities. What would be useful in evaluating how well the work plans influence the annual activities of the FWG, is a report on work plan implementation. It may be helpful particularly for new focal points and also to enable an implementation review of the work plans for these documents to include more detailed description of other work activities, which are only described generally (apart from the conduct of meetings).

### 4.3 Alignment of MRCWG Terms of Reference & Other Strategic Guidance

4.3.1 At an earlier stage in the development of a guiding framework for the MRCWG, the group had developed a “Strategic Framework”, which was revised in 2005. From an assessment and review of this revised strategic framework, working group meeting documentation and advice contained in past evaluations, the group now seems more closely aligned through its TOR to the 5 medium-term ECOTECH priorities (**Appendix G**). The TOR provided at **Appendix H** outlines the groups *Goal, Objectives, Priority Activities* and anticipated *Outcomes* (partially reproduced below).

4.3.2 The objectives of the MRCWG include:

- to ensure the sustainability of the marine environment and its resources through understanding oceans, seas and coasts and managing the marine environment sustainably;
- to provide for sustainable economic benefits from the oceans; and
- to enable sustainable development of coastal communities.”

<sup>42</sup> <http://www.apec.org/Groups/SOM-Steering-Committee-on-Economic-and-Technical-Cooperation/Working-Groups/Fisheries.aspx>

4.3.3 To meet these objectives the MRCWG focuses on developing and implementing policy, projects and actions to:

- apply an ecosystem-based approach to coastal and marine decision-making;
- support scientific collaboration and research;
- improve marine environmental quality and standards, including by the prevention, control and reduction of marine pollution;
- support regional and domestic efforts that contribute to the work and priorities of relevant international bodies, organisations, instruments and non-binding arrangements;
- improve regional cooperation for the responsible care of oceans and coasts;
- improve cooperation and coordination on marine-related matters among APEC fora;
- accelerate efforts to address environmental threats to marine-related trade and investment;
- facilitate capacity building through technology transfer, training, sharing of best practices & education;
- respond to emerging APEC priorities.

4.3.4 These policy responses, projects and actions by the MRCWG are intended to lead to the following outcomes which include improved:

- food safety and security;
- environmental health;
- knowledge and understanding;
- regional cooperation and harmonisation;
- human capacity, including recognition of the importance of gender equity; and
- facilitation of free and open trade and investment/economic and technical cooperation.<sup>43</sup>

4.3.5 The revised TOR and revised strategic framework demonstrate a clear correlation to the APEC goals and objectives, and ECOTECH medium-term priorities (see **Appendix G & H**). A word or phrase correlation analysis between the TOR text and the APEC goals and objectives, and the 5 Medium-term ECOTECH priorities highlight these links. In terms of relevance to the earlier 10 ECOTECH priorities a comparative assessment is not warranted due to the timing of the development of the TOR roughly just before the development of the 5 Medium-term ECOTECH priorities. Such strategic documentation (i.e. the TOR and Strategic Framework) would ideally be made available through a link on the relevant APEC webpage. The same comment applies to the FWG. More specifically, the identified priority areas in the MRCWG TOR rightly recognise the need to promote collaboration with other regional fora and APEC fora; the same does not appear to apply to the FWG TOR. Finally, the identified 'Outcomes' appear realistic in terms of achievability (refer **Appendix G**).

4.3.6 Upon evaluation of available documentation through MDDDB, recent MRCWG work plans appear only available for 2008. An assessment of the information contained in this work plan implies the same issues identified for the FWG work plans, i.e. that the work plan is quite general.

## **4.4 Recommendations for Enhancing TOR and Strategic Direction**

4.4.1 Based upon the above observations, these recommendations should assist the newly merged working group and SCE in ensuring that the group remains focused upon APEC requirements.

### **SCE Recommendation 2**

*Provide guidance and realistic timeframes on when the newly merged working group should develop and finalise a Strategic Framework, and provide support for the group to develop more action-oriented work plans with achievable milestones and timelines.*

---

<sup>43</sup> Marine Resource Conservation Working Group Homepage at [http://www.apec.org/apec/apec\\_groups/som\\_committee\\_on\\_economic\\_working\\_groups/marine\\_resource\\_conservation.html](http://www.apec.org/apec/apec_groups/som_committee_on_economic_working_groups/marine_resource_conservation.html) accessed 03.11.10

**Working Group Recommendation 5**

*During the inter-sessional period prior to tabling a finalised TOR for the merged working group ensure clarity of content and achievability of targets or outcomes if specified.*

**Working Group Recommendation 6**

*Develop focused and descriptive action-oriented Work-Plans that are reviewed annually. These work-plans should include indicators to measure implementation, as well as specific actions that will take place (in addition to annual meetings) to enhance working group performance particularly in securing collaborative activity with other APEC fora and organisations external to APEC.<sup>44</sup>*

## 5.0 EFFICIENCY AND EFFECTIVENESS OF FWG AND MRCWG PROJECTS, AND REVIEW OF IMPACTS BY ECOTECH PRIORITY

### 5.1 Working Group Economy Focal Point Benefits

5.1.1 Before directly considering working group consistency and support for the ECOTECH priorities, it is worth noting that a number of survey respondents reported an array of positive benefits through their association with the working groups, e.g.<sup>45</sup>:

- Knowledge and capacity building;
- A forum to discuss/develop strategies to address issues such as fishery management, Climate Change, IUU Fishing, Food Safety etc;
- A forum to address development and trade flow;
- A forum to enable development of regional meetings/workshops etc;
- A forum to share policy approaches and other measures taken by Economies;
- Provides for the opportunity to develop practitioner networks and to reinforce other forum initiatives; and
- A forum to provide for the development of practical projects to support ECOTECH priorities (**Appendix D-Figure D.6**).

5.1.2 In response to whether survey respondents could see room for improvement in the delivery and outcomes of these positive aspects, 11 of the 16 respondents indicated 'Yes', one indicated 'No', three were 'Unsure', and one gave 'No Response' (**Appendix D-Figure D.7**). The following detailed assessment of the level and range of support for the two sets of ECOTECH priorities places most focus on the rationalised 5 medium-term priorities - these being the current priorities that set the tone for working group activity. **Chapter 5** conclusions are supported by analysis contained at **Appendix E**.

### 5.2 The Original 10 ECOTECH Priorities

5.2.1 Between the years 2006 to 2008, the level of support by the FWG and MRCWG for the 10 ECOTECH Priorities shown in **Table 4** highlights most notably that there were; two projects supporting priority one, seven in support of the second priority, and 10 in support of priority three. Clearly, priorities five, eight and nine (i.e. [5] Developing Human Capital, [8] Facilitating Technology Flows and Harnessing Technology for the Future, [9] Safeguarding the Quality of Life Through Environmentally Sound Growth) were the core areas of focus for the FWG and MRCWG at the time.

5.2.2 In line with the above area of enquiry Economies were requested to comment on how well they believed the working groups had between the years 2005 to 2008:

- Met the requirements of the Strategic goals/objectives of APEC;
- Met the requirements of the 10 ECOTECH priorities adopted in 2006; and
- Met the objectives of their Economy (**Appendix D-Figure D.8**).

<sup>44</sup> Note: In order to be perceived as providing tangible benefits the merged working group should consider this option to assist it in developing focused activities that can be achieved/implemented and reviewed for effectiveness.

<sup>45</sup> Survey responses paraphrased or assigned to more than one category. Every effort made to represent the responses in context accurately.

**Table 4: FWG/MRCWG Projects Matching the 10 SCE ECOTECH Priorities (2006-2008)<sup>46</sup>**

10 SCE Priorities relevant between 2006 and 2008										
1	2	3	4	5	6	7	8	9	10	
FWG 04/2008	FWG 01/2008A	FWG 04/2008	FWG 02/2007	FWG 01/2008A	FWG 01/2008A		FWG 04/2008	FWG 01/2008A	FWG 04/2008	
MRC 06/2007	FWG 01/2007	MRC 01/2008		FWG 04/2008	FWG 04/2008		FWG 01/2007	FWG 04/2008		
	FWG 02/2007	MRC 04/2008		FWG 01/2007	FWG 02/2007		FWG 01/2006T	FWG 01/2007		
	FWG 01/2006	MRC 02/2007		FWG 02/2007	FWG 01/2006		MRC 01/2008	FWG 02/2007		
	FWG 01/2006T	MRC 03/2007		FWG 01/2006T	FWG 01/2006T		MRC 01/2008S	FWG 01/2006		
	MRC 01/2007A	MRC 04/2007A		FWG 02/2006	MRC 02/2007		MRC 04/2008	FWG 01/2006T		
	MRC 02/2007	MRC 05/2007		MRC 01/2008	MRC 03/2007		MRC 02/2007	FWG 02/2006		
		MRC 01/2006A		MRC 01/2008S	MRC 06/2007		MRC 03/2007	MRC 01/2008S		
		MRC 02/2006		MRC 04/2008			MRC 04/2007A	MRC 04/2008		
		MRC 03/2006		MRC 01/2007A			MRC 05/2007	MRC 01/2007A		
				MRC 02/2007			MRC 06/2007	MRC 02/2007		
				MRC 03/2007			MRC 01/2006A	MRC 03/2007		
				MRC 04/2007A			MRC 02/2006	MRC 04/2007A		
				MRC 05/2007			MRC 03/2006	MRC 05/2007		
				MRC 06/2007				MRC 06/2007		
				MRC 01/2006A				MRC 01/2006A		
				MRC 02/2006				MRC 02/2006		
				MRC 03/2006				MRC 03/2006		
Frequency	2	7	10	1	18	8	0	14	18	1

5.2.3 The responses received observed that in meeting the requirements of the strategic goals/objectives of APEC, an overall satisfactory level was selected by most. The same general trend was also reported for the other two categories in this question, i.e. the 10 ECOTECH priorities and priorities of Economies. The questions also garnered some less positive response in each working groups' ability to meet the requirements of this guiding framework during these years, although the rate of these responses was low (**Appendix D-Figure D.8**). These less positive responses being possibly very pragmatic in their assessment of working group focus, would appear to be partly supported by the assessment provided at **Appendix E** and **Table 4**. Of the areas where the groups placed less focus priorities one, four and 10 appear to have been relevant for the groups to have also given more focus.

### 5.3 Assessment Against the 5 Medium-term SCE ECOTECH Priorities

5.3.1 Based on a secondary data review covering the years of 2009 to 2011, the level of support via FWG and MRCWG projects for the 5 Medium-term ECOTECH Priorities varied. In the opinion of the

<sup>46</sup> Project correlation results are moderately subjective (i.e. support is either direct or indirect) in the context of interpreting relationships between working groups' projects and the ECOTECH priorities. For some projects, the relationship is multiple. The priorities are interpreted in a broad sense, e.g. Human Security is defined to include food security, hazard management etc. 10 SCE priorities: *Medium-term Priorities* (1) Integration into Global Economy, (2) Human Security and Counter-Terrorism Capacity Building, (3) Promoting the Development of Knowledge-based Economies, and (4) Addressing the Social Dimensions of Globalisation; *Long-term Priorities* (5) Developing Human Capital, (6) Developing Stable and Efficient Markets through Structural Reform, (7) Strengthening Economic Infrastructure, (8) Facilitating Technology Flows and Harnessing Technology for the Future, (9) Safeguarding the Quality of Life Through Environmentally Sound Growth, and (10) Developing and Strengthening the Dynamism of SMEs.

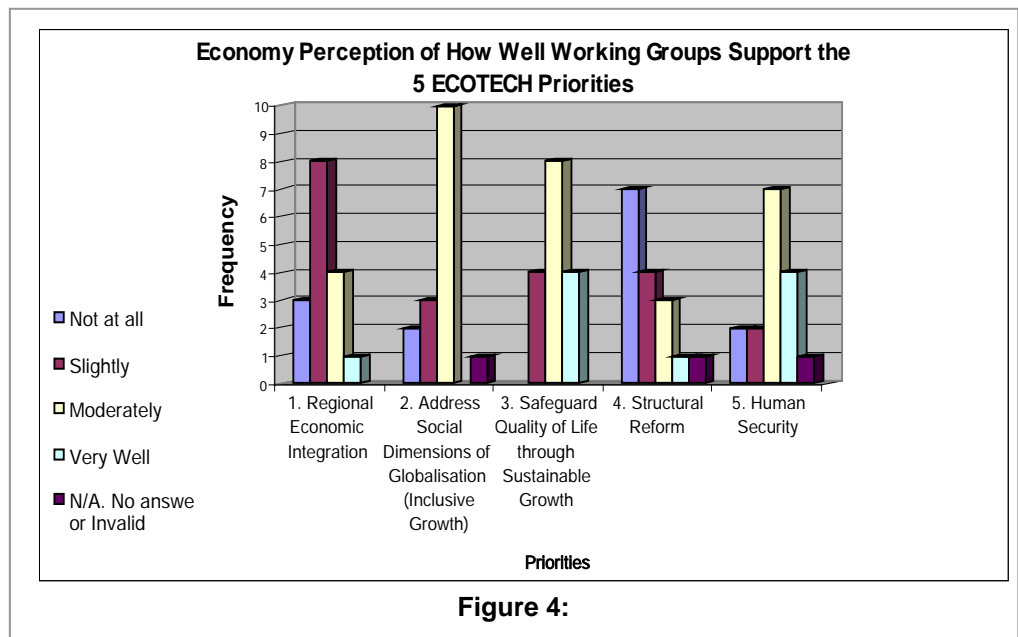


Contractor; six projects supported priority No 3, four projects likely indirectly correlated with priority No 4, and five projects provided some support for priority No 5 (Table 5). From this, it appears that both working groups' projects have supported mainly Medium-term ECOTECH priorities No 3, 4, and 5, whilst one of the FWG projects is determined to have perhaps limited links to priorities No 1 and 2.

**Table 5: FWG/MRCWG Projects Correlation with 5 SCE Medium-term Priorities 2009-2011<sup>47</sup>**

SCE5 Medium-term Priorities of relevance from 2009 onward				
(1) Regional Economic Integration	(2) Addressing Social Dimensions of Globalisation	(3) Safeguarding Quality of Life Through Sustainable Growth	(4) Structural Reform <sup>48</sup>	(5) Human Security
FWG 01/2009S	FWG 01/2009S	FWG 01/2011S	FWG 01/2009	FWG 01/2011S
		FWG 01/2009	FWG 06/2009	FWG 01/2009
		FWG 01/2009S	MRCWG 01/2009	FWG 01/2009S
		FWG 06/2009	MRCWG 01/2009A	MRCWG 01/2009
		MRCWG 01/2009		MRCWG 01/2009A
		MRCWG 01/2009A		
<b>Correlation Frequency</b>	1	6	4	5

5.3.2 The survey responses would seem to support in a general sense the above findings on the level of support afforded by the two working groups for the 5 Medium-term ECOTECH priorities (Appendix D-Figure D.9). As was indicated above in terms of working group performance to support the timeframe associated with the 5 medium-term priorities (i.e. 2009-2011) most survey respondents indicated a satisfactory level of support through the working groups for the; APEC objectives



and goals, the 5 Medium-term ECOTECH priorities, and the priorities of respective economies represented in the survey response. However, one Economy responded that there had been poor working group support for APEC objectives and goals. Two respondents observed the same poor performance in terms of working group support for the 5 Medium-term priorities and the objectives of their Economy (Appendix D-Figure D.9). By the majority selecting a satisfactory level of support, Economies recognise that there is room for improvement in the future.

5.3.3 Within this assessment the findings here in terms of confirming those projects that may have provided some support in a broad sense to the fourth priority of, i.e. 'Structural Reform' do not concur with some of the observations provided by some Economies in their returned survey responses (discussed further below), nor reporting on projects in action contained in the 2010 SCE Report on ECOTECH<sup>49</sup>. The likely reason for these observed differences when comparing the projects against the

<sup>47</sup> The project correlation results are considered to be moderately subjective (i.e. the support is either direct or indirect) in the context of interpreting the relationship between working groups' projects and the SCE priorities. For some project/SCE priorities, the relationship is multiple – meaning that certain projects either directly or indirectly correlate to a number of the 5 Medium-term priorities that were relevant to this timeframe. The priorities are also interpreted in a broad sense, e.g. Human Security is understood to include food security and hazard management etc.

<sup>48</sup> This outcome is arrived at by considering the purpose and objectives of these projects in a broad sense – not only in a direct sense.

<sup>49</sup> Senior Officials' Report on Economic and Technical Cooperation, 2010, APEC#210-ES-01.4.

5 Medium-term Priorities could be explained by the application of a broader interpretation of the purpose and outcomes of each project shown in **Table 5**. Thus, in this assessment, the links between the projects shown supporting priority No 4 have been interpreted at a broad level in terms of defining the meaning of 'structural reform' and the types of project that can support this priority, as structural reform is considered to include influence from changing paradigms or policy agenda in natural resource management. However, the strength of support for the priority may have been limited. Indirectly, these projects would also appear to support the aim "to advance trade and investment liberalisation and facilitation".<sup>50</sup> The following sub-sections provide analysis by ECOTECH Medium-term Priority.

### 5.3.1 *Regional Economic Integration*

5.3.1.1 At the core of regional economic integration is the requirement to reduce trade barriers between parties. These barriers can consist of tariffs, or non-tariff barriers such as restrictions to technology, labour or capital flow etc. In the context of this assessment, these barriers can also consist of non-harmonised fisheries and natural marine resource management approaches or regulation, whereby requirements such as food safety or sustainability standards can serve to impede trade. Economic integration can therefore also be promoted through changes to policy, standards and frameworks governing trade in seafood. In the context of APEC, economic integration is encouraged as much as possible within the non-binding framework - still allowing a high level of autonomy.

5.3.1.2 Survey responses did not recognise a strong link between their work and this priority, as three responses indicated a 'Not At All' outcome and eight responses indicated that this ECOTECH priority has only been 'Slightly' met by the working groups (**Figure 4**). This suggests that Economies see the need for the merged group to possibly place more emphasis on this ECOTECH priority. **Table 5** and **Appendix E** support this conclusion confirming that the priority has been given little attention by the FWG and MRCWG. It is a priority work-stream that would still appear relevant to the core fabric of the group, and therefore should have more focus placed upon it.

#### **Working Group Recommendation 7**

*Consider how the work of the working groups could provide an enhanced level of support through investigating avenues where fisheries and marine resource management play a role in REI.*<sup>51</sup>

### 5.3.2 *Addressing the Social Dimension of Globalisation (Inclusive Growth)*

5.3.2.1 Addressing the social dimensions of globalisation, which is the outcome of increased economic integration, seeks to ensure an equitable distribution of resources amongst the populations of APEC Economies. This priority is essential to the existence of APEC - recognising that member Economies are at different levels of economic development.

5.3.2.2 It appears that neither the FWG nor MRCWG have demonstrated a significant direct focus on this priority work-stream. However, links of an indirect nature between the work of the two working groups and this priority may be recognised (**Appendix E**) even if they are not communicated in project conceptualisation, planning and implementation. One example of this could be improved food security for traditional or subsistence coastal communities as a result of enhanced sustainable fisheries management outcomes promoted via fisheries or marine resource management projects. Such projects can provide a way or tools to alleviate the potential for social marginalisation due to the process of globalisation. The survey responses indicate that 10 of 16 Economies believe the FWG and MRCWG achieved a 'Moderate' level of support for this priority (**Figure 4**). However, it appears that this

<sup>50</sup> Observed within the APEC publication "APEC AT A GLANCE", pg 7. APEC#210-SE-05.2.

<sup>51</sup> Note: the working group could demonstrate to Economies through empirical research the benefits that may be realised by making adjustments to domestic practices and standards in seafood production and marine resource management.

perception (possibly based each working groups TOR) has not translated into significant project outcomes.

5.3.2.3 The gap in support for this priority appears to require corrective measures by the merged working group as upon review of each groups current TOR, this ECOTECH priority seems relevant to the activities and interests of the current groups and by extension the future merged working group.

#### **Working Group Recommendation 8**

*Strongly consider the benefit of making direct reference to all ECOTECH priorities within the new TOR.*

#### **Working Group Recommendation 9**

*When developing new projects, review to what level such projects can support ECOTECH priorities and communicate these links during the project proposal development process.*

### 5.3.3 Safeguarding the Quality of Life Through Sustainable Growth

5.3.3.1 At the core of this priority work-stream is the philosophical link to the discourse of sustainability popularised through the Brundtland Report of 1987 (also known as “Our Common Future. A Global Agenda for Change”), commissioned under the United Nations World Commission on Environment and Development (WCED).<sup>52</sup> Accordingly, this priority work-stream seeks to ensure that environmental concerns are interwoven into the policy framework of the development agenda. This priority work-stream is thought to pose some challenge to Economies in their respective ability to meet the ultimate objective of this priority due to the variable levels of development. Nevertheless, it would appear to be well supported by the past and current activities of the two working groups (**Table 5**).<sup>53</sup>

5.3.3.2 Interestingly, the survey responses (please see **Figure 4**) suggest that this priority was only moderately supported. No survey response indicated that there was no support for this priority by the working groups (**Figure 4**). One responding Economy noted that the working group that they represented has responded very well to this priority through implementation of the Seoul Oceans Declaration, the Bali Plan of Action and the thematic areas of the Paracas Declaration. Based upon the likely future focus and interests of the merged working group, there seem to be no reason why this ECOTECH priority cannot continue to be of central interest.

### 5.3.4 Structural Reform

5.3.4.1 Structural reform is considered to include the reform or adjustment to the internal (at the Economy level) and external inter-related policy arrangements, which would assist the APEC block in holistically reaping the benefits of structural reform. Structural reform as an ultimate goal of enhanced regional economic conditions is inter-dependent upon the first priority work-stream, i.e. regional economic integration. How these are achieved along with the way in which they are packaged will be influenced by cultural and socio-economic variance across Economies. As an SCE priority work-stream, this priority guides project activity output for some fora more than others under the SCE. In terms of APEC recognition, neither working group is recognised as directly supporting this ECOTECH priority; however, **Table 5** and **Appendix E** demonstrate that there are some projects that did provide indirect support to this priority, e.g. FWG01/2009, FWG06/2009, MRCWG01/2009, and MRC01/2009A.

5.3.4.2 Survey responses appear to only partially support the position that the two groups do not provide support to this priority, with fewer than 50% indicating ‘No support’ and just over 50% indicating differing levels of support for this priority. The second group recognise indirect support for this priority

<sup>52</sup> *Our Common Future* (1987), Oxford: Oxford University Press.

<sup>53</sup> Also refer to Appendix D.

(**Figure 4**). However, elaboration by one respondent Economy noted that, “Structural reform needs to be accelerated to adequately address the risks of underperformance or failure” [by the groups under this priority]. From a review of the current TOR for each group and in consideration that not all ECOTECH priorities need be equally supported by all group<sup>54</sup>, the contractor does not see any need to enhance this area; although acknowledgment of the indirect links between future working group projects and activities, and this priority might be beneficial to the group.

### 5.3.5 Human Security

5.3.5.1 In the context of the activities and projects undertaken by the FWG and MRCWG, this priority work-stream captures also the elements of food security and hazard management along with the need for sustainable economic prosperity as elements of human security. Through this broad understanding the projects and activities of the FWG and MRCWG are evaluated in terms of the level of effective and efficient support provided to meet the priority work-stream.

5.3.5.2 Guided by a broader interpretation of the meaning of this priority this assessment finds that there were five projects during 2009-2011 that supported the priority (**Table 5**). Future projects by the merged group, which considers fisheries management, food security or natural hazard management etc, would by extension need to be rightly recognised under this ECOTECH priority.

5.3.5.3 Survey responses indicate that the majority (i.e. 12 of 16 responses) support the conclusion that the two working groups have provided either a moderate or high level of support to this priority (**Figure 4**). The results shown at **Table 5** concur with this conclusion. The following statement extracted from one of the survey responses provides some context as to the importance of the work of the working groups in terms of human security: “Sustainable fisheries are essential to the health and well-being for many millions in the region represented by the Economies”. Therefore, without sustainable fisheries, which are at the heart of both working groups’ activities directly or indirectly, human security in the region may be impacted. Further to the above quotation, another survey response indicated that the working group (taken also to mean a future merged group), “...has significant potential to contribute to the emerging food security agenda...”. This reinforces the observations on food security and ocean resource management made earlier in the assessment.

### 5.3.6 Summary & Other Observations

5.3.6.1 In summary of past and current individual working group support for ECOTECH priorities the assessment finds that a fair level of support is provided for priorities three, four, and five even though recognition of project and activity links to the priorities may not always be acknowledged. The assessment has also identified that through the merged working group a more enhanced level of support for priorities one and two should be pursued, particularly in reference to priority two which for all intent seems to correlate closely with the intent of each existing working groups TOR.

5.3.6.2 One of the surveys in their elaboration in reference to priority areas noted that an enhanced level of priority support may be possible through the development of action-oriented work-plans. Accordingly, this suggestion has been included as a working group recommendation in Section 4.4 above. The work plan would necessarily be guided by the new TOR and a strategic framework where recommendation for these specific actions has also been provided in respective sections of this report. This TOR would need to ensure that the essence of the APEC Objectives and Goals and the ECOTECH priorities are captured within it, in order to provide the appropriate guidance for the work-plan and subsequent concrete on-the-ground outcomes. In support of whether each working group or

---

<sup>54</sup> Pers coms, SCE email 14 July 2011.

by extension a merged working group can enhance their strategic direction to better support and align the working group with ECOTECH priorities a resounding majority of respondents indicated Yes it is possible (**Appendix D-Figure D.10**) – therefore indicating a shared desire for such a concrete outcome.

5.3.6.3 On the subject of a potential strengthening of the strategic direction of the current working groups or a merged working group, one responding Economy suggested that the group should consider (paraphrased here) the possibility for the group to take on a more regional advisory and facilitation role to encourage enhanced long-term regional programs of action. This being said – this would imply the need to develop mechanisms for shared programs and activities with other likeminded fora (IGOs etc) with an interest in the Asia-Pacific region. However, such an adjustment to include the functions of ‘regional advisory body’ and ‘facilitation body’ may require a rethink of one of the core functions of the group which is to promote knowledge and capacity enhancement amongst APEC members to achieve the Bogor Goals. Given this core function, the group must examine whether the merged group could reasonably be seen by other regional bodies to be able to fulfil this function. Perhaps the merged group should initially focus on firmly establishing inter-regional collaborative relationships that lead to collaborative actions. Further discussion on the potential collaboration opportunities is provided in Chapter 6.

### **SCE Recommendation 3**

*Guide finalisation of the newly merged working groups’ Terms of Reference (TOR) to ensure that this instrument meets the expectation of APEC. In doing so, also encourage direct reference in the TOR to the 5 Medium-term ECOTECH priorities (thus encouraging enhanced working group activity correlation to ECOTECH priorities).*

### **Working Group Recommendation 10**

*As the merged working group begins to establish itself and future project work and activities carefully review first the need for project correlation to ECOTECH priorities and how these can be related to or inform new projects and activities.*

## **6.0 COLLABORATIVE AREAS OF WORK & EXPOSURE**

### **6.1 Collaboration with other APEC Fora**

6.1.1 Candidate APEC fora with which to develop future collaborative projects or activities would include: the Agricultural Technical Cooperation Working Group (ATCWG), the Emergency Preparedness Working Group (EPWG), the Small and Medium Enterprises Working Group (SMEWG), the Tourism Working Group (TWG), and the Transportation Working Group (TPTWG). The key reason these groups are specifically identified is due to potential cross-cutting areas of interest between these groups and the interests of the future merged group. To highlight cross-cutting potential as an example, an observation by an Economy focal point during discussion at the recent working group meetings in Bali, Indonesia 6-9 June highlighted a past project by another APEC fora perhaps not within the SCE focusing on harmonisation of food safety regulations in fisheries and seafood products conducted in the absence of any involvement by either the MRCWG or FWG.<sup>55</sup> Ideally this project should have been a collaborative effort with FWG and MRCWG to leverage on knowledge and expertise in these groups.

6.1.2 Survey respondents were positive in their opinion on future potential collaborative options for the working groups or in this case a merged working group, with 12 of 16 respondents indicating ‘Yes’ to this question in terms of future collaboration with other APEC fora (**Appendix D - Figure D.11**).

<sup>55</sup> Pers coms, also highlighted by a participant of the 2009 FWG/MRCWG Annual meetings in Vancouver, British Columbia.

6.1.3 Although the respondents were generally positive, one survey response commented on some of the challenges faced in enabling effective and efficient inter-APEC fora collaboration when they noted that:

“...the cost and effort required to create cross-fora synergies and connections is prohibitive, especially in light of [ ] staffing challenges of both the Lead Shepherds and the Secretariat. For example, although it makes perfect sense for MRC/FWG to work with the Tourism WG on whale-watching standards, the effort required to achieve agreement in both WGs, and coordinate participation in a workshop, and then report back to both WGs with recommendations and a strategy for next steps have not proven feasible”.

6.1.4 Another facet related to effective solutions necessary to achieve inter-APEC fora collaboration is that the TOR of both the FWG and MRCWG (**Appendix F and H**) do not specifically identify how the desire to undertake collaborative programs can be done or how these will occur with other APEC working groups apart from with one another, instead placing focus in a broad non-specific sense on consideration of non-APEC collaboration. The detail outlining who, when, why, where and how is not specified. Such detail would guide and enhance the merged working group's future collaborative activities with other APEC fora. The same conclusion applies to collaboration with non-APEC fora.

**Working Group Recommendation 11**

*Additional to the guidance contained in 2011/SOM1/SCE/003 for annual meetings after 2011 to be “held at the same time and the same venue as SOM”<sup>56</sup>, invite Lead Shepherds of other relevant working groups to future annual WG meetings (in addition to workshops) where scheduling permits.*

**Working Group Recommendation 12**

*Within the merged working groups TOR specify in some detail the anticipated relationships with APEC and non-APEC fora and outline how collaborative/cooperative goals will be pursued.*

## **6.2 Collaboration with non-APEC Fora and Working Group Elevation**

6.2.1 As a measure of determining past working group effectiveness, collaboration with agencies outside of APEC with similar mandates rates high as an indicator. From a review of recent FWG and MRCWG projects (2006-2010) and other documentation such as meeting reports on inter-sessional activities and Economy Reports/Statements, the contractor has not been able to identify a strong or consistent pattern of external collaboration by the groups with external agencies – apart from collaboration in the form of attendance by guests at meetings and vice-versa. Another factor possibly limiting the rate in which successful collaboration has occurred is what appears to have been a significant focus on working group projects. This has in large part limited the scope of inter-sessional activity where collaborative opportunities could have been pursued with more emphasis adding significant value to the actions of the groups. Collaboration with external fora/agencies drives to the heart of indicating how effective the working groups have been over their lifetime and point to how much or the frequency of tangible on-the-ground positive results that could exist – thus highlighting the potential importance of the past or to-be-merged groups impact on-the-ground within the wider APEC context, particularly at Ministerial level. If for example, the merged group can pursue and demonstrate wide-reaching impacts through the groups future collaborative achievements, this will significantly bolster not only the profile of the group but provide it with a niche that can be recognised as being more effective by Ministers. Therefore, at this point in the assessment process, the implication is that the two working groups have had limited success in demonstrating effectiveness in this area, which has over recent years been a factor in creating negative perception impacts within the wider APEC context.<sup>57</sup> Through the merged group, this should be improved.

<sup>56</sup> 2011/SOM1/SCE/003, Scheduling Sub-Fora Operations to Enhance Effectiveness, Agenda Item: 5.1.

<sup>57</sup> Lead Shepherds Opening Remarks, 2009/FWG20/022, Agenda Item: 1

6.2.2 Importantly, the level of positive opinion on potential future collaboration with non-APEC entities saw 10 of the 16 respondents indicating this as a valid possibility (**Appendix D - Figure D.11**). Survey respondents also recognised that a key benefit of future collaboration would be the elevation of the new group in the international arena (**Appendix D – Figure D.12**). To support future collaborative Economies suggested the following:

- Extract 1 - APFIC, the RPOA – IUU, CTI, SEAFDEC, Worldfish, FFA, SPC, NACA (amongst others) have complementary agendas working to improve fisheries and the marine environment– APEC should interface with these forums to progress trade opportunities and trade facilitation in the region.
- Extract 2 - There are a few fora and avenue on fisheries such as RFMOs (e.g. IOTC), RFB (SEAFDEC, NACA WorldFish Centre) and other economic trade blocks (e.g. Trans Pacific Partnership).
- Extract 3 - Work under other organisations and agreements such as OECD, UNEP, CITES, etc. may be useful if synergies are well identified. Also, common goals and interest have been clearly defined, but collaborative activities have not been enough, so WG’s and forums must perform common agendas and working programs to work more closely in order to get more effective outcomes.
- Extract 4 – [suggest] IMO relating to ballast water management (covering marine invasive species), UNEP/GPA relating to land-based pollution control. Representatives of these non-APEC fora could be invited to the MRCWG meeting more often for experience sharing.
- Extract 5 - Strong cooperation linkage between APEC foras and with the international organizations of the United Nations system, global environmental conventions and international NGOs, such as: UNEP, FAO, IOC, IMO, CBD, FCCC, IUCN.

6.2.3 Notably, one of the pre-requisites to establishing collaboration with non-APEC fora is the creation of awareness in the international arena of the purposes/activities of the working group, and the reach of the group including how these may be synergetic or beneficial for other organisations. These matters are closely associated with how the working group is profiled internationally, and what ongoing efforts are made to increase the level of association with other organisations. Simply being invited to or inviting speakers from other organisations does not entirely constitute beneficial inter-agency (IGO) collaboration with an ongoing positive effect. The concept of collaboration between the working groups and other organisations needs to move past meeting participation to program and project collaboration where potential synergy and limited resources can be maximised for wider benefit.

6.2.4 To complement efforts of the newly merged group, there appears a need to develop a more comprehensive (but not to the level that would be a burden) form of Economy focal point inclusion and regular participation in working group activities both leading up to working group meetings and during inter-sessional periods when interest can taper off. An increase in participation and inclusion through other forms of activity could include the establishment of a social media solution for the new group. The encouragement of a higher rate of focal point involvement during the inter-sessional period will also provide an opportunity to enhance efforts made in collaborative activity. This possibly may also have an impact upon the level of actual participation in the working group by some Economies – where such participation and interest may have diminished in recent years. Other IGO forum already maintain such networking media and/or publicity links including APEC itself although not specifically for the SCE or working groups, e.g.; FAO, ASEAN, IUCN, and ADB all have FACEBOOK & TWITTER pages, and the EU has a TWITTER page. One core benefit of this option is that the establishment of a TWITTER or FACEBOOK page can serve to elevate the working group.

### **Working Group Recommendation 13**

*Clearly identify the desire for enhanced collaboration by the newly merged working group in its TOR.<sup>58</sup>*

### **Working Group Recommendation 14**

*Seek to implement shared projects and activities on a regular basis with suitable organisations. In doing so, create a shortlist of the most viable collaboration potential entities and during inter-sessional periods seek to establish shared project work or activities.<sup>59</sup>*

<sup>58</sup> Note: Existing FWG and MRCWG TOR do not contain clear direction in how the groups could achieve effective non-APEC or inter-APEC collaboration.

<sup>59</sup> E.g., FAO, UNFCCC, RFMOs, CBD, CITES, Trade Organisations, OECD, UNEP, IOTC etc.

**Working Group Recommendation 15**

*In the medium-term to long-term, adopt and maintain networking fora through IT solutions such as FACEBOOK or TWITTER. Administration of an account to be managed by a 'friends of the LS group'.*

**Working Group Recommendation 16**

*Place a higher level of importance on achieving successful collaborative activities and report on the types and impacts of these at annual meetings and at SOM.*

## 7.0 CHALLENGES AND BENEFITS IN MERGING THE FWG AND MRCWG

7.0.1 Many of the perceived benefits and disadvantages of merging the FWG and MRCWG have been highlighted in past independent assessments and in other arena. Indeed many of the perceived disadvantages were previously used to argue against merging the two working groups. Nevertheless, a decision by the two groups at the recent Bali meeting has been made to merge where these matters would have been carefully measured by all involved in the context of the possible benefits and challenges highlighted in **Appendix D – Figure D.15 & D.16**. Overall, survey respondents did perceive at a moderate level, a number of disadvantages or risks in merging the two groups; however, the level of perceived benefits attainable through merging the groups was more strongly recognised by survey respondents. Perhaps the most notable possible risk of merging will be the need to find a balance between the conservation and resource utilisation binary.

7.0.2 Possibly as an effort to counter concerns about the potential for an unbalanced focus within the newly merged group and to address concerns about a lack of activity in specific thematic areas, a number of working group structure options were proposed by focal points at the June 2011 annual meeting in Bali. Whilst there could be merit in suggesting a structure here, it is more appropriate to cite some likely benefits or challenges of structural options. If the merged group was to adopt a structure comprising sub-groups, the key advantage would be an ability to possibly maintain a balance in project and activity outcomes between resource use and conservation. However, the key disadvantage (apart from an additional administrative coordination burden) would most likely be that such a structure could compromise the intention to create a collaborative integrated more effective working group. There could also be the possibility of unintentionally introducing an atmosphere of competitiveness where the original aim of cooperation and integration are cancelled out. These risks seem to have been recognised by focal points at the Bali 2011 meeting, and thus although not confirmed it appeared that the preference of participants was for a single-level group structure, with a view to consider either incorporating the sub-group option at a later time or to take the alternative path of forming friends of the chair sub-groups as required.

**Working Group Recommendation 17**

*To provide a platform for enhanced integration and cooperation, proceed with the working group merge and adopt a standard single tier structure.*

**SCE Recommendation 4**

*In light of the decision to merge the FWG and MRCWG made by represented Economies at the 10<sup>th</sup> Joint FWG/MRCWG Meeting Sessions held in Bali, Indonesia between 6-9 June 2011, endorse the merge and support the formalisation of this decision whilst continuing to provide annual guidance on APEC priorities.*

7.0.3 Upon merging the new group would benefit from a centralising set of guiding principles/goals in addition to the requirements to support the APEC goals/objectives and SCE ECOTECH priorities. This is seen as necessary for the new group to successfully address marine resource (including fisheries) and environmental management in all of its thematic diversity. The Paracas Declaration endorsed by Ministers provides an effective reference point for which to guide a TOR and Strategic Framework (the second also including consideration of the inter-connectivity between the working group and other



fora). Equally the ECOTECH priorities should be seen as anchor points which the working group should remain supportive of. The merged group would recognise that EBM is already a central aim contained in both the existing FWG and MRCWG TOR. Placing less emphasis on the aim to move progressively towards EBM in the new TOR would not seem in the best interest of the merged group.

**Working Group Recommendation 18**

*Adopt within the new groups TOR and Strategic Framework the four thematic areas of the Paracas Declaration, whilst ensuring that each instrument continues to account for the need to achieve Ecosystem-based Management (EBM).*

7.0.4 An issue raised by focal points of both groups was the issue of ensuring continuity and support in working group leadership and project/activity development and administration. To counter this and the potential administrative burdens possibly leading to under-performance, a proposition was made during the Bali 2011 meetings to have a deputy position, which would also serve to share the administrative burden. Such an outcome would be in line with the guidelines for LS.

**SCE Recommendation 5**

*Seek agreement with the newly merged working group on the level of any additional administrative support that the SCE can reasonably provide and document such agreement if deemed necessary.*

**Working Group Recommendation 19**

*In the TOR formalise the position of a LS and a Deputy Lead Shepherd (DLS) and describe respective roles and functions.*

7.0.5 Based upon survey results and the sentiment voiced at the working group meetings in Bali June 2011, it is evident that a majority of respondents did support the merge. In support of this outcome, most survey respondents indicated that their Economies would likely send two or more representatives to a merged group - dependent upon each meetings agenda. No respondent indicated discontinuing participation. The general perception about the overall outcome of a merged group was that most (11 out of 16) perceived a likely enhanced level of coordination and cooperation would be achieved (**Appendix D – Figure D. 18 and D.19**).

7.0.6 One other benefit is that upon merging, this should result in a more evident level of impact in Economies in the future. This conclusion is arrived at based upon the contractors inability to confirm or otherwise exactly which and at what level, and how many past working group projects have led to wide-spread impact within Economies, i.e. whether the projects have influenced greatly the policy framework in Economies. The assessment does recognise that this goal can be easier to achieve under binding international instruments; although in the context of APEC, implementation at the Economy level can be encouraged and often has been by the FWG and MRCWG. Once merged and in operation such information about Economy impacts should be more readily identifiable if *Working Group Recommendation 2* is adopted.

## **APPENDIX A**

**APEC SCE INDEPENDENT ASSESSMENT  
ECONOMY SURVEY QUESTIONNAIRE  
FOR  
FWG AND MRCWG**

---

## INDEPENDENT ASSESSMENT OF THE FISHERIES WORKING GROUP (FWG) AND MARINE RESOURCE CONSERVATION WORKING GROUP (MRCWG)

PROJECT NO: SCE 02/2010

Contractors Client: SOM Steering Committee on ECOTECH

Contractor: Sharif James Zainal Aziz, G&P Maritime Sdn Bhd, Kuala Lumpur, Malaysia

IDENTIFICATION AND POSITION OF ECONOMY CONTACT [Please mark (✓ or x) where appropriate]

**NAME OF MEMBER ECONOMY:**

**NAME OF WORKING GROUP:** FWG  MRCWG  (Please select one)

### Respondent's personal data

First Name:

Last Name:

Gender: Female ( ) Male ( )

Organisation:

Position:

### Contact Details

E-mail:

Telephone number(s):

Fax number:

Address:

Organisation Website:

**Advice:** If you would like confirmation regarding this project, please contact the APEC Project Overseer: Mr. Michael Vonk – Program Director, APEC Secretariat at e-mail: [mv@apec.org](mailto:mv@apec.org) ; Telephone: +65 6891 9648

**PLEASE RETURN YOUR COMPLETED SURVEY BEFORE 29 APRIL, 2011**

**Note:** This deadline for the return of surveys is necessary in order to report interim findings to the APEC SCE in a timely fashion in line with the project schedule. However, if this deadline is not achievable, we encourage Economies to still return completed surveys after this date so that responses can be incorporated into the final report analysis. However, every encouragement is made to achieve the primary deadline of 29 April 2011.

Thank you for your time and cooperation in responding to this survey. To return your survey questionnaire, please select one of the three options below:

- ✧ via E-mail to: [sharifjames@gnggroup.com.my](mailto:sharifjames@gnggroup.com.my);
- ✧ via fax to: +60 3 9057 1669 (Attention: APEC Independent Assessment Contractor – SCE 02/2010); or
- ✧ via mail to: Sharif James Zainal Aziz, APEC Independent Assessment Contractor (SCE 02/2010), c/o G&P Maritime Sdn Bhd, WISMA G&P, 39-1 Jalan 3/146, Bandar Tasik Selatan, 57000 Kuala Lumpur, MALAYSIA.

Confirmation of returned surveys will be provided upon return of completed surveys. Kindly forward any enquiries related to this survey to Mr. Sharif James Zainal Aziz, APEC FWG/MRCWG Independent Assessment Project Contractor at [sharifjames@gnggroup.com.my](mailto:sharifjames@gnggroup.com.my).

## PURPOSE OF THE SURVEY QUESTIONNAIRE

This survey supports the project SCE 02/2010 by seeking opinion-based and evidentiary data from APEC Economy representatives of the Fisheries Working Group (FWG) and Marine Resource Conservation Working Group (MRCWG). The objectives of the assessment include: the review of working groups' meetings, projects and activities to assess how the outcomes support the main objectives/goals of APEC; to assess on-the-ground impacts of the working groups' activities; to evaluate whether the working groups are operating efficiently and effectively, and whether the groups' Terms of Reference and operation should be adjusted to better respond to APEC ECOTECH priorities to contribute to the achievements of APEC; whether the two groups should merge, and if so, how and what factors should be considered; identifying ways to strengthen each group or a would-be-merged groups future strategic directions; provision of recommendations that may assist in focusing more effectively and efficiently working groups' activities; to identify how synergies can be enhanced within and between the groups and other relevant fora; identify opportunities for greater collaboration with non-APEC entities; and to explore how the APEC gender commitment can be further advanced. The project will provide analysis of working group performance against both the old and newly devised or re-arranged SCE priorities (elaborated further below).

The survey results **WILL NOT BE USED FOR A COMPARATIVE ASSESSMENT OF ECONOMIES**. Instead, the survey responses will support an aggregated assessment building upon past findings reported in the two earlier independent assessments of the two working groups; although noting that in some aspects these assessments are now becoming dated given the changing context of these two working groups' operational and guiding environments under the SCE strategic and management framework.

This survey also seeks to solicit objective opinion from Economies of the perceived *benefits* or *disadvantages* of merging the two working groups into one, and whether this is a desirable outcome in each Economies opinion required to promote enhanced operation for achieving the broad APEC goals, objectives and aims.

## INSTRUCTIONS

**Please note that the survey questions are of four types: Closed questions in which we ask you to select an option (v or x), Multiple-option questions, Ranking or Scale questions, and Open-ended questions for further elaboration (e.g. PLEASE ELABORATE).** Where an answer to a question cannot be provided, please also provide a reason for this to assist in the analysis of responses, even if the response is to indicate a potential ambiguous question. There are **22 questions** in this survey, many of which are 'tick box' format. The survey questions are divided into **4** parts: each question is included under each broad category for the purpose of efficient data collation, management and analysis.

### BACKGROUND TO "SCE Medium-term ECOTECH Priorities"

Over recent years the SCE ECOTECH priorities have gone through a rationalisation, transitional and/or streamlining process in line with APEC's evolving priorities under directives of the APEC Ministers'. No matter how the priorities have been grouped, communicated or defined, the essence of priorities, have always sought to be driven by the:

- *'Bogor Goals', i.e. to advance free and open trade and investment;*
- *'Manila Declaration', i.e. the goal of sustainable growth and equitable development, reduced economic disparities, improved economic and social well-being, and a deepened spirit of community;*
- *'REI', i.e. the APEC Framework for Strengthening Regional Economic Integration – the Second Trade Facilitation Action Plan (TFAP II) – and the Investment Facilitation Action Plan (IFAP); and*
- *Structural reform as communicated through the 'Leader's Agenda on Implementing Structural Reform (LAISR).*

The original 10 ECOTECH priorities<sup>60</sup> were endorsed by Ministers in 2006 when the Ministers re-affirmed their commitment to the Manila Declaration. In 2010 the SCE observed in the *"Senior Officials' Report on Economic and Technical Cooperation, 2010"*, that the priorities have been rationalised to now focus on five medium-term priorities (otherwise termed priority work-streams) contained in the new Framework to Guide ECOTECH Activities, i.e.:

1. *Regional Economic Integration;*
2. *Addressing the Social Dimensions of Globalisation (Inclusive Growth);*
3. *Safeguarding the Quality of Life through Sustainable Growth;*
4. *Structural Reform; and*
5. *Human Security.*

As a result, the reporting of SCE activities achieved by respective SCE fora (e.g. working groups) in the 2010 SCE Report<sup>61</sup> focused on those activities and projects directly couched within the re-arranged 5 medium-term priority work-streams. This assessment will aim to quantify how the FWG and MRCWG have (through their activities and work programs) supported the past 10 priorities, whilst making an effort to describe how the groups have been working toward meeting the requirements of the newly re-arranged 5 medium-term priorities

<sup>60</sup> Senior Officials' Report on Economic and Technical Cooperation, 2009, APEC#209-ES-01.5.

<sup>61</sup> Senior Officials' Report on Economic and Technical Cooperation, 2010, APEC#210-ES-01.4.

ABBREVIATIONS USED IN SURVEY

APEC	Asia-Pacific Economic Cooperation
EAF	Ecosystem Approach to Fisheries
EBM	Ecosystem-based Management
ECOTECH	Economic and Technical Cooperation
FWG	Fisheries Working Group
IGO	Inter-governmental Organization
MRCWG	Marine Resource Conservation Working Group
NGO	Non-governmental Organization
SCE	SOM Steering Committee on ECOTECH
SOM	Senior Officials Meeting

**Working Group Performance and Focus**

---

**1a:** Between the years 2005 to 2008 how well has your working group met the requirements of:\*(Circle, underline or bold one for a-c)

- i) the Strategic goals/objectives of APEC?      *Excellent – Good – Satisfactory – Poor – Not at all*
- ii) the 10 ECOTECH priorities adopted in 2006? *Excellent – Good – Satisfactory – Poor – Not at all*
- iii) the objectives of your Economy?            *Excellent – Good – Satisfactory – Poor – Not at all*

\*(for sub-question ii the range is between the years 2006 and 2008/9)

Please provide elaboration: \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

**1b:** Between the years 2009 to 2010 how well has the working group met the requirements of:  
 (Circle, underline or bold one for a-c)

- i) the Strategic goals/objectives of APEC?      *Excellent – Good – Satisfactory – Poor – Not at all*
- ii) the 5 Medium-term ECOTECH priorities?    *Excellent – Good – Satisfactory – Poor – Not at all*
- iii) the objectives of your Economy?            *Excellent – Good – Satisfactory – Poor – Not at all*

Please provide elaboration: \_\_\_\_\_  
 \_\_\_\_\_

**2:** In terms of capacity building and knowledge sharing potential etc (i.e. a measure of effectiveness) have the activities and work programs of your working group had a positive on-the-ground effect within your Economy?  
 (Tick one option)

Yes		No		Unsure	
-----	--	----	--	--------	--

If *Yes*, please elaborate with examples: \_\_\_\_\_  
 \_\_\_\_\_

If *No*, please indicate why: \_\_\_\_\_  
 \_\_\_\_\_

If *Unsure*, please indicate why: \_\_\_\_\_  
 \_\_\_\_\_

**3a:** Please list below any positive aspects such as knowledge sharing or capacity building etc that are achieved through the activities of your working group.

Please list as many as you deem relevant along with examples: \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

**3b:** Can any of the aspects identified in Question 3a be enhanced? *(Tick one option)*

Yes		No		Unsure	
-----	--	----	--	--------	--

If yes, please specify how: \_\_\_\_\_

\_\_\_\_\_

**4:** Does your Economy have any suggestions in how your working group can operate more: *(Please select one option for each category)*

Category								
i) Effectively?	Yes		No		Unsure		Not required	
ii) Efficiently?	Yes		No		Unsure		Not required	

Please provide some explanation to each response option: \_\_\_\_\_

\_\_\_\_\_

**5:** Given the range and level of collaborative activities between the FWG and MRCWG and other APEC and non-APEC forums/platforms, are there:

	Yes	No
i) Alternative avenues for further inter-APEC fora collaboration?		
ii) Alternative avenues or opportunities for further collaboration with non-APEC fora?		
iii) None of the above, irrelevant.		

Please provide examples with explanation as necessary: \_\_\_\_\_

\_\_\_\_\_

**6:** From the range of project activities with various objectives related to fisheries and marine resource sustainable management and/or conservation, how many projects, workshops, or activities have specifically focused on the issue of gender equality and participation between the years 2000 and 2010?

- i) Total number of gender-related projects, activities or workshops by your working group
- ii) Total number of gender-related projects, activities or workshops through joint group efforts

Please elaborate, particularly if providing more than one example: \_\_\_\_\_

\_\_\_\_\_

**Working Group Participation Outcomes**

**7:** In terms of professional development, does your economy receive tangible benefits from participation in working group fora such as, meetings, research projects, workshops and seminars etc? *(Tick one option)*

Yes		No		Unsure	
-----	--	----	--	--------	--

Please specify: \_\_\_\_\_

**8:** To what level do your working groups' activities support the 5 medium-term ECOTECH priorities? *(Please note, some of the links between working group activities/projects and the 5 priorities may be more evident or direct than others). (Please mark relevant box with an X)*

Priority								
1. Regional Economic Integration	<i>Not at all</i>		<i>Slightly</i>		<i>Moderately</i>		<i>Very Well</i>	
2. Addressing the Social Dimensions of Globalisation (Inclusive Growth)	<i>Not at all</i>		<i>Slightly</i>		<i>Moderately</i>		<i>Very Well</i>	
3. Safeguarding the Quality of Life through Sustainable Growth	<i>Not at all</i>		<i>Slightly</i>		<i>Moderately</i>		<i>Very Well</i>	
4. Structural Reform	<i>Not at all</i>		<i>Slightly</i>		<i>Moderately</i>		<i>Very Well</i>	
5. Human Security	<i>Not at all</i>		<i>Slightly</i>		<i>Moderately</i>		<i>Very Well</i>	

Please provide more detail if needed: \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

**9:** Are there any ways in which the *strategic direction* of your working group can be enhanced to better respond to the 5 medium-term ECOTECH priorities of the APEC SCE? *(Tick one option)*

Yes		No		Unsure	
-----	--	----	--	--------	--

Please specify: \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

**10:** In terms of research output achieved by each working group (i.e. FWG and MRCWG), does your Economy:

	Yes	No
i) Seek to implement new technologies, processes, management approaches or tools developed through your working group's research outputs?		
ii) Seek to implement new technologies, processes or tools developed through the other working group's research outputs?		
iii) Seek to implement new technologies, processes or tools developed through collaborative research outputs of both the FWG and MRCWG?		
iv) None of the above, irrelevant		

Please provide more detail if needed: \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

**11:** The project activities, objectives, goals and purposes of the FWG and MRCWG have over recent years become increasingly aligned – particularly in terms of cross-cutting matters. This has logically resulted in back-to-back and joint meetings, and shared project outputs and activities. In your Economy's opinion, have these shared processes achieved the desire outcomes through:

	Yes	No	Unsure
i) Back-to-back meetings?			
ii) Joint meetings?			
iii) Joint workshops, seminars, training sessions?			
iv) Joint projects?			



Please elaborate if needed: \_\_\_\_\_  
 \_\_\_\_\_

**12:** Please indicate (if known) the number of representatives from your Economy that participated in your working groups Annual Meeting for each year below. *(Please record number of individuals by gender for each year)*

	Male	Female	Total
2005			
2006			
2007			
2008			
2009			
2010			

**Economy Contributions to Working Groups**

---

**13:** For each of the working groups, various Economies often take turns to sponsor or financially support various events, such as meetings, workshops, seminars and training sessions. Given this collaborative regime encouraged within APEC, please list down how and when your Economy has sponsored or contributed to activities specifically related to your working group: *(Please insert X where appropriate below. If there is more than one example of an activity area then insert corresponding number of X required)*

	Sponsored	Contributed Finances	Unsure	Year/s
i) Working group meetings				
ii) Joint working group meetings				
iii) Workshops or seminars				
iv) Training forums				
v) Projects only under your working group				
vi) Joint working group projects				

Please elaborate if required: \_\_\_\_\_  
 \_\_\_\_\_

**14:** Please indicate the average combined number of days per year (by all representatives of your Economy in each year) spent working on or being involved in working group activities, and (if known) the total financial contributions to your working group by your Economy for each year below.

Year	Total (estimated)	Days	Quantum of Financial Contribution (or estimate of financial contribution)
2010			
2009			
2008			
2007			
2006			
2005			

**15:** Please describe any other form of contribution provided by your Economy to your working group.

---



---



---

**16:** To what level of effectiveness and efficiency does your working group utilise your Economy's contributions. (Please select one option for each category)

i) Effectiveness						
<i>Not effective at all</i>		<i>Slightly effective</i>		<i>Moderately effective</i>		<i>Very effective</i>
ii) Efficiency						
<i>Not efficient at all</i>		<i>Slightly efficient</i>		<i>Moderately efficient</i>		<i>Very efficient</i>

**17:** Please indicate in which years your Economy has: (Please insert **X** into appropriate year column. Where more than one example of each has been achieved in a single year insert multiple **XX** as needed)

	2005	2006	2007	2008	2009	2010
i) Assisted in developing a project proposal for your working group?						
ii) Conducted any self-funded project for the working group?						
iii) Participated in shared-funding of a project or activity?						
iv) Reviewed the performance of any working group project?						
v) Shared the results or outcomes of a project in an APEC forum, e.g. meeting/workshop?						
vi) Shared the results or outcomes of a project with non-APEC fora?						

Please provide some explanation to each response option: \_\_\_\_\_

---

**18:** Given that, there are many IGO and NGO platforms, can your Economy suggest any ways in which the profile of your working group and its activities can be elevated? (*Tick or highlight one option*)

Yes		No		Unsure	
-----	--	----	--	--------	--

If yes, please elaborate: \_\_\_\_\_

**Potential Merger Considerations**

**19:** If the two working groups are merged in the future, please identify as appropriate the likely perceived benefits of such a structural adjustment below. (*Please select with an X as many as necessary*)

i)	Improved use of limited economic and human resources.	
ii)	Enhanced ability to respond to SCE ECOTECH Priorities more responsively.	
iii)	Complete integration of project activities which result in enhanced positive outcomes – not achievable under the two working group arrangement.	
iv)	Enhanced ability to respond to cross-cutting matters, e.g. climate change, EBM/EAF, marine debris etc.	
v)	More coordinated development of Economy capacity enhancement in a unified direction.	
vi)	Enhancing the nature and level of private sector and other non-APEC parties (e.g. NGOs, IGO, Academia etc) involvement and participation in working group activities.	
vii)	Potential for enhanced take-up of the Lead Shepherds Office by an Economy upon expire of the term of the post by another Economy – ensuring smoother transition and thus administration of working group activities, projects and outcomes.	
viii)	Other, please specify _____.	
ix)	No perceived benefits.	

Please provide further discussion if needed: \_\_\_\_\_

**20:** If the two groups are merged, please indicate (by selecting with an X) whether your Economy believes any of the following perceived disadvantages are likely to result.

i)	Inability of Economies to adequately provide balanced representation to a single merged group possibly as a result of fisheries, maritime and marine-related sectors (including conservation) being the responsibility of two or more government agencies in some Economies.	
ii)	Limited balance between conservation/sustainability outcomes/objectives and marine resource utilisation objectives (i.e. potential for group to favour one or the other in order to meet the over-arching Bogor Goals).	
iii)	Results in challenges and obstacles hindering the effective regular involvement by some Economies in the new combined working group – due to the common sectoral division of each area in many Economies administrative set-up; e.g. separate fisheries and marine conservation government entities.	
iv)	May lead to unsustainable trade-off decisions between resource use and conservation objectives.	
v)	May lead to a situation where very complex subject matter is no longer given adequate attention, research and focus, e.g. EBM, ICZM, and/or Trans-boundary matters such as migratory species or marine debris. Thus reducing positive outcomes such as policy instrument development.	
vi)	Results in a reduction in the range of diverse and unique project and research activities produced by APEC relevant to the marine sector.	
vii)	May lead to possible unsuitable or unbalanced representation by some Economies in the new working group if such Economies favour resource use over sustainable management or vice versa.	
viii)	May lead to a situation where non-like minded working group representatives are unable through no fault of their own to arrive at consensus when consensus is necessary within the working group.	
ix)	Other, please specify _____.	
x)	No perceived disadvantages.	

Please provide further discussion as deemed necessary: \_\_\_\_\_  
 \_\_\_\_\_

**21:** If the FWG and MRCWG are merged, would your Economy likely:

i)	Send one representative to future working group meetings?	
ii)	Send two or more representatives from different government agencies to future working group meetings?	
iii)	Discontinue attendance and participation in the future working group meetings?	
iv)	Other, please specify _____.	

Please provide further discussion if needed: \_\_\_\_\_  
 \_\_\_\_\_

**22:** Regional cooperation and coordination of activities and projects relevant to fisheries and marine resource management/conservation are important outputs of a working groups' purpose in the context of supporting APEC goals/objectives. If the FWG and MRCWG are merged, is this likely to result in:

		Yes	No	Unsure
i)	An enhanced level of <i>coordination</i> and <i>cooperation</i> directed to achieve sustainable management of fisheries and marine resources including ecosystems?			
ii)	A reduced level of <i>coordination</i> and <i>cooperation</i> directed to achieve sustainable management of fisheries and marine resources including ecosystems?			
iii)	No change in the level of <i>coordination</i> and <i>cooperation</i> directed to achieve sustainable management of fisheries and marine resources including ecosystems?			
iv)	An uncertain outcome in the level of <i>coordination</i> and <i>cooperation</i> directed to achieve sustainable management of fisheries and marine resources including ecosystems?			
v)	Other outcomes please specify _____.			

**FURTHER INFORMATION**

*Please share your observations or any thoughts on other matters relevant to the present independent assessment of the two working groups that you feel has not been captured adequately within this questionnaire. Thank you for your additional remarks.*

**GENERAL COMMENTS AND SUGGESTIONS**

THIS SURVEY WAS COMPLETED ON: Day ..... Month ..... Year 2011

Thank you for completing the survey.

Please return to:  
Mr. Sharif James Zainal Aziz  
Project Contractor  
[sharifjames@gnpgroup.com.my](mailto:sharifjames@gnpgroup.com.my)

---

**APPENDIX B**

**ECONOMY SURVEY QUESTIONNAIRE**

**DISTRIBUTION E-MAIL**

**TO**

**FWG AND MRCWG**

**ECONOMY FOCAL POINTS**

---

Dear [ ] Colleagues:

On behalf of Mr Sharif James Zainal Aziz who has been contracted to conduct the Independent Assessment of the Fisheries Working Group (FWG) and Marine Resources Conservation Working Group (MRCWG) I am forwarding a survey questionnaire for your response. The survey forms a vital part of the work of the this independent assessment which has been requested by the SOM Steering Committee on Economic and Technical Cooperation (SCE) in order to provide insight and recommendations on how to improve effectiveness of the work done at APEC.

The survey is divided into four sections: "Working Group Performance and Focus", "Working Group Participation Outcomes", "Economy Contribution to Working Groups", and Potential Merger Considerations". The First three pages are for collection of demographic and contact data, and for the provision of information on the purpose of the survey in the independent assessment process. For coherence, we ask that Economies coordinate responses so that there is only one official response related to the MRCWG per economy. We would be grateful for your cooperation in nominating a Designated Point of Contact (DPOC) from within the MRCWG officials of your economy so that the contractor can contact them during the follow-up process.

#### ***Background on the Independent Assessment***

In their 2006 Statement, Ministers endorsed the recommendations of the SCE for a review of APEC Fora, recognizing that these assessments will ensure more focused economic and technical cooperation and bring a more strategic perspective to APEC's capacity building and technical assistance. Ministers instructed SCE to continue efforts to improve the operations and work of working groups, task forces and networks to ensure ECOTECH activities are targeted, effective and efficient to make the best use of scarce resources.

The first independent assessment conducted was in 2003-04 when SCE (then called ESC) assisted the FWG to conduct that independent assessment of its implementation of ECOTECH activities. In November 2004, Ministers welcomed this exercise and encouraged the other working groups to undertake a similar review to ensure that they are responsive to APEC's current work priorities and to the contribution of the achievement of the Bogor goals. In 2007 Ministers instructed SCE to conduct further fora review and streamlining in recognition of the importance of the ongoing program of independent assessments. As a result, the SCE endorsed a schedule of SCE fora independent assessments.

This present independent assessment will address a wide range of issues within the MRCWG and FWG. The recommendations of the assessment are expected to be presented in the SCE meeting in the United States of America in 2011. One of the key areas of exploration in this current combined independent assessment is to consider the merits or otherwise of a potential merger between the FWG and MRCWG. As a result of this matter, the last section of the survey focuses on this subject.

#### ***Objective of the survey***

Please be assured that the review will *not* be a comparative assessment detailing the performance of individual Economies. The survey assessment seeks to document each Economies working groups' perspectives in terms of overall working group performance and delivery of outcomes in an objective manner. Thus, the data obtained from the survey will be presented as part of the independent assessment of the two working groups in an aggregated form.

#### ***Survey response deadline***

The contractor would be grateful if you would kindly return the completed survey by **Friday, 29 April 2011**. The deadline for the return of surveys is necessary in order to maintain project timelines, and to enable interim findings of the assessment to be given at the second SCE Meeting. However, if this deadline is not achievable, you are still encouraged to return the completed survey after this date so that responses from your economy can be incorporated into the final assessment report.

If you would like clarification regarding this project or further advice on the nature and purpose of the assessment, please contact the APEC Project Overseer: Mr. Michael Vonk – Program Director, APEC Secretariat at [mv@apcc.org](mailto:mv@apcc.org).

In anticipation of successfully completed and returned questionnaires by all working group member Economies, thank you for taking the time to fill in this important questionnaire. If you have any queries, regarding interpretation of the survey questions please do contact the contractor for clarification at the email address below, and he will endeavor to assist in any way possible.

I would be grateful if, upon receiving this email and the attached questionnaire, that a reply response confirming successful delivery might be sent to the me at [tw@apcc.org](mailto:tw@apcc.org) and the contractor at [sharifjames@gnggroup.com.my](mailto:sharifjames@gnggroup.com.my). - Thank you. Following on from this the project contractor will continue to liaise with the DPOC for each working group in each Economy.

---

## **APPENDIX C**

**ECONOMY SURVEY QUESTIONNAIRE**

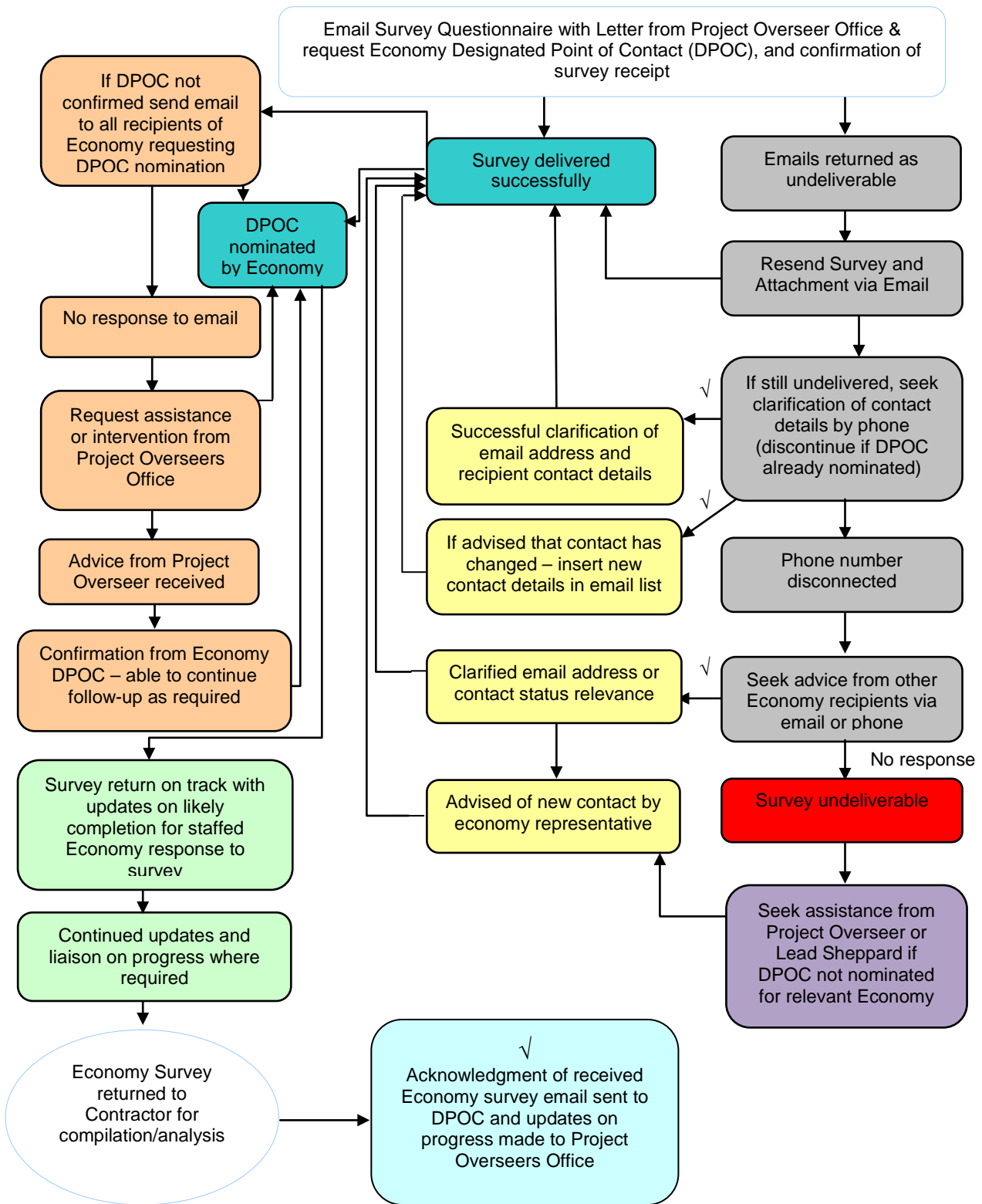
**FOLLOW UP**

**LIAISON STRATEGY**

---



## Economy Survey Distribution and Liaison Processes

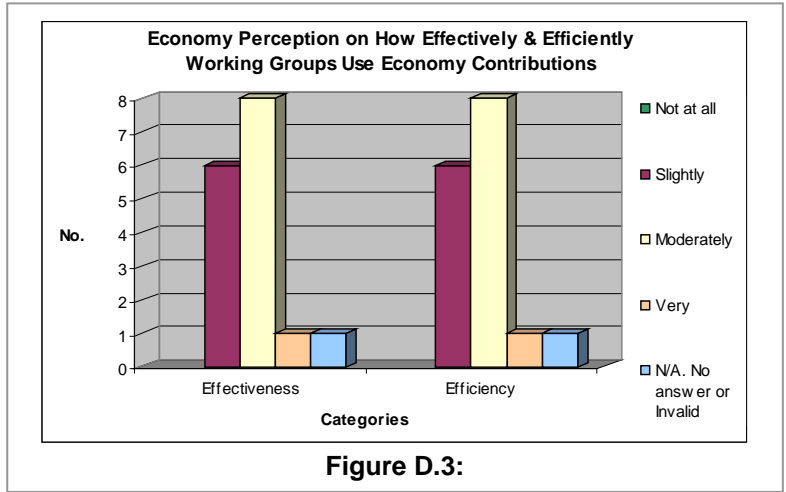
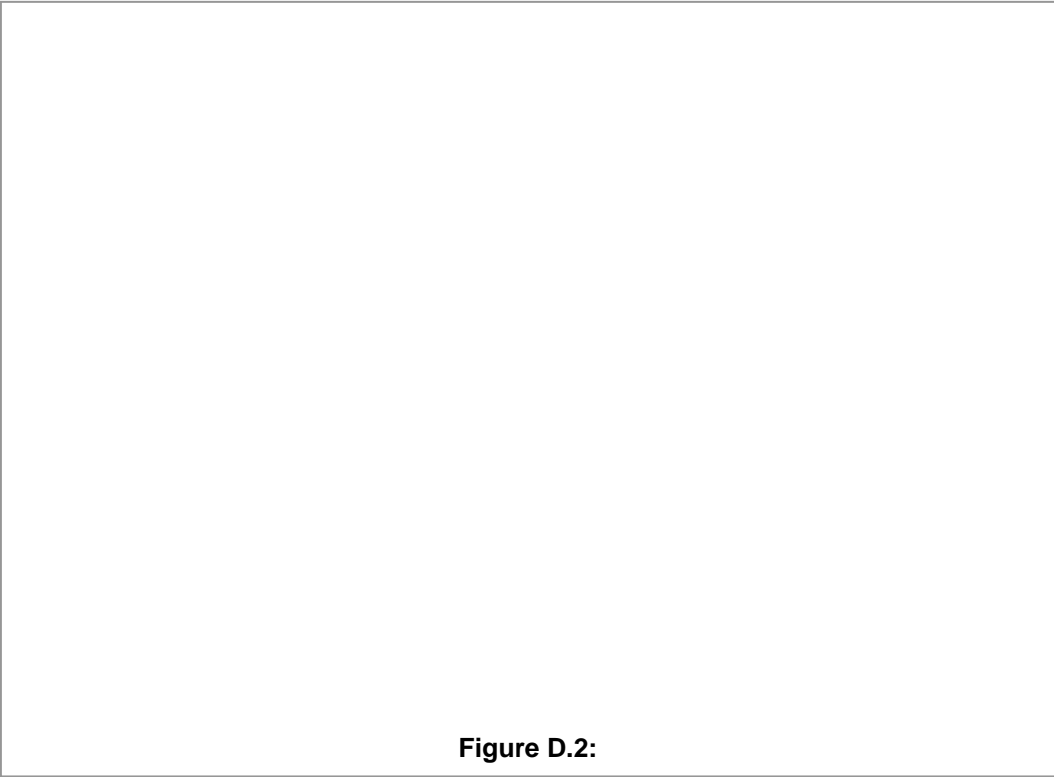
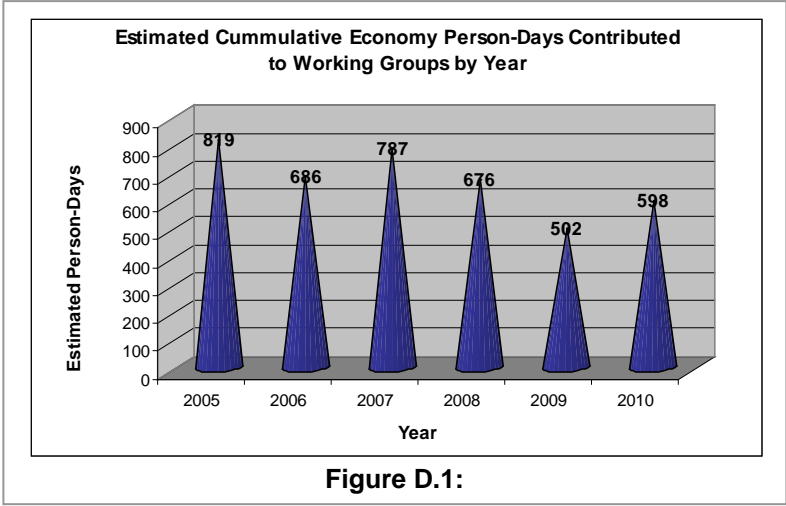


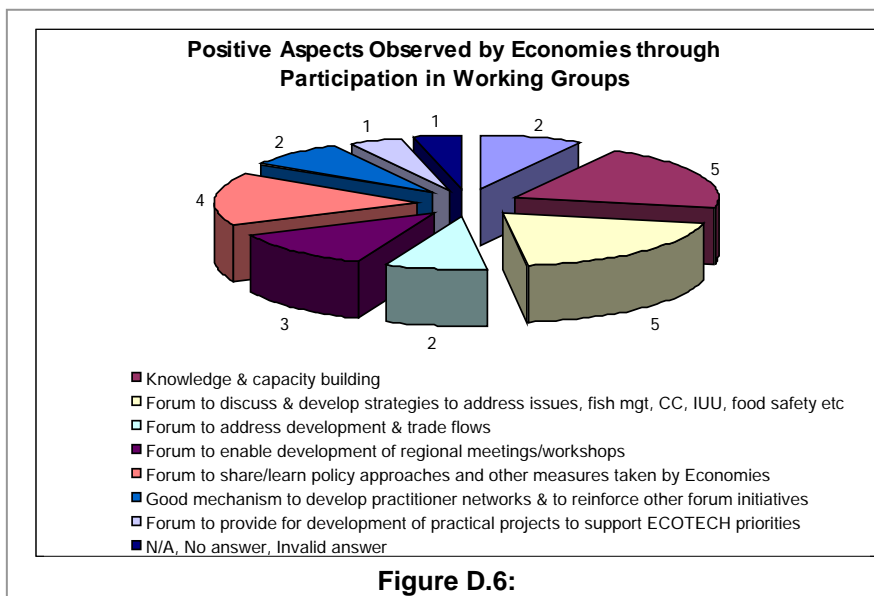
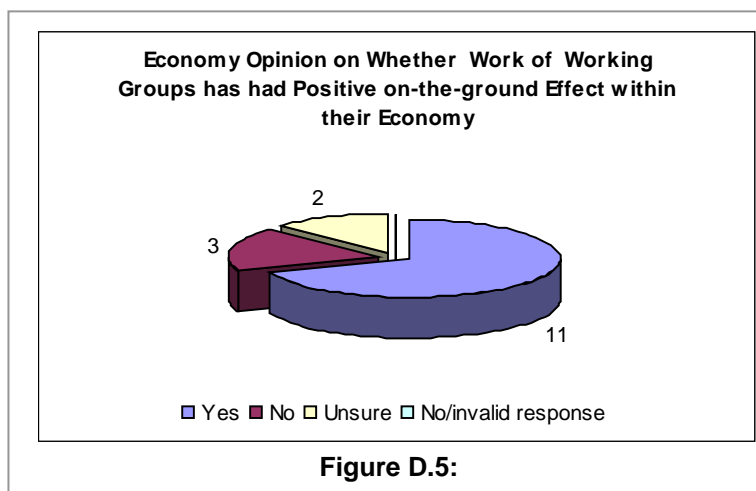
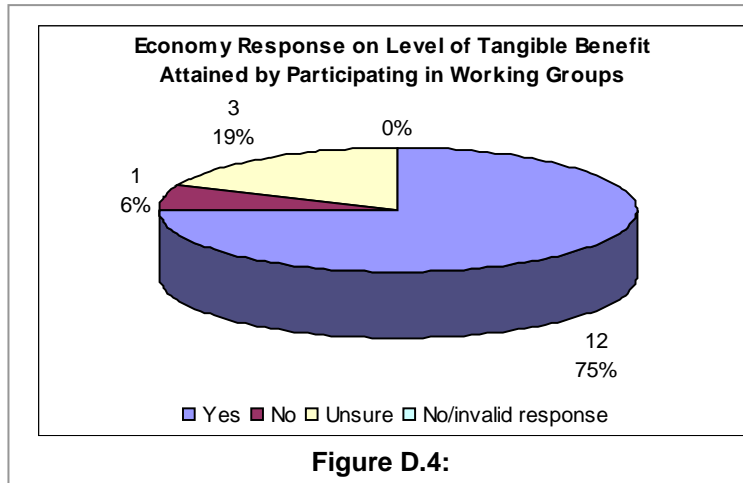
---

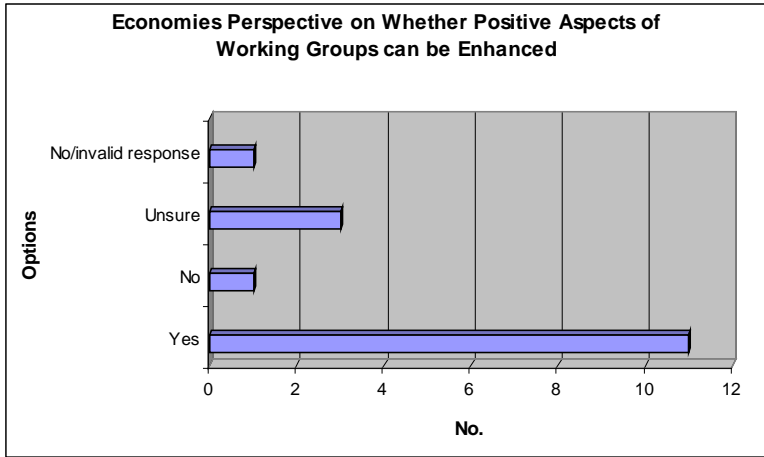
## **APPENDIX D**

### **ECONOMY SURVEY QUESTIONNAIRE AGGREGATED RESPONSES REFERRED TO IN MAIN REPORT**

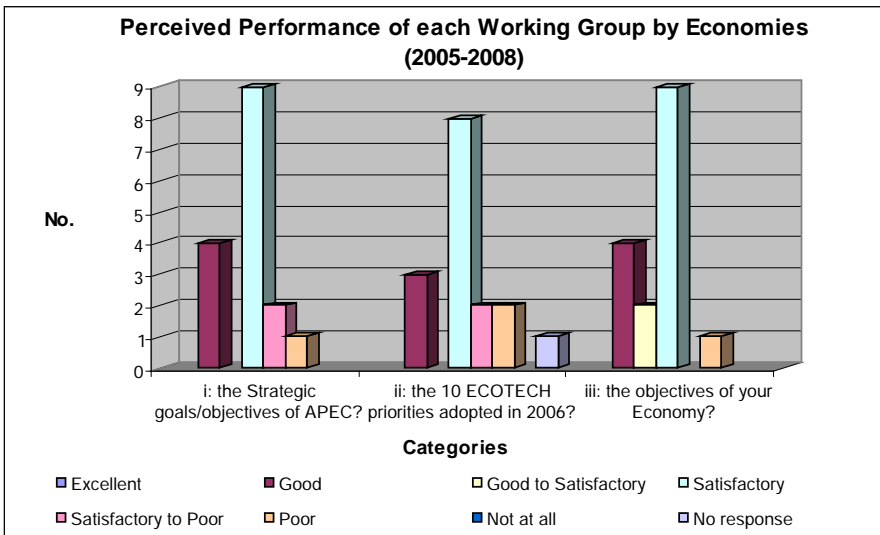
---



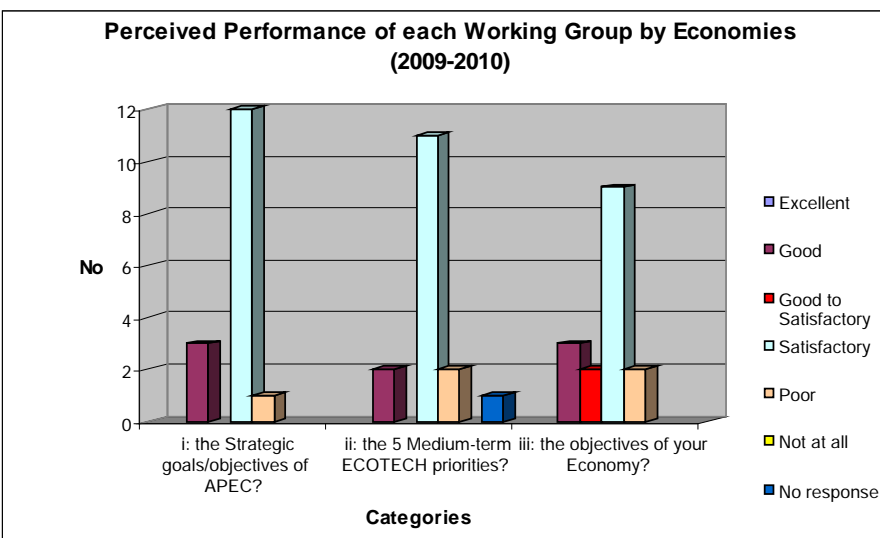




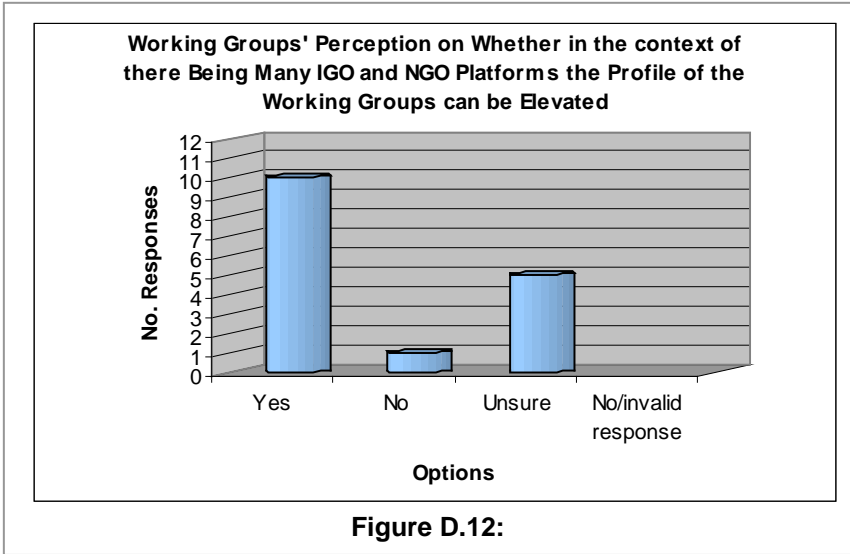
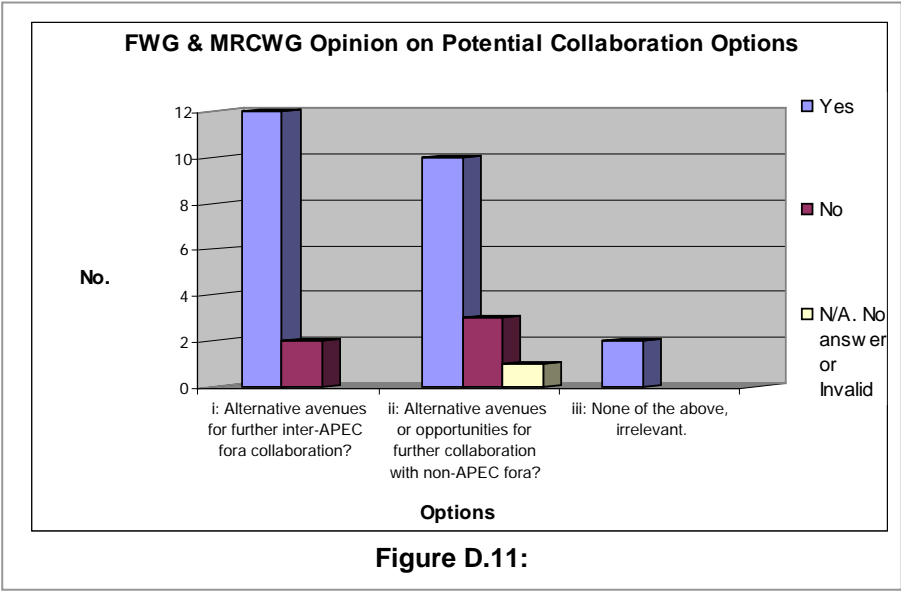
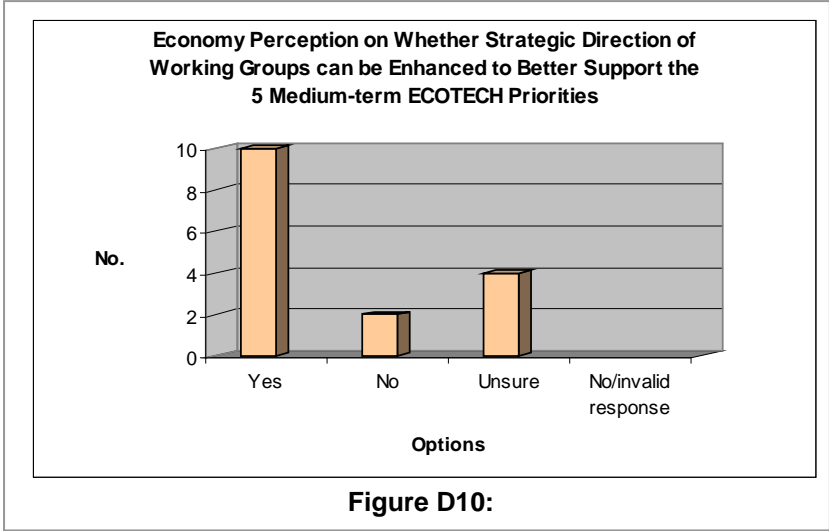
**Figure D.7:**

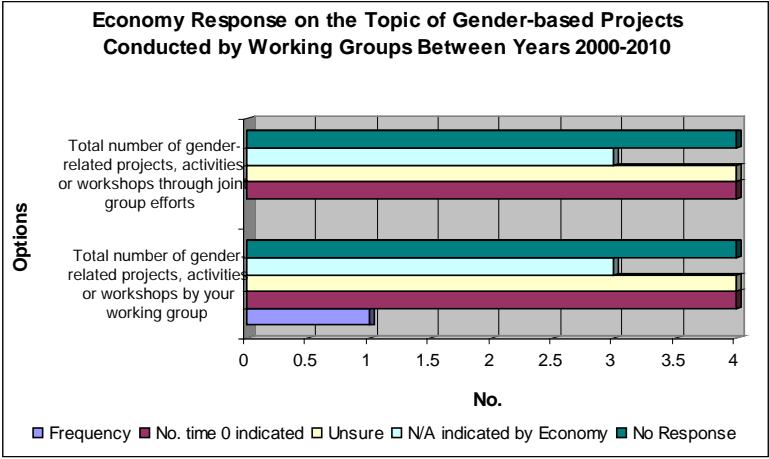


**Figure D.8:**

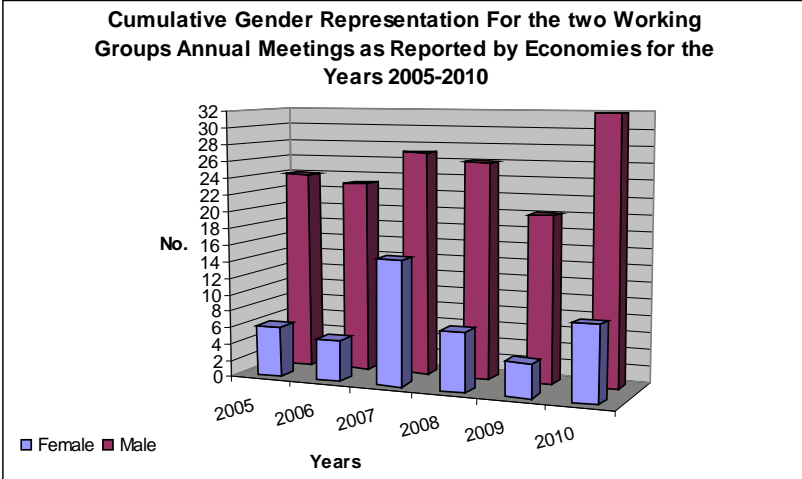


**Figure D.9:**



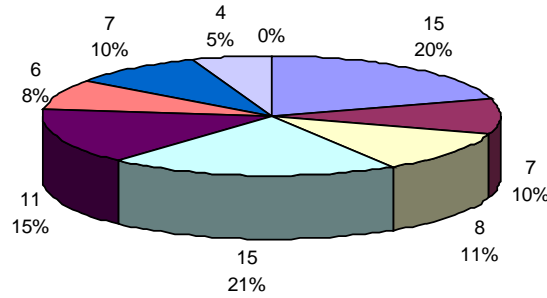


**Figure D.13:**



**Figure D.14:**

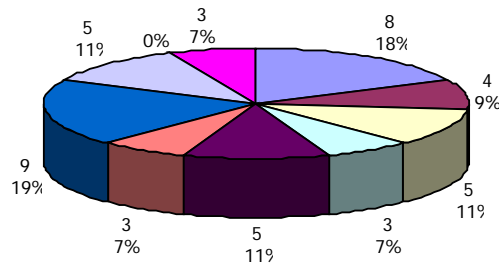
**Perceived Benefits of Merging the FWG & MRCWG by Economies**



- i: Improved use of limited economic/human resources.
- ii: Enhanced ability to respond to SCE ECOTECH Priorities more responsively.
- iii: Complete integration of project activities which result in enhanced positive outcomes – not achievable under the two working group arrangement.
- iv: Enhanced ability to respond to cross-cutting matters, e.g. climate change, EBM/EAF, marine debris etc.
- v: More coordinated development of Economy capacity enhancement in a unified direction.
- vi: Enhancing the nature and level of private sector and other non-APEC parties (e.g. NGOs, IGO, Academia etc) involvement and participation in working group activities.
- vii: Potential for enhanced take-up of the Lead Shepherds Office by an Economy upon expiry of the term of the post by another Economy – ensuring smoother transition and thus administration of working group activities, projects and outcomes.
- viii: Other
- ix: No perceived benefits.

**Figure D.15:**

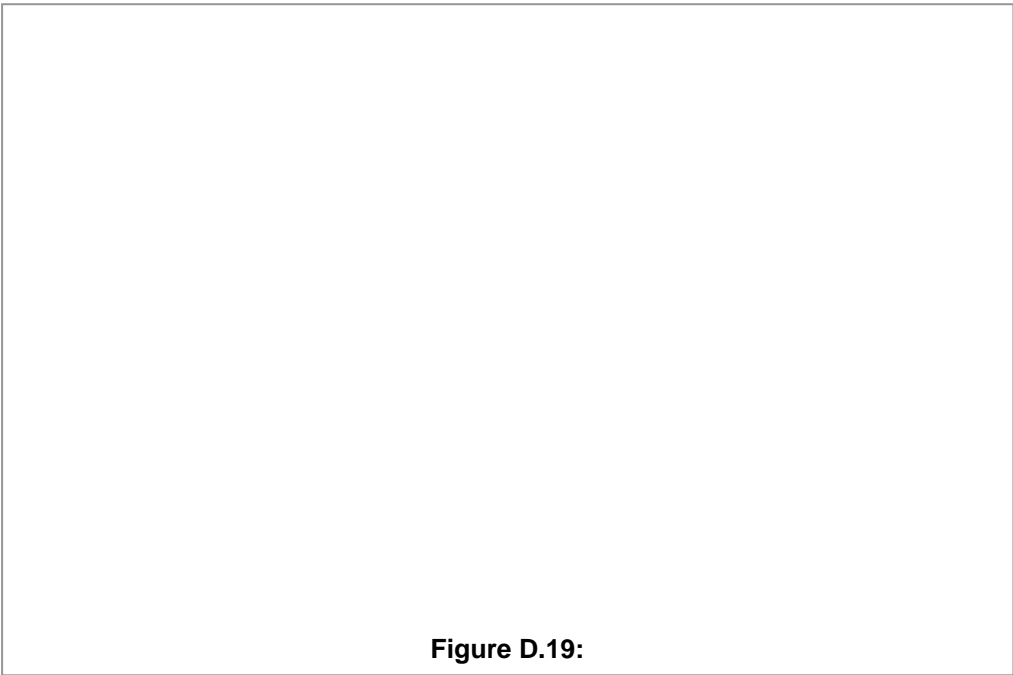
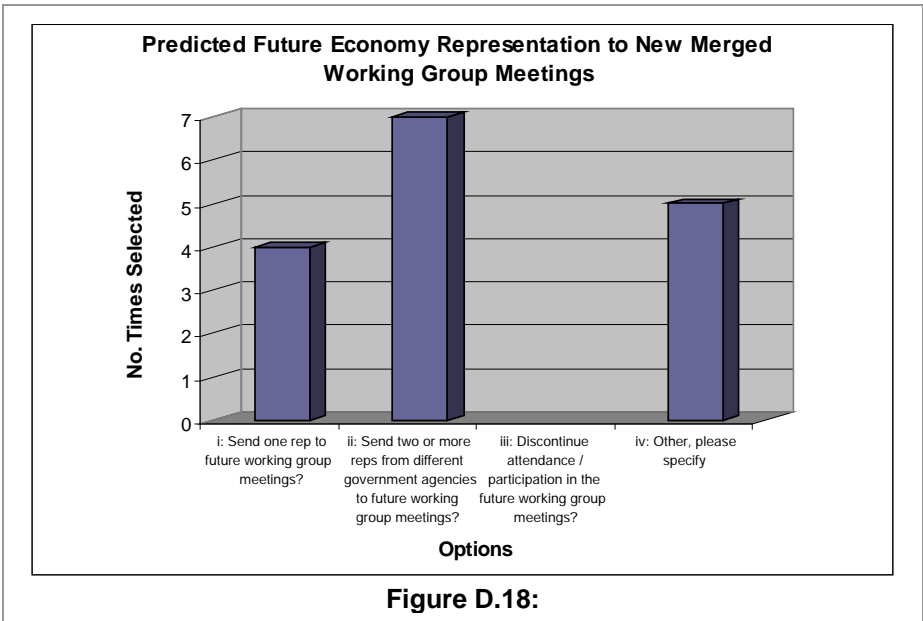
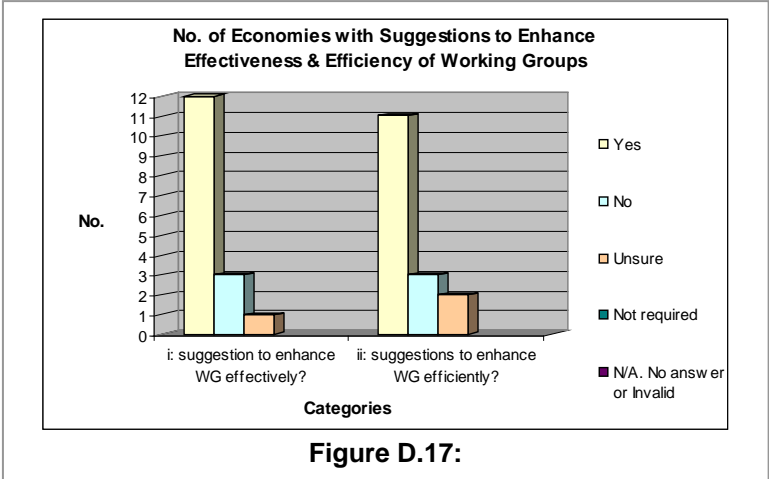
**Economy Perceived Disadvantages of Merging the FWG & MRCWG**



- i: Inability of Economies to adequately provide balanced representation to a merged group possibly as a result of fisheries, maritime & marine-related sectors (includ conservation) being the responsibility of two or more agencies in some Economies.
- ii: Limited balance between conservation/sustainability outcomes/objectives & marine resource utilisation objectives (i.e. potential for group to favour one in order to meet over-arching Bogor Goals).
- iii: Results in challenges/obstacles hindering effective regular involvement by some Economies in new combined working group – due to the common sectoral division of each area in many Economies administrative set-up; e.g. separate fisheries & marine conse
- iv: May lead to unsustainable trade-off decisions between resource use and conservation objectives.
- v: May lead to a situation where very complex subject matter no longer given adequate attention, research, focus, e.g. EBM, ICZM, and/or Trans-boundary matters such as migratory species or marine debris. Thus reducing positive outcomes such as policy inst
- vi: Results in reduction in the range of diverse/unique project and research activities produced by APEC relevant to the marine sector.
- vii: May lead to possible unsuitable or unbalanced representation by some Economies in the new working group if such Economies favour resource use over sustainable management or vice versa.
- viii: May lead to a situation where non-like minded working group representatives are unable through no fault of their own to arrive at consensus when consensus is necessary within the working group.
- ix: Other, please specify
- x: No perceived disadvantage.

**Figure D.16:**





---

**APPENDIX E**

**FISHERIES WORKING GROUP  
&  
MARINE RESOURCE CONSERVATION WORKING GROUP  
MACRO REVIEW OF PROJECTS  
CONDUCTED BETWEEN  
2006 TO 2011**

---

## FWG and MRCWG Projects 2006-2011 Review

**Table 1: FWG & MRCWG Projects 2009-2011**

Project Name, Code & Project Type <i>(Data extracted from AIMPS)</i>	Funding Sources / Amounts – USD & Project Status (In implementation /Closed) <i>(Data extracted from AIMPS)</i>	Project Overview / Description from AIMPS Project Database <sup>62</sup>  <i>(Data extracted from AIMPS)</i>	Supports APEC Purpose/Goals (Y/N), which ones? <sup>63</sup> & Bali Plan of Action	Supports SCE Medium-term Priorities (Y/N) <sup>64</sup> <i>Priority 1-5</i>	On-the-ground achievements and/or identified benefits (Y/N) – Examples such as Reports, Strategies, Plans or communicated commitments etc.	Efficiently & Effectively Implemented? (Y/N/Unsure) what evidence? E.g. completed on time and within budget, resulted in tools, instruments, knowledge creation or capacity enhancement, APEC-wide relevance etc	(1) Could be readily implemented by other working group? (2) Could in theory be implemented by a merged working group? (Y/N/Unsure)
Fisheries Working Group Projects 2009-2011							
1) Seminar on Satellite Data Application for Sustainable Fishery Support in APEC  FWG 01/2011S  Seminar/Symposium	<u>Self-funded</u> USD\$175,000  Implementation Expected Start Date: 2011/03/15 Expected End Date: 2011/12/15	The main aim of this project is to improve the capacity of APEC developing economies in application of satellite data for sustainable fishery support, marine biodiversity conservation and recognition of interaction between climate change and fishery. To achieve it we propose to organize a workshop to share experience of scientific and practical aspects of the implementation of satellite data for organizing control of vessels' movement, including counter poaching measures; rapid detection and monitoring of petroleum pollution on the sea surface; recognition of interaction between climate change and fishery; internet based technologies for visualization of satellite monitoring results.	Yes broadly supports No 1, 2 and 3 in footnote. Supports No 5.	Yes supports No 3 and 5 in footnote.	Unknown as project still in implementation.	N/A - Still in implementation.	(1) Yes – the MRCWG should have the capacity to undertake this project as it has cross-cutting implications. (2) Yes
2) Implementing an ecosystem approach to fisheries in the context of broader marine ecosystem-based management  FWG 01/2009  Survey or Analysis and Research	<u>Mixed Funding (OA)</u> Total Cost: USD\$ 120,865. APEC funding: USD\$106,865  Closed (although not indicated on database as closed)	This project is intended to assess the state of both EAF and EBM implementation in APEC economies in order to: a) help economies better understand these concepts b) outline the range of tools available to implement both EAF and EBM, and c) provide MRCWG and FWG economies a platform, based on actual examples, upon which to advance implementation of EBM and EAF in advance of the third APEC Ocean-related Ministerial Meeting in 2010, to be hosted in Peru, and thereby delivering on a key commitment in the 2005 Bali Plan of Action (Declaration from AOMM2). The project will include a diagnostic component, relevant case studies and will culminate in a workshop.	Yes broadly supports No 1, 4, and supports No 5.	Yes supports No 3, 4 and 5.	Yes – Report entitled, <i>"Implementing an Ecosystem Approach to Fisheries in the Context of Broader Marine Ecosystem-based Management"</i> provided each Economy with a status update on the level and complexity of various components of EAF/EBM along with examples of EAF/EBM in practice in select economies.	The following are believed to be outcomes of the project: <ul style="list-style-type: none"> <li>• Capacity enhancement</li> <li>• Knowledge creation and dissemination</li> <li>• Within budget</li> <li>• Promotion of ecosystem-based mgt tools/ processes/instruments.</li> </ul>	(1) Yes –it is believed that this project although coded under FWG was a collaborative effort between the two groups due to the high level of cross-cutting relevance to a wide array of subjects. (2) Yes

<sup>62</sup> All data in columns 1, 2, and 3 was directly copied from the AIMP Projects Database in March 2011. No grammatical or spelling adjustments are made in order to protect the integrity of information contained in the descriptions.

<sup>63</sup> APEC Purpose/Goals extracted from <http://www.apec.org/en/About-Us/About-APEC.aspx>: (1) To further enhance economic growth and prosperity in the APEC region; (2) To reduce trade barriers and promote efficient domestic economies and export growth; (3) To promote free and open trade and investment throughout the APEC region (the Bogor Goals), and (4) to promote safe and efficient movement of goods and services, and people across borders through policy alignment and technical and economic cooperation; (5) The Bali Plan of Action was endorsed by APEC Ministers in Bali, Indonesia in 2005 and thus by extension provides a range of APEC endorsed measures to achieve APEC purposes and goals by both the FWG and MRCWG at an operational and policy-related reform level in Economies.

<sup>64</sup> SCE Medium-term priorities: (1) Regional Economic Integration; (2) Addressing the Social Dimensions of Globalisation; (3) Safeguarding the Quality of Life Through Sustainable Growth; (4) Structural Reform; and (5) Human Security.

Project Name, Code & Project Type (Data extracted from AIMPS)	Funding Sources / Amounts – USD & Project Status (In implementation /Closed) (Data extracted from AIMPS)	Project Overview / Description from AIMPS Project Database <sup>62</sup>  (Data extracted from AIMPS)	Supports APEC Purpose/Goals (Y/N), which ones? <sup>63</sup> & Bali Plan of Action	Supports SCE Medium-term Priorities (Y/N) <sup>64</sup> Priority 1-5	On-the-ground achievements and/or identified benefits (Y/N) – Examples such as Reports, Strategies, Plans or communicated commitments etc.	Efficiently & Effectively Implemented? (Y/N/Unsure) what evidence? E.g. completed on time and within budget, resulted in tools, instruments, knowledge creation or capacity enhancement, APEC-wide relevance etc	(1) Could be readily implemented by other working group? (2) Could in theory be implemented by a merged working group? (Y/N/Unsure)
<p>3) The Importance of Fisheries and Aquaculture for APEC Economies</p> <p>FWG 01/2009S</p> <p>Survey or Analysis and Research</p>	<p>Self-funded USD\$15,000</p> <p>Implementation</p> <p>Expected Start Date: 2009/06/01</p> <p>Expected End Date: 2009/10/30</p> <p>Database shows project as still in implementation – FWG contacts confirm that the project is closed.</p>	<p>The purpose of this project is to develop a publication for the APEC Fisheries Working Group (FWG) that is intended to raise awareness amongst APEC officials of the importance of the fisheries and aquaculture sector for APEC economies. APEC economies are responsible for the vast majority of global fisheries and aquaculture production and trade, but the economic contribution from this sector is poorly understood by non-fisheries experts in APEC. Related, the link between sustainability issues and APEC's mandate, including trade facilitation and improving market access, is also poorly understood, even as there are increasing demands for sustainable and legally sourced fish and seafood. This publication will be posted on the APEC FWG website, circulated to APEC Senior Officials and relevant Ministers, and can be used for other outreach activities.</p>	<p>Yes broadly supports No 1 &amp; 2. Supports No 5.</p>	<p>Yes supports No 1, 2, 3, and 5.</p>	<p>Yes publication entitled, , "Harvesting Currency: The Importance of Fisheries and Aquaculture for APEC Economies", November 2009.</p> <p>Report highlights the central importance of the fisheries sector in APEC as a path to economic development and coastal community food security in a global context.</p>	<ul style="list-style-type: none"> <li>Completed on time based on allowance to account for final report preparation, review and submission.</li> <li>Knowledge creation and dissemination.</li> <li>APEC-wide relevance</li> </ul>	<p>(1) Uncertain – this project is specific to the realm of fisheries management and regulation – currently the MRCWG is unlikely to have the appropriately qualified representatives to undertake this project.</p> <p>(2) Yes</p>
<p>4) Market-Based Improvements in Live Reef Food Fish Trade</p> <p>FWG 06/2009</p> <p>Seminar/Symposium</p>	<p>Mixed funding (OA)</p> <p>Total Cost: USD\$124,974</p> <p>APEC funding: USD\$85,921</p> <p>Implementation</p> <p>Expected Start Date: 2009/11/30</p> <p>Expected End Date: 2010/10/30</p>	<p>The Coral Triangle (CT) a marine region bounded by Indonesia, Malaysia, Papua New Guinea and the Philippines is home to the richest coral reefs in the world. Reef fisheries provide livelihoods and food for hundreds of millions of people, with the live reef food fish trade (LRFFT) one of the most lucrative. Despite ongoing efforts to reduce impacts of the LRFFT, it continues to pose major challenges to the future sustainable use of this marine resource. While ongoing LRFFT related programs continue to make important and effective efforts to address trade concerns, there remains a need for a whole chain-of-custody approach and innovative programs that support responsible fisheries capture and aquaculture through mechanisms such as best practices (BPs) and other trade and market-based initiatives. This project will have two complementary components that will aim to improve the management of the LRFFT in the region and facilitate participation of industry in that process by holding an international workshop to bring together local and regional participants from government, industry and the NGO community to develop cooperative solutions among the community of Asia-Pacific economies to enhance regional trade and economic security and to think creatively about how to use collaborative approaches to strengthen existing 'voluntary' standards. Project outputs will focus on i) building agreement on those mechanisms or frameworks that can provide the platform for cooperative engagement on strengthening Standards and incorporating sustainability outcomes and ii) a roadmap for implementing policy initiatives and market-based LRFFT conservation reforms consistent with an Ecosystem Approach to Fisheries (EAF)</p>	<p>Unsure – may broadly support APEC goals but may not in terms of being relevant APEC-wide. Supports No 4 &amp; 5.</p>	<p>Yes - supports No 3 and 4 mostly within the CTI boundary.</p>	<p>Still in implementation – uncertain of outcome at this point.</p> <p>No report on database as at May 2011.</p>	<p>The CTI is the platform for enhanced cooperation to promote a regime for sustainable reef &amp; reef fisheries ecosystem management. At best the workshop forum would have provided an arena to solidify the CTI – as it is based upon a non-binding approach where members do not have to develop any formal legal governance mechanisms. Ideally the CTI area could have taken on the form of an RFMO or similar structure where the members could have come to more solid and formalised marine ecosystem management outcomes, such as agreed quota, science programs and harmonised fisheries regulation/administration etc. The project does not result in APEC-wide benefit and therefore</p>	<p>(1) Yes – The MRCWG may have been a more appropriate forum for implementation.</p> <p>(2) Yes</p>

Project Name, Code & Project Type (Data extracted from AIMPS)	Funding Sources / Amounts – USD & Project Status (In implementation /Closed) (Data extracted from AIMPS)	Project Overview / Description from AIMPS Project Database <sup>62</sup> (Data extracted from AIMPS)	Supports APEC Purpose/Goals (Y/N), which ones? <sup>63</sup> & Bali Plan of Action	Supports SCE Medium-term Priorities (Y/N) <sup>64</sup> Priority 1-5	On-the-ground achievements and/or identified benefits (Y/N) – Examples such as Reports, Strategies, Plans or communicated commitments etc.	Efficiently & Effectively Implemented? (Y/N/Unsure) what evidence? E.g. completed on time and within budget, resulted in tools, instruments, knowledge creation or capacity enhancement, APEC-wide relevance etc	(1) Could be readily implemented by other working group? (2) Could in theory be implemented by a merged working group? (Y/N/Unsure)
						<p>effectiveness as it focuses only on 4 APEC Economies who are also members of the CTI commonly referred to as the CT6+2 (the six countries associated with the CTI).</p> <p>However, the forum would have enabled knowledge creation and dissemination and capacity enhancement to encourage CTI members in adopting stronger fisheries and ecosystem management solutions. The CTI also provides a platform for bringing together fisheries managers, industry reps and conservation and academic specialists to further promote sustainable marine resource management in this sub-region of the APEC region.</p>	
Marine Resource Conservation Working Group Projects 2009 - (Note: no projects on AIMPS database for 2010 or 2011)							
<p>5) Marine Ecosystem Assessment and Management in the Asia-Pacific Region Part 2--the APEC LME Project</p> <p>MRC 01/2009</p> <p>Survey or Analysis and Research</p>	<p><u>Mixed funding</u> (OA)</p> <p>Total cost: USD\$83,242</p> <p>APEC funding: USD\$33,490</p> <p>Closed</p> <p>Expected start date: 2009/01/01</p> <p>Expected end date: 2009/12/31</p>	<p>Part 2 of this two part project aims to provide APEC economies with the opportunity to continue to build their understanding of marine ecosystems and resources. The overall approach will focus on the economic benefits gained from a more sustainable resource base</p>	<p>Yes broadly supports No 1, and directly supports No 4. Supports No 5.</p>	<p>Yes supports No 3, 4 and 5.</p>	<p>Yes – Report entitled “Best Practices Methodology for Assessing Changing Conditions of Large Marine Ecosystems in the Asia-Pacific Economic Cooperation Region”.</p>	<ul style="list-style-type: none"> <li>• Resulted in creation and dissemination of knowledge.</li> <li>• Is relevant APEC-wide and globally.</li> <li>• Promotes capacity enhancement.</li> <li>• Not completed within expected timeframe – uncertain why.</li> </ul>	<p>(1) Uncertain if this could be implemented by the other working group.</p> <p>(2) Yes</p>

Project Name, Code & Project Type (Data extracted from AIMPS)	Funding Sources / Amounts – USD & Project Status (In implementation /Closed) (Data extracted from AIMPS)	Project Overview / Description from AIMPS Project Database <sup>62</sup>  (Data extracted from AIMPS)	Supports APEC Purpose/Goals (Y/N), which ones? <sup>63</sup> & Bali Plan of Action	Supports SCE Medium-term Priorities (Y/N) <sup>64</sup> Priority 1-5	On-the-ground achievements and/or identified benefits (Y/N) – Examples such as Reports, Strategies, Plans or communicated commitments etc.	Efficiently & Effectively Implemented? (Y/N/Unsure) what evidence? E.g. completed on time and within budget, resulted in tools, instruments, knowledge creation or capacity enhancement, APEC-wide relevance etc	(1) Could be readily implemented by other working group? (2) Could in theory be implemented by a merged working group? (Y/N/Unsure)
<p>6) 'Fish and biodiversity cross boundaries': Enabling collaborative capacity building to improve the protection of marine resources and strengthen future economic security and ocean wealth in the Asia-Pacific region.</p> <p>MRCWG 01/2009A Seminar/Symposium</p>	<p><u>Mixed funding</u> APEC Support Fund (ASF) Total cost: USD\$259,700 APEC funding: USD\$94,400</p> <p>Implementation Expected start date: 2009/11/01 Expected end date: 2010/09/30</p>	<p>Brief description of Project - Applying an ecosystem based approach to the management of marine resources and biodiversity conservation is of significant benefit to the Asia Pacific community as it integrates economic, ecological and social goals and protects the wealth that oceans provide through improved ecological outcomes, stronger economic conditions, enhanced trade opportunities and poverty alleviation. Ecosystems and key components (habitats, ecological processes and species populations) typically extend beyond jurisdictional boundaries, and the capacity of individual APEC economies to manage current and emerging threats to their marine resources can be limited, for example, overfishing, marine based pollution and climate change. Facilitating knowledge exchange, and the development of collaborative and complementary measures on marine issues through bilateral and multilateral approaches is a critical step towards improving the health of oceans and of sustainable access to marine sourced goods and services (especially those on the coastal fringe) and, will ultimately build stronger APEC economies. This project will draw on existing knowledge, both global and from the Asia-Pacific region, to explore opportunities for connecting the region through cooperation and multi-jurisdictional approaches to management of coastal and oceanic threats with a specific focus on spatial management (e.g. sectoral closures, sanctuaries, locally managed marine areas, protected areas, multiple-use areas). This information will form a 'lessons learnt' baseline upon which a regional APEC Collaborative Marine Spatial Management Measures Implementation Framework and associated capacity development and outreach will be developed. Input from all APEC stakeholder groups, and consideration of other regionally unique factors will ensure that this framework is specifically tailored to the needs of the Asia Pacific region. The project will have three phases. Phase 1: Desktop Analysis of multi-jurisdictional Spatial Marine Management Measures Phase 2: Development of an APEC Collaborative Marine Spatial Management Measures Implementation Framework Phase 3: Project launch event in margins of 3rd APEC Oceans Ministerial Meeting and Capacity Development and Outreach program.</p>	<p>Yes broadly supports No 1, and directly supports No 4. Supports No 5.</p>	<p>Yes supports No 3, 4 and 5.</p>	<p>Yes – Report entitled, "APEC Transboundary Marine Spatial Management Project – Final Report" and production of a good practice guide on TMSM entitled, "A Guide to Transboundary Spatial Management".</p>	<ul style="list-style-type: none"> <li>• Resulted in the creation and dissemination of knowledge.</li> <li>• Is relevant APEC-wide and globally.</li> <li>• Provides a useful framework or instrument development tool for TMSM of fishery and living resources.</li> <li>• Promotes capacity enhancement.</li> <li>• Completed near expected timeframe.</li> </ul>	<p>(1) Uncertain if project could be implemented by the other group. (2) Yes</p>

**Table 2: FWG & MRCWG Projects 2006-2008**

Project Name, Code & Project Type <i>(Data extracted from AIMPS)</i>	Funding Sources / Amounts – USD & Project Status (In implementation /Closed) <i>(Data extracted from AIMPS)</i>	Project Overview / Description from AIMPS Project Database <sup>65</sup>  <i>(Data extracted from AIMPS)</i>	Supports APEC Purpose/Goals (Y/N), which ones? <sup>66</sup> & Bali Plan of Action	Supports the Original 10 SCE Priorities (Y/N) <sup>67</sup> Priority 1-10.	On-the-ground achievements and/or identified benefits (Y/N) – Examples such as Reports, Strategies, Plans or communicated commitments etc.	Efficiently & Effectively Implemented? (Y/N/Unsure) what evidence? E.g. completed on time and within budget, resulted in tools, instruments, knowledge creation or capacity enhancement, APEC-wide relevance etc	(1) Could be readily implemented by other working group? (2) Could in theory be implemented by a merged working group? (Y/N/Unsure)
Fisheries Working Group Projects 2006-2008							
1) Economic Security and Sustainable Tuna Fisheries in the Coral Triangle  FWG 01/2008A  Seminar/Symposium	<u>Mixed funding</u> (APEC Support Fund) Total cost: USD\$83,680 APEC funding: USD\$49500  Closed Expected Start Date: 2008/01/01 Expected End Date: 2008/12/30	The Coral Triangle (CT) a marine region bounded by the countries of Indonesia, Malaysia, Papua New Guinea, the Philippine and the Salomon Island is extremely rich in marine biodiversity and natural resources, including five valuable tuna species, but without wise sustainable management these resources will not last. This project would develop an international workshop to be held in the Coral Triangle (CT) to attempt to unlock the secrets of sustainable economic management and trade in tunas of the region and to provide opportunities for enhancing regional economic security and trade. The workshop would bring together local, regional and international experts from industry, retail, scientific, economic and policy making communities to think together creatively about an optimal model for management and trade.	Broadly support APEC goal/purpose No 2 but may not in terms of being relevant APEC-wide. Supports No 5.	Yes supports No 2 if human security includes food security and economic security in a broader sense. Also supports No 5, 6, and 9.	Resulted in workshop report entitled, "Report on APEC Workshop – Economic Security and Sustainable Tuna Fisheries in the Coral Triangle".	Once again as discussed for FWG 06/2009 above, the CTI does not require any firm action by member Economies, and hence may not result in firm or binding outcomes that lead to sustainable tuna fisheries or broader fisheries and ecosystem management.  Not essentially relevant APEC-wide as only 9 of the 21 Economies attended this forum.  However, the forum would have enabled knowledge creation and dissemination and capacity enhancement to encourage CTI members in adopting stronger fisheries and ecosystem management solutions. The CTI also provides a platform for bringing together fisheries managers, industry reps and conservation and academic specialists to further promote sustainable marine resource management in this sub-region of the APEC region.	Yes – The MRCWG may have been a more appropriate forum for implementation. (2) Yes

<sup>65</sup> All data in columns 1, 2, and 3 is directly copied from the AIMP Projects Database in March 2011. No grammatical or spelling adjustments are made in order to protect the integrity of information contained in the descriptions.

<sup>66</sup> APEC Purpose/Goals extracted from <http://www.apec.org/en/About-Us/About-APEC.aspx>: (1) To further enhance economic growth and prosperity in the APEC region; (2) To reduce trade barriers and promote efficient domestic economies and export growth; (3) To promote free and open trade and investment throughout the APEC region (the Bogor Goals), and (4) to promote safe and efficient movement of goods and services, and people across borders through policy alignment and technical and economic cooperation; (5) The Bali Plan of Action was endorsed by APEC Ministers in Bali, Indonesia in 2005 and thus by extension provides a range of APEC endorsed measures to achieve APEC purposes and goals by both the FWG and MRCWG at an operational and policy-related reform level in Economies.

<sup>67</sup> 10 SCE priorities: *Medium-term Priorities* (1) Integration into the Global Economy, (2) Human Security and Counter-Terrorism Capacity Building, (3) Promoting the Development of Knowledge-based Economies, and (4) Addressing the Social Dimensions of Globalisation; *Long-term Priorities* (5) Developing Human Capital, (6) Developing Stable and Efficient Markets through Structural Reform, (7) Strengthening Economic Infrastructure, (8) Facilitating Technology Flows and Harnessing Technology for the Future, (9) Safeguarding the Quality of Life Through Environmentally Sound Growth, and (10) Developing and Strengthening the Dynamism of SMEs.

Project Name, Code & Project Type (Data extracted from AIMPS)	Funding Sources / Amounts – USD & Project Status (In implementation /Closed) (Data extracted from AIMPS)	Project Overview / Description from AIMPS Project Database <sup>65</sup> (Data extracted from AIMPS)	Supports APEC Purpose/Goals (Y/N), which ones? <sup>66</sup> & Bali Plan of Action	Supports the Original 10 SCE Priorities (Y/N) <sup>67</sup> Priority 1-10.	On-the-ground achievements and/or identified benefits (Y/N) – Examples such as Reports, Strategies, Plans or communicated commitments etc.	Efficiently & Effectively Implemented? (Y/N/Unsure) what evidence? E.g. completed on time and within budget, resulted in tools, instruments, knowledge creation or capacity enhancement, APEC-wide relevance etc	(1) Could be readily implemented by other working group? (2) Could in theory be implemented by a merged working group? (Y/N/Unsure)
2) Harmonizing quality and traceability standards for Pecten trade in the Asia-Pacific region  FWG 04/2008  Other	<u>Mixed funding</u> (OA) Total cost: USD\$119,520 APEC funding: USD\$83200  Closed Expected Start Date: 2008/01/01 Expected End Date: 2008/08/01	The project proposes to create mechanisms that allow for harmonization of Pecten quality and traceability standards for Pectens which are commercialized in the Pacific river basin. This will favor best practices in aquaculture and preserve natural zones of production. Peru suggests developing a Pectens data base and organizing a workshop with relevant specialists.	Yes broadly supports No 1, 2, 3 and 4. Supports No 5.	Yes supports No 1, 3, 5, 6, 8, 9 and 10.	Yes – Report entitled, “Harmonising Quality and traceability Standards for Pecten Trade in Asia Pacific Region”. Also resulted in the preparation of a draft guideline distributed to all APEC members.	<ul style="list-style-type: none"> <li>Resulted in a guideline essentially a tool</li> <li>Relevant APEC-wide.</li> <li>Resulted in creation and dissemination of knowledge.</li> </ul>	(1) No – the subject matter is specific to the core interest and activities of the FWG. (2) Yes.
3) Implementation of Bali Plan of Action - Regional Stock-Take (Gap Analysis) of Current Situation Compared with Ministers' Objectives  FWG 01/2007  Survey or Analysis and Research	<u>Mixed funding</u> (OA) Total cost: USD\$135,000 APEC funding: USD\$75,000  Closed Expected Start Date: 2007/01/01 Expected End Date: 2007/04/30	The purpose of this project is a foundation assessment of the current inventory of activities/measures of institutions and other players operating at the national, regional or global level to deliver the outcomes of the BPA (stock take/gap analysis). In light of the limited capacity of the working groups, and the level of work required to accomplish the commitments of the BPA, multiple avenues will need to be used to achieve the project goals and provide transparency, coherence and integration of fisheries and oceans-related activities that can be levered to the benefit of Asia-Pacific. The analysis would also assist future priority setting, and ensure efficiency and effectiveness of APEC resources by revealing the niche for potential targeted activities of the Working Group[s] themselves and avoid overlap and duplication with other fora. Once established, the inventory would be kept up-to-date through regular reporting of the Working Group[s], to enable progress reporting to Oceans Related Ministers at an appropriate time.	Yes broadly supports 1 and 4. Supports No 5.	Yes broadly supports No 2, 5, 8. Directly supports No 9.	Yes – report entitled, “Implementation of the Bali Plan of Action – Regional Stock-take (gap analysis) of the Current Situation in the Asia-Pacific Region Compared with Ministers' Objectives: A Foundation Assessment”.	<ul style="list-style-type: none"> <li>Relevant APEC-wide.</li> <li>Resulted in creation and dissemination of knowledge.</li> <li>Resulted in dissemination of good practice guidance.</li> </ul>	(1) Yes (2) Yes
4) Assessment of Impacts of IUU Fishing in Asia-Pacific  FWG 02/2007  Survey or Analysis and Research	<u>Mixed funding</u> (OA) Total cost: USD\$120,000 APEC funding: USD\$70,000  Closed Expected Start date: 2007/01/01 Expected end date: 2008/12/31 Actual end date: 2008/09/01	The main purpose of this project would be to undertake an assessment of the economic, social and environmental impacts of illegal, unreported and unregulated (IUU) fishing as well as the challenges and obstacles to implementing measures to combat IUU fishing. It is expected that the project will result in recommendations for actions by APEC economies, non-APEC economies in the Asia-Pacific region, regional organizations (including regional fisheries management organizations, non-governmental organizations and intergovernmental organizations and any other relevant stakeholders with an interest to mitigate illegal, unreported and unregulated fishing in the Asia-Pacific region.	Yes supports No 1, 3, 4 and 5.	Yes supports No 2, 4, 5, 6 and 9.	Yes three reports: (1) “Assessment of Impacts of Illegal, Unreported and Unregulated Fishing (IUU) in the Asia-Pacific”, (2) “Case Study on the Impacts of IUU Fishing in the Sulawesi Sea”, (3) “Case Study on IUU Fishing off the East Coast of Peninsular Malaysia”.	<ul style="list-style-type: none"> <li>Relevant APEC-wide.</li> <li>Resulted in creation and dissemination of knowledge.</li> <li>Promotes capacity enhancement.</li> <li>Highlights best practice in regulation and MSC, and challenges to managing IUU.</li> </ul>	(1) Uncertain if project could have been successfully implemented by other group. (2) Yes



Project Name, Code & Project Type <i>(Data extracted from AIMPS)</i>	Funding Sources / Amounts – USD & Project Status (In implementation /Closed) <i>(Data extracted from AIMPS)</i>	Project Overview / Description from AIMPS Project Database <sup>65</sup> <i>(Data extracted from AIMPS)</i>	Supports APEC Purpose/Goals (Y/N), which ones? <sup>66</sup> & Bali Plan of Action	Supports the Original 10 SCE Priorities (Y/N) <sup>67</sup> Priority 1-10.	On-the-ground achievements and/or identified benefits (Y/N) – Examples such as Reports, Strategies, Plans or communicated commitments etc.	Efficiently & Effectively Implemented? (Y/N/Unsure) what evidence? E.g. completed on time and within budget, resulted in tools, instruments, knowledge creation or capacity enhancement, APEC-wide relevance etc	(1) Could be readily implemented by other working group? (2) Could in theory be implemented by a merged working group? (Y/N/Unsure)
5) Proposal for APEC Seminar on Sharing Experiences in Managing Fishing Capacity  FWG 01/2006  Seminar/Symposium	<u>Mixed funding</u> (OA) Total cost: USD\$54,100 APEC funding: USD\$39,400  Closed Expected start date: 2006/01/01 Expected end date: 2006/01/01	The main objective of this project is to develop a Seminar to exchange and share experiences among APEC economies in the management of fishing capacity, and to enhance capacity-building for other members in managing their fishing capacity. The project will be designed such that a Seminar to be carried out in September (Taipei, Chinese Taipei), with the participation of experts with experience in managing fishing capacity from a number of APEC economies, as well as from FAO and other regional organizations.	Yes broadly supports No 1. Supports No 5.	Yes broadly supports No 2, 6, and 9.	Yes resulted in report entitled, "Seminar on Sharing Experiences in Managing Fishing Capacity".	<ul style="list-style-type: none"> <li>• Provided forum for APEC FWG members to share knowledge and experience in managing fishing capacity.</li> <li>• Promotes capacity enhancement.</li> </ul>	(1) Uncertain as this project was fisheries focused. (2) Yes
6) Improving the Conservation and Management of Sharks in the APEC Region  FWG 01/2006T  Seminar/Symposium	<u>Mixed funding</u> Trade and Investment Liberalisation Facilitation (TILF) Special Account Total cost: USD\$110000 APEC funding:?? Unconfirmed  Closed Expected start date: 2005/12/01 Expected end date: 2007/10/01	APEC has repeatedly called for sustainable development of the region's fisheries resources and there is ample biological, policy, and economic reason to prioritize work relating to shark fisheries at this time. This project responds to calls in the Seoul Oceans Declaration to: (1) facilitate, through exchange of information, effective regional implementation of global fisheries instruments in achieving responsible fisheries and sustainable aquaculture; and, (2) strengthen cooperation to promote responsible trade in fishery products through, inter alia, APEC's TILF initiatives. This project will comprise the second step towards building APEC capacity to implement the FAO International Plan of Action for shark conservation and management. It responds to regional interest in implementing the manual for shark conservation and management that was produced by APEC Project FWG 01/2001T. APEC-wide implementation of the manual is beyond the scope of this proposal. Rather, this proposal seeks implementation in a discrete portion of the APEC region, as a prototype for further APEC action and as APEC's contribution to global efforts (led by FAO), other regional efforts (led by relevant RFMOs) and bilateral efforts by APEC and FAO members. TILF funding is appropriate for this project because implementation of sustainable shark fisheries will prevent CITES-imposed restrictions on trade in threatened or endangered shark species. This will permit continued and eventually enhanced trade in these species, consistent with TILF funding objectives. If shark conservation and management is not improved, trade could be disrupted for at least two reasons: (1) further declines in stocks could reduce the economic viability of shark trade and (2) domestic pressures in some economies could force unilateral restrictions on shark trade. As different parts of the APEC region are at different stages in fisheries management with respect to shark stocks, this project provides a flexible approach, providing work to improve shark conservation and management in APEC and non-APEC economies in the Americas, a program that has been identified by experts as critical to sustainable use of sharks in our region. APEC is uniquely qualified to serve as a vehicle for this type of information sharing through its Fisheries Working Group (FWG), broad membership, and Pacific focus, and would facilitate participation by those economies with the most interest in	Unsure – may broadly support APEC goal/purpose No 2 but may not in terms of being relevant APEC-wide. Supports No 5.	Only for a select part of APEC, i.e. broadly supports for this region No 2, 5, 6, 8, and 9.	Yes production of a shark identification guide in Spanish entitled, "Guia de campo para la identificacion de los principales tiburones del oceano pacifico oriental".	As highlighted by the project overview this project geographic focus and application was not APEC-wide and provides direct benefit only to a select few Economies – although the need in this part of APEC may be significant thus providing justification for the limited application of the project. Unfortunately, this trend is appearing to become common in FWG as evidenced by partial APEC relevant project for the CTI.  <ul style="list-style-type: none"> <li>• Promotes fisheries science identification tools for Spanish speaking Economies</li> <li>• Provides for localised capacity enhancement in shark management.</li> <li>• Although admirable the project is likely not to have any effect outside of Spanish speaking APEC Economies.</li> </ul>	(1) Uncertain (2) Yes

Project Name, Code & Project Type <i>(Data extracted from AIMPS)</i>	Funding Sources / Amounts – USD & Project Status (In implementation /Closed) <i>(Data extracted from AIMPS)</i>	Project Overview / Description from AIMPS Project Database <sup>65</sup> <i>(Data extracted from AIMPS)</i>	Supports APEC Purpose/Goals (Y/N), which ones? <sup>66</sup> & Bali Plan of Action	Supports the Original 10 SCE Priorities (Y/N) <sup>67</sup> Priority 1-10.	On-the-ground achievements and/or identified benefits (Y/N) – Examples such as Reports, Strategies, Plans or communicated commitments etc.	Efficiently & Effectively Implemented? (Y/N/Unsure) what evidence? E.g. completed on time and within budget, resulted in tools, instruments, knowledge creation or capacity enhancement, APEC-wide relevance etc	(1) Could be readily implemented by other working group? (2) Could in theory be implemented by a merged working group? (Y/N/Unsure)
		this issue. It would be targeted directly to fishermen, industry leaders, policy-makers, scientists and managers from those States. This project directly addresses a key recommendations from the 2002 APEC Shark Workshop held in Hualtulco, Mexico. It is likely that without active APEC support and involvement this work will not take place, at least not in the timely manner envisioned by APEC leaders and ministers in their calls for sustainable development of marine resources.					
7) Aquaculture Network for the Americas (ANA): Phase 1  FWG 02/2006  Short Term Training	<u>APEC Funded (OA)</u> Total cost: USD\$36,400 APEC funding: USD\$36,400  Closed Expected start date: 2006/01/01 Expected end date: 2006/08/01	The purpose of this project is twofold. On the one hand, to prepare a detailed and full-fleshed project proposal to start the Aquaculture Network for the Americas (ANA Phase I), as a three to four year project. On the other hand, to secure funding to start ANA Phase I. Under this project three types of activities will be conducted: (i) Desk work to prepare the document for the project proposal, including: the design of project structure, activities, required personnel, equipment and financial resources, as well as, expected products and performance indicators. To be conducted in the Americas region during the first two months of the project. (ii) Communications and discussions on project proposal with economy representatives (i.e., National Focal Points) to ensure ANA economy members participation in the elaboration of project proposal. This communications and discussions will be conducted through e-mail, phone-conferences and direct meetings if necessary. To be conducting in the Americas region. Discussions on ANA project proposal will be conducted during the first two months of the project. Communications will take place during the entire project (i.e., 8 months). International travel to market project proposal with international development agencies and/or international foundations. This will take place in the Americas region and Europe. They will take place after the third month of the project and before its end. The purpose of travel is to identify and secure funding for ANA Phase I with institutions like FAO, Government of Spain, Interamerican Development Bank, World Bank, Mac Arthur Foundation, Inter American Foundation, IDRC and CIDA, among others.	Only broadly supports No 1, 2, 3, 4 and 5 for a limited segment of APEC.	Limited APEC-wide application.	Uncertain of on-the-ground effect.	Once again this project appears only application to one segment of APEC. Such an outcome may not provide APEC-wide benefits unless after the ANA is established this ANA provides a forum for aquaculture production standardisation that leads to enhancing APEC-wide trade. However, such an outcome is unable to be established.	(1) Uncertain. (2) Yes but may not be widely enough applicable to APEC.
<b>Marine Resource Conservation Working Group Projects 2006-2008</b>							
8) Capacity building workshop for APEC Economies – Petroleum-based Organic Chemicals and Marine Environmental Safety  MRC 01/2008  Seminar/Symposium	<u>Mixed funding (OA)</u> Total cost: USD\$521,100 APEC Funding: USD\$45,100  Closed Expected start date: 2008/05/01 Expected end date: 2009/04/30	Republic of Korea has invested considerable research on Ocean sciences through its principal organ KORDI and developed strategies that help to maintain ecological balance in marine ecosystems. In collaboration with APEC, it maintains a training and educational centre (AMETEC) in its South Sea Institute and conducts workshops and training courses to developing economies in Asia Pacific region with its own experts and invited experts from Australia, Canada, Japan and USA. In order to continue this successful program, fund is sought from APEC for meeting the travel cost of experts from various countries.	In principle broadly supports No 4 and 5.	Supports No 3, 5, and 8.	No apparent reports. Unknown outcomes. Would require review of project evaluation report to ascertain level of benefit achieved.	<ul style="list-style-type: none"> <li>• May have resulted in knowledge dissemination and capacity enhancement??</li> </ul>	(1) No – project appears unique to this working groups objectives and strategic goals. (2) Unsure

Project Name, Code & Project Type <i>(Data extracted from AIMPS)</i>	Funding Sources / Amounts – USD & Project Status (In implementation /Closed) <i>(Data extracted from AIMPS)</i>	Project Overview / Description from AIMPS Project Database <sup>65</sup> <i>(Data extracted from AIMPS)</i>	Supports APEC Purpose/Goals (Y/N), which ones? <sup>66</sup> & Bali Plan of Action	Supports the Original 10 SCE Priorities (Y/N) <sup>67</sup> Priority 1-10.	On-the-ground achievements and/or identified benefits (Y/N) – Examples such as Reports, Strategies, Plans or communicated commitments etc.	Efficiently & Effectively Implemented? (Y/N/Unsure) what evidence? E.g. completed on time and within budget, resulted in tools, instruments, knowledge creation or capacity enhancement, APEC-wide relevance etc	(1) Could be readily implemented by other working group? (2) Could in theory be implemented by a merged working group? (Y/N/Unsure)
9) The Ninth APEC Roundtable Meeting on the Involvement of Business/Private Sector in Sustainability of the Marine Environment  MRCWG 01/2008S  Seminar/Symposium	<u>Self funded</u> USD\$30,000  Implementation Expected start date: 2008/01/01 Expected end date: 2008/12/31  Assumed to be closed as the report for this event is available.	The aim of this roundtable meeting is to share information, address common concerns and evaluate future options. The meeting is designed to further the 1997 "APEC Action Plan on Sustainability of the Marine Environment", the 2000 "Action Strategies and Work Programs", the "2002 Seoul Declaration of APEC Ocean-related Ministerial Meeting", and the "2005 Bali Plan of Action" by examining how best to promote public and private sector participation and partnerships so as to advance member economies' objectives of sustainable use of the marine environment, as well as to encourage investment from the private sector in the region.	Unsure if project directly supports No 1 – 4. Broadly support No 5.	Partial support perhaps for No 5, 8 and 9.	Yes a report entitled, "Report of the 9 <sup>th</sup> Roundtable Meeting Discussion".  No strong evidence to suggest that this leads to APEC-wide on the ground impacts. The impacts may be mostly localised.	<ul style="list-style-type: none"> <li>Should have resulted in knowledge dissemination and encouragement of collective marine sustainable mgt.</li> </ul>	(1) Uncertain. (2) Uncertain.
10) The Ninth APEC Roundtable Meeting on the Involvement of Business/Private Sector in Sustainability of the Marine Environment  MRCWG 02/2008S	-	Appears to be a duplicate of MRCWG 01/2008S as all details are identical	-	-	-	-	-
11) Satellite Application in Knowledge-based Economies (SAKE 2008)  MRC 04/2008  Seminar/Symposium	<u>Mixed funding (OA)</u> Total cost : USD\$167,300 APEC funding: USD\$44,950  Closed Expected start date: 2008/01/01 Expected end date: 2009/12/31	The objective of this project is to promote the development of knowledge-based economies. The method is to speed up the utilization of satellite images in the design, development, and monitoring of marine-related economies by providing free satellite images. Commercial satellite images of high ground resolution are too expensive to most potential users. The high cost hinders the usage of satellite data in knowledge-based economies, especially in the marine-related economies, which require more satellite data to cover large surface areas. Two-meter resolution satellite images may be used in the coastal development and management, in the management of near-shore mariculture industry, in the promotion and monitoring of marine parks in remote areas, and in ecotourism. Chinese Taipei shall contribute satellite images and field survey tools to match APEC funding of this project. Satellite coverage shall be initiated by users, and the priority of satellite coverage should be managed by the Steering Committee which is composed of experts from co-sponsoring member economies. Field verification of satellite image analysis shall be the central theme of SAKE 2008. A training program will be jointly organized by Indonesia and Chinese Taipei to take stereo underwater images of coral reefs or of substrates in shallower water regions. Images are easy-to-read documents on	Broadly supports No 1 and 5.	Broadly supports No 3. Supports No 5, 8, 9.	Yes report entitled, "Proceedings of SAKE-3 Workshop – The Third APEC SAKE Workshop on Satellite Data Processing and Applications for Marine Resources Inventory".	<ul style="list-style-type: none"> <li>Should have resulted in knowledge creation, dissemination and capacity building.</li> <li>APEC-wide relevance.</li> <li>Creation of new methods for marine resource inventories.</li> </ul> <p>Note: The technology seems to have limited application to coastal/marine areas of no more than 20 metres in depth.</p>	(1) Yes (2) Yes

Project Name, Code & Project Type (Data extracted from AIMPS)	Funding Sources / Amounts – USD & Project Status (In implementation /Closed) (Data extracted from AIMPS)	Project Overview / Description from AIMPS Project Database <sup>65</sup> (Data extracted from AIMPS)	Supports APEC Purpose/Goals (Y/N), which ones? <sup>66</sup> & Bali Plan of Action	Supports the Original 10 SCE Priorities (Y/N) <sup>67</sup> Priority 1-10.	On-the-ground achievements and/or identified benefits (Y/N) – Examples such as Reports, Strategies, Plans or communicated commitments etc.	Efficiently & Effectively Implemented? (Y/N/Unsure) what evidence? E.g. completed on time and within budget, resulted in tools, instruments, knowledge creation or capacity enhancement, APEC-wide relevance etc	(1) Could be readily implemented by other working group? (2) Could in theory be implemented by a merged working group? (Y/N/Unsure)
		the current health and on the change of ecosystem. The method is towing a V-Fin that has two cameras installed. The camera will take time-lapse photo in synchronous mode. A workshop shall be organized later by Chinese Taipei to share the accomplishment in joint interpreting satellite images, underwater photos by V-Fin and divers' survey. In summary, SAKE 2008 follows the guideline of Bali Plan of Action to enhance the capacity building for sustainable management of marine resources and environment, and for sustainable economic benefits from the oceans.					
12) Tsunami Preparedness and Resilience through Research, Extension, Education and Training  MRCWG 01/2007A  Other	<u>Mixed funding</u> APEC Support Fund Total cost: USD\$90,000 APEC Funding: USD\$30,000  Closed Expected start date: 2007/01/01 Expected end date: 2009/03/31	The project would empower local stakeholders of West Sumatra to restore coastal areas, build resilience in the face of future hazards, and increase community preparedness together through coordination, extension, and applied research mechanisms defined by the local Sea Partnership Program.	Broadly supports No 1. Supports No 5.	Supports No 2, 5, and 9.	Yes report in meeting database entitled, "Progress Report – Tsunami Preparedness and Resilience Through Research, Extension and Education".  No other strong evidence that the project had a significant impact across APEC.	<ul style="list-style-type: none"> <li>• Knowledge creation and dissemination.</li> <li>• Capacity enhancement.</li> <li>• Lessons learnt for application elsewhere.</li> </ul> <p>Note: Although the project focused upon one location in one Economy the knowledge that should have resulted in terms of hazard mapping and natural disaster preparedness should have APEC-wide relevance.</p>	(1) Uncertain (2) Yes
13) Understanding the economic benefits and costs of controlling marine debris in the APEC region  MRCWG 02/2007  Survey or Analysis and Research	<u>Mixed funding</u> (OA) Total cost: USD\$76,200 APEC funding: USD\$38,000  Closed Expected start date: 2007/01/01 Expected end date: 2007/10/01	The aim of the proposed project is to develop an accurate assessment of the economic benefits and costs of controlling marine debris in the APEC region as a basis for determining relevant incentives and other measures for preventing it and mitigating its impacts.	Broadly support No 1 and 4.	Supports No 2, 3, 5, 6, 8, and 9.	Yes report entitled, "Understanding the Economic Benefits and Costs of Controlling Marine Debris in the APEC Region". The report is likely to have been widely read with the potential that lessons learnt and tools and instruments for controlling marine debris may have found application in other Economies.	<ul style="list-style-type: none"> <li>• Knowledge creation and dissemination.</li> <li>• Capacity enhancement.</li> <li>• Lessons learnt for application elsewhere.</li> <li>• Provides examples through case studies of tools and instruments that can be applied APEC-wide.</li> </ul>	(1) Uncertain (2) Yes

Project Name, Code & Project Type (Data extracted from AIMPS)	Funding Sources / Amounts – USD & Project Status (In implementation /Closed) (Data extracted from AIMPS)	Project Overview / Description from AIMPS Project Database <sup>65</sup> (Data extracted from AIMPS)	Supports APEC Purpose/Goals (Y/N), which ones? <sup>66</sup> & Bali Plan of Action	Supports the Original 10 SCE Priorities (Y/N) <sup>67</sup> Priority 1-10.	On-the-ground achievements and/or identified benefits (Y/N) – Examples such as Reports, Strategies, Plans or communicated commitments etc.	Efficiently & Effectively Implemented? (Y/N/Unsure) what evidence? E.g. completed on time and within budget, resulted in tools, instruments, knowledge creation or capacity enhancement, APEC-wide relevance etc	(1) Could be readily implemented by other working group? (2) Could in theory be implemented by a merged working group? (Y/N/Unsure)
14) Marine Ecosystem Identification and Mapping in the Asia-Pacific Region  MRCWG 03/2007  Seminar/Symposium	<u>Mixed funding</u> (OA)  Total cost: USD\$77,128 APEC funding: USD\$19,128  Closed Expected start date: 2006/10/01 Expected end date: 2008/09/30	Part 1 of this two-part project aims to provide APEC economies with an accurate, up-to-date understanding of the marine ecosystems and resources upon which a large portion of their economies depend; and allow them to ensure sustained production potential for goods and services in the region.	Supports No 1, 3 and 4 and 5.	Supports No 3, 5, 8 and 9. Indirect support to No 6.	Yes report entitled, "Marine Ecosystem Identification and Mapping in the Asia-Pacific Region-Final Report".	Concluded on time according to Report Date, which coincides with the anticipated project timeframe. <ul style="list-style-type: none"><li>• Knowledge creation and dissemination through promoting EBM at the LME scale essential to supporting the APEC Bogor goals.</li><li>• Relevant APEC-wide.</li><li>• Capacity enhancement.</li></ul>	(1) Uncertain (2) Yes
15) Capacity Building Workshops on Marine Environmental Conservation and Sustainability for Developing Economies of APEC  MRCWG 04/2007A  Short Term Training	<u>Mixed funding</u> APEC Support Fund Total cost: USD\$476,000 APEC funding: USD\$44,160  Closed Expected start date: 2007/01/01 Expected end date: 2007/12/31	APEC economies accounts for nearly 90% of all aquaculture fisheries in the world and consume 70% of global fish production. It is mandatory on the part of all APEC economies to maintain their regional seas and common oceans in good health for sustainable use for future. Capacity building is a critical factor in achieving this goal where countries that gained considerable advancement voluntarily share their knowledge with upcoming economies in APEC region. Republic of Korea has invested considerable research on ocean sciences through its principal organ, KORDI and developed strategies that help to maintain ecological balance in marine ecosystems	Broad support for No 1. Supports No 5.	Supports No 3, 5, 8, 9.	No known publicly available report.  Uncertain of the extent of on-the-ground impacts.	Unknown outcome – therefore unable to comment on efficiency or effectiveness. <ul style="list-style-type: none"><li>• Likely to have had APED-wide relevance.</li><li>• Should have resulted in capacity building.</li></ul>	(1) Uncertain – perhaps. (2) Yes
16) Satellite Application in Knowledge-based Economies (SAKE 2007)  MRCWG 05/2007  Seminar/Symposium	<u>Mixed funding</u> (OA) Total cost: USD\$190,670 APEC funding: USD\$49,390  Closed Expected start date: 2007/01/01 Expected end date: 2008/06/30	The objective of this project is to promote the development of knowledge-based economies. The method is to encourage the use of satellite images in the design/development/monitoring of marine-related economies by providing free satellite images.	Broadly supports No 1 and 5.	Broadly supports No 3. Supports No 5, 8, 9.	Yes report entitled, "Proceedings of SAKE-2 Workshop – The Second APEC SAKE Workshop on Satellite Application in Fishery and Coastal Ecosystems. SAKE program continued until 2008.	<ul style="list-style-type: none"><li>• Should have resulted in knowledge creation, dissemination and capacity building.</li><li>• APEC-wide relevance although focus is on enhancing developing Economies capability.</li><li>• Creation of new methods for marine resource inventories.</li></ul>	(1) Yes (2) Yes

Project Name, Code & Project Type (Data extracted from AIMPS)	Funding Sources / Amounts – USD & Project Status (In implementation /Closed) (Data extracted from AIMPS)	Project Overview / Description from AIMPS Project Database <sup>65</sup> (Data extracted from AIMPS)	Supports APEC Purpose/Goals (Y/N), which ones? <sup>66</sup> & Bali Plan of Action	Supports the Original 10 SCE Priorities (Y/N) <sup>67</sup> Priority 1-10.	On-the-ground achievements and/or identified benefits (Y/N) – Examples such as Reports, Strategies, Plans or communicated commitments etc.	Efficiently & Effectively Implemented? (Y/N/Unsure) what evidence? E.g. completed on time and within budget, resulted in tools, instruments, knowledge creation or capacity enhancement, APEC-wide relevance etc	(1) Could be readily implemented by other working group? (2) Could in theory be implemented by a merged working group? (Y/N/Unsure)
17) Development of an APEC Strategy on Sustainable Aquaculture  MRCWG 06/2007  Survey or Analysis and Research	<u>Mixed funding</u> (OA) Total cost: USD\$161,500 APEC funding: USD\$126,200  Closed Expected start date: 2007/01/01 Expected end date: 2009/03/31	This initiative follows previous work done by a TILF funded APEC project oriented towards the identification of the environmental principles and policies used in aquaculture administration and their role in trade and investment liberalization. One contractor will work with the Project Overseer and a Steering Committee. Two workshops are planned (Indonesia 2007 and Peru 2008) and a report outlining the critical components of a sustainable aquaculture strategy will be presented for consideration to higher officials and Leaders by the end of 2008.	Broadly supports No 1. Supports 2, 3, 4 and 5.	Broadly supports or supports No 1, 5, 6, 8 and 9.	Yes a paper entitled, "White Paper: Development of an APEC Strategy on Sustainable Aquaculture – preparatory workshop".	<ul style="list-style-type: none"> <li>Completed on time.</li> <li>Knowledge creation and dissemination.</li> <li>Relevant APEC-wide.</li> <li>Capacity enhancement.</li> <li>Promotion of new instrument for sustainable aquaculture.</li> </ul>	(1) Yes (2) Yes
18) Capacity Building Workshops on Marine Environmental Conservation and Sustainability for Developing Economies of APEC  MRCWG 01/2006A  Short Term Training	<u>Mixed funding</u> APEC Support Fund Total cost: USD\$476,000 APEC funding: USD\$44,160  Closed Expected start date: 2006/03/01 Expected end date: 2007/02/01	APEC economies account for 90% of all aquaculture fisheries in the world and consume 70% of global fish production. Hence it is crucial that marine health in APEC region is maintained through sustainable development. This is achieved mainly through capacity building where economies with considerable experience in the field volunteer to share their knowledge with others. KORDI has invested considerably in the research and development of strategies that helps to maintain ecological balance in marine ecosystems. In collaboration with APEC it maintains a training and educational centre (AMETEC) in its South Sea Institute and conducts biannual workshops and training courses to developing economies in Asia Pacific region with its own experts and others from USA, Canada, Australia and Japan. Several hundred participants from countries such as Chile, China, Russia, Vietnam, Indonesia, Philippines, Malaysia, Thailand, Myanmar, Fiji, Papua New Guinea and Peru have already benefited from this program. Experts share their hands-on-experience and technology with participants in these workshops. These workshops are aimed, 1) to stimulate strategic thinking on marine environmental issues common to the APEC economies, and to serve as a forum for consultation and dialogue; 2) To assist APEC economies in effectively addressing marine environmental problems to promote sustainable development through finding appropriate technical solutions and in strengthening their institutional capacity in marine environmental monitoring; 3) to assess, adapt and develop appropriate analytical methodologies for marine environmental studies in the APEC region; 4) to assist in the implementation of the GPA. To continue this successful program, fund is sought from APEC to support the travel cost of experts from various countries. Two 3-weeks training will be held in June and October 2006 in the AMETEC located in Geoje Island, Korea. Steering Committee and International Advisory meeting will be held once in November 2006 and the location is not determined yet.	Broad support for No 1. Supports No 5.	Supports No 3, 5, 8, 9.	No known publicly available report.  Uncertain of the extent of on-the-ground impacts.	Unknown outcome – therefore unable to comment on efficiency or effectiveness.  <ul style="list-style-type: none"> <li>Likely to have had APED-wide relevance.</li> <li>Should have resulted in capacity building.</li> </ul>	(1) Uncertain – perhaps. (2) Yes

Project Name, Code & Project Type <i>(Data extracted from AIMPS)</i>	Funding Sources / Amounts – USD & Project Status (In implementation /Closed) <i>(Data extracted from AIMPS)</i>	Project Overview / Description from AIMPS Project Database <sup>65</sup> <i>(Data extracted from AIMPS)</i>	Supports APEC Purpose/Goals (Y/N), which ones? <sup>66</sup> & Bali Plan of Action	Supports the Original 10 SCE Priorities (Y/N) <sup>67</sup> Priority 1-10.	On-the-ground achievements and/or identified benefits (Y/N) – Examples such as Reports, Strategies, Plans or communicated commitments etc.	Efficiently & Effectively Implemented? (Y/N/Unsure) what evidence? E.g. completed on time and within budget, resulted in tools, instruments, knowledge creation or capacity enhancement, APEC-wide relevance etc	(1) Could be readily implemented by other working group? (2) Could in theory be implemented by a merged working group? (Y/N/Unsure)
19) Workshop on the Modern Approaches to Linking Exposure to Toxic Compounds and Biological Effects (Workshop 3)  MRCWG 02/2006  Seminar/Symposium	<u>Mixed funding</u> (OA) Total cost: USD\$83,150 APEC funding: USD\$42,250  Closed Expected start date: 2006/01/01 Expected end date: 2006/12/01	This workshop is a follow up to the APEC-sponsored workshop held at Griffith Center for Coastal Management, Griffith University, Queensland, Australia in May, 2004 and organized by APEC members Korea, Russia, New Zealand, Canada, and the USA. The purpose of this series of workshops is to advance integrated environmental biomonitoring throughout the APEC region, and to provide a forum for APEC members to exchange information and methodology on modern approaches for determining the links between toxic chemicals in coastal environments and their effects on aquatic biota. An additional priority identified by the participants of the first and second workshop was the need for some APEC economies to meet quality assurance standards in order to allow for export of seafood products. Lack of such technologies may constrain those countries' export opportunities. We therefore propose to extend the collaboration formed in Korea [2002], Australia [2004] in to a third workshop to be held in Xiamen, P.R. China in 2006. The main aim is to assist all APEC economies to 1. Further advance laboratory and field methods for measuring impacts to coastal marine environments, both from existing sources of chemical contamination, as well as from emerging chemical contaminants that are currently poorly understood. 2. Evaluate methodologies needed to meet strict export requirements for safety of marine foods across APEC economies. This will address a priority identified in 2002, 2004 and should increase some countries capacity to participate in seafood export to other parts of the world. It is proposed that this workshop will be held at Xiamen University, Xiamen City, Fujian Province, P.R. China during October 2006. Support for this workshop has been indicated by the experts from each country, listed as cosponsors in the application, each of who were expert speakers at the 2004 Australia workshop at Griffith University, Queensland, Australia.	Broadly supports No 1, 3. Supports 4 and 5.	Supports No 3, 5, 8 and 9.	Yes report entitled, "The Modern Approaches to Linking Exposure to Toxic Compounds and Biological Effects"	<ul style="list-style-type: none"> <li>Completed on time.</li> <li>Knowledge creation and dissemination.</li> <li>Relevant APEC-wide.</li> <li>Capacity enhancement.</li> <li>Promotion of new instruments/tools.</li> </ul>	(1) No (2) Yes
20) Satellite Application in Knowledge-based Economies (SAKE)  MRCWG 03/2006  Short Term Training	<u>Mixed funding</u> (OA) Total cost: USD\$151,670 APEC funding: USD\$45,390 Closed Expected start date: 2006/01/01 Expected end date: 2007/06/01 Actual start date: 2006/01/01 Actual end date: 2008/03/31	The objective of this project is to improve the capacity of APEC developing economies in the development and management of current and future marine-related activities through the use of high-resolution satellite imagery. This improvement in capacity will assist: academia and research communities to better understand ecosystem interactions towards identifying opportunities to implement conservation measures for the protection of marine and coastal resources; government managers to monitor marine-related activities towards identifying polluters and other illegal uses of the sea and its resources; and, the business community to identify, manage and monitor business opportunities in marine and coastal areas – including ecotourism, aquaculture, mariculture, fisheries, marine parks, pipeline and cable laying, shipping and transportation, coastal protection, marine emergencies, etc. Many developed economies currently enjoy these capacities however, this project intends to accelerate improved capacity amongst developing APEC economies.	Broadly supports No 1 and 5.	Broadly supports No 3. Supports No 5, 8, 9.	Yes report in meeting reports database entitled, "Progress Report – SAKE 2006-2008".	<ul style="list-style-type: none"> <li>Should have resulted in knowledge creation, dissemination and capacity building.</li> <li>APEC-wide relevance although focus is on enhancing developing Economies capability.</li> <li>Creation of new methods for marine resource inventories.</li> </ul>	(1) Yes (2) Yes

---

**APPENDIX F**

**FISHERIES WORKING GROUP**

**TERMS OF REFERENCE**

**2010**

---



## FWG Terms of Reference

### 1. Context

The activities of the Fisheries Working Group are guided by the following context, which describes the environment in which the mandate of the working group is anchored:

- The strength of APEC is in its focus on regional collaboration and consensus about problems and their solutions, particularly as they relate to the promotion of economic growth through a commitment to open trade, investment and economic reform, which includes the fisheries sector;
- For many APEC economies, fisheries are an integral component to socio-economic, and in some cases, nutritional well-being. Ensuring sustainable fisheries and aquaculture production as part of sound environmental conservation and resource management in the Asia-Pacific region is crucial for food security, poverty alleviation, and economic growth;
- APEC economies are an important voice internationally on fishery-related issues and collectively have a significant impact on global sustainability of fisheries and responsible practices of fish trade. The fisheries industries in APEC economies accounts for over 75 per cent of the world's capture fisheries and over 90 per cent of global aquaculture production. Fish is the most traded animal commodity in the world, with about 100 million tons of wild and farmed fish sold each year;
- The Ministerial *Bali Plan of Action (BPA) (2005)*, which implements the Commitments in the Seoul Oceans Declaration (2002), is APEC's framework for ensuring the sustainable development of the marine environment and its resources, thus achieving sustained economic benefits and resilient communities from oceans resources. This framework currently serves as one of the primary guides for the work of the Fisheries Working Group and the Marine Resources Conservation Working Group, in addition to implicating other APEC working groups;
- The work of the FWG is guided by the FWG Strategic Framework, which emphasizes the importance of Ministerial and APEC Leaders' priorities, including the BPA, relevant developments in other global and regional for a including Regional Fisheries Management Organizations (RFMOs), relevant work being conducted in other APEC working groups, as well as the interests and priorities of stakeholders; and
- The Strategic Framework also takes into account a balance of shared regional interests in fishery-related matters across the value chain, which can be addressed by both policy discussions and programs to meet APEC economy priorities.

### 2. Vision

The FWG's vision for APEC economies' fisheries is:

*Well-managed fisheries and aquaculture that yield optimal economic value to support sustainable communities and livelihoods in APEC members' economies, while ensuring the long-term conservation and sustainable use of those resources.*

### 3. FWG Mission

*Open exchange of information and ideas, and promotion of enhanced understanding of shared challenges and best practices, both through policy discussions and programming choices to enable wise management, good governance and sound commercial arrangements of fisheries and aquaculture.*

### 4. Objectives

The FWG will make its contribution to APEC members and others in the Asia-Pacific by meeting the following objectives:

- Advancing APEC strategic objectives and responding to emerging regional priorities;
- Supporting and promoting domestic implementation of sustainable practices across the seafood value chain;
- Supporting the development and regional implementation of global fisheries and aquaculture practices that help ensure sustainability and an economically viable industry; and

- 
- Supporting and promoting trade liberalization and facilitation in fish and fisheries products to eliminate distortions and barriers that restrict access to markets.

## 5. Mandate

The working group's mission and objectives will be delivered through the following mandate, which will frame the development and delivery of a program of work consistent with APEC parameters:

- *Exchange of information* and helping to foster institutional capacity building in a focused regional setting;
- *Advancing the debate, and development of solutions* of common resource management problems;
- *Development of projects*, which will be managed and evaluated by the FWG according to Leaders' and Ministers' directives, and the projects' adherence to the SCE guidelines and procedures;
- *Development of a regional approach and improved coordination* for the implementation of various fisheries-related instruments (e.g., International Plans of Action);
- *Facilitate trade and investment opportunities* by promoting market access for safe and sustainably harvested fisheries products and seafood amongst APEC economies; and
- *Cooperation and partnership* with other APEC working groups (e.g., MRCWG) and international organizations where interests intersect.

## 6. Priority Activities

The current priorities of the FWG are focused on meeting Ministerial and APEC Leaders' priorities, including ensuring the implementation of the BPA. As such, FWG priority activities are designed to promote:

- Implementing the ecosystem-based approach to management, including building the knowledge and capacity to address emerging issues such as climate change;
- Securing sustainable fisheries and aquaculture production, which includes addressing IUU fishing, destructive fishing practices, capacity issues and harmonization of standards;
- Meeting safety and quality standards in processing through application of relevant Codes of Conduct and traceability measures; and
- Facilitating trade and investment liberalization and access to markets.

## 7. Outcomes

FWG activities are designed to lead to the following outcomes:

- Effective conservation and sustainable management of living marine resources;
- Improved facilitation of free and open trade and investment in the fisheries sector;
- Development of a shared understanding of environment and economic factors affecting the fishing industries in the region; and
- Enhanced economic and technical cooperation.

## **FWG Structure and Working Arrangement**

### 1. Membership

All member economies of APEC are members of the FWG. Invitation and participation of non-members at meetings and activities of the FWG shall be in accordance with current APEC guidelines on this matter.

### 2. Structure

- i. The FWG will select, by consensus, a Lead Shepherd who will serve (on a volunteer basis) a two-year term in accordance with SCE recommendations. The duties of the Lead Shepherd are as follows:
  - Coordinate the schedule and chair meetings;
  - Lead the implementation of the Action Program and other activities to fulfill instructions given by APEC Leaders, Ministers and Senior Officials and report to Senior Officials on progress on these activities;
  - Oversee the development of FWG activities, ensuring that the work is responding to Leaders and Ministers priorities;
  - Coordinate with other APEC fora, and enhance the quality of project proposals with well-defined outcomes; and

- Act as the spokesperson for the relevant working group or APEC fora.
- ii. If the Lead Shepherd is unable to continue with his/her duties, a new Lead Shepherd will be selected (on a volunteer basis).
- iii. The Lead Shepherd of the FWG may designate a person who will assist him/her in the day-to-day work relating to the FWG.
- iv. The Lead Shepherd of the FWG will represent or designate a competent person to represent the FWG to participate, as appropriate, in various APEC fora and other fisheries-related regional and international meetings and fora.

### **3. Meeting Arrangement**

- i. The FWG shall meet once annually, at the time and place to be determined through consultations among members.
- ii. The activities of both the FWG and Marine Resource Conservation Working Group center on the marine environment. With several areas of mutual interests and as agreed to by both working groups, the two groups will hold, along with their individual meetings, an annual joint meeting in order to facilitate cooperation.
- iii. Notwithstanding sub-paragraph i, with the request of at least four members and seconded by the majority of the members, the Lead Shepherd may call for a special meeting.

### **4. Relation with Other APEC Fora, the Private Sectors and International Financial Institutions and Other International Organizations**

The FWG encourages private sector participation and cooperation in the forum's activities, especially through their involvement in member economies' projects.

The FWG will continue dialogue and strengthen cooperation with international financial institutions (IFIs) through the current framework of APEC-IFI Dialogue.

In addition, the FWG will work closely with other international or regional fisheries organizations as appropriate, to promote the objectives of the FWG.

### **5. Review of Achievements and Reporting Requirements**

The Fisheries Working Group will voluntarily review its mandate and operations as required as its work is completed, or as new issues appear. In addition, and as part of the recommendation 12 of the SCE Fora Review, the FWG will be independently assessed every four years according to the Independent Assessment Schedule endorsed by the SCE.

The FWG will review its achievements and project outcomes from time to time against its objectives and priorities, and welcomes review from the SCE. The group will report annually through the SCE Fora Report or as requested by SOM.

---

## **APPENDIX G**

### **COMPARISON OF WORKING GROUP TOR AGAINST APEC GOALS/OBJECTIVES AND ECOTECH PRIORITIES**

---

## Appendix G: Comparative Assessment between FWG and MRCWG Terms of Reference against APEC Goals and Objectives and SCE Priorities

Table A: Fisheries Working Group

TOR Component	Links to APEC Goals & Objectives	Links to the 10 ECOTECH Priorities	Links to the 5 Medium-term ECOTECH Priorities
<p><i>Vision:-</i> The FWG's vision for APEC economies' fisheries is: Well-managed fisheries and aquaculture that yield optimal economic value to support sustainable communities and livelihoods in APEC members' economies, while ensuring the long-term conservation and sustainable use of those resources.</p>	Consistent with APEC Goals & Objectives.	N/A TOR only developed in 2010.	Broadly supports priority 2, 3 and 5.
<p><i>Mission:-</i> Open exchange of information and ideas, and promotion of enhanced understanding of shared challenges and best practices, both through policy discussions and programming choices to enable wise management, good governance and sound commercial arrangements of fisheries and aquaculture.</p>	Consistent with APEC Goals & Objectives.	N/A TOR only developed in 2010.	Broadly supports priority 3 & 4.
<p><i>Objectives:-</i> The FWG will make its contribution to APEC members and others in the Asia-Pacific by meeting the following objectives:</p> <ul style="list-style-type: none"> <li>• Advancing APEC strategic objectives and responding to emerging regional priorities;</li> <li>• Supporting and promoting domestic implementation of sustainable practices across the seafood value chain;</li> <li>• Supporting the development and regional implementation of global fisheries and aquaculture practices that help ensure sustainability and an economically viable industry; and</li> <li>• Supporting and promoting trade liberalization and facilitation in fish and fisheries products to eliminate distortions and barriers that restrict access to markets.</li> </ul>	<p>Consistent with APEC Goals &amp; Objectives.</p> <p>Uncertain how well the work of the group has delivered on objectives 2-4 when contrasted against project outcomes.</p>	N/A TOR only developed in 2010.	Supports or broadly supports priority 1,2, 3 and 5.
<p><i>Mandate:-</i> The working group's mission and objectives will be delivered through the following mandate, which will frame the development and delivery of a program of work consistent with APEC parameters:</p> <ul style="list-style-type: none"> <li>- <i>Exchange of information</i> and helping to foster institutional capacity building in a focused regional setting;</li> <li>- <i>Advancing the debate, and development of solutions</i> of common resource management problems;</li> <li>- <i>Development of projects</i>, which will be managed and evaluated by the FWG according to Leaders' and Ministers' directives, and the projects' adherence to the SCE guidelines and procedures;</li> <li>- <i>Development of a regional approach and improved coordination</i> for the implementation of various fisheries-related instruments (e.g., International Plans of Action);</li> <li>- <i>Facilitate trade and investment opportunities</i> by promoting market access for safe and sustainably harvested fisheries products and seafood amongst APEC economies; and</li> <li>- <i>Cooperation and partnership</i> with other APEC working groups (e.g., MRCWG) and international organizations where interests intersect.</li> </ul>	Consistent with APEC Goals & Objectives.	N/A TOR only developed in 2010.	Broadly supports but not easy to make direct connections due to the ambiguous wording of this component of the TOR. Thus can result in broad interpretations, which could be unhelpful.
<p><i>Priority Activities:-</i> The current priorities of the FWG are focused on meeting Ministerial and APEC Leaders' priorities, including ensuring the implementation of the BPA. As such, FWG priority activities are designed to promote:</p> <ul style="list-style-type: none"> <li>- Implementing the ecosystem-based approach to management, including building the knowledge and capacity to address emerging issues such as climate change;</li> <li>- Securing sustainable fisheries and aquaculture production, which includes addressing IUU fishing, destructive fishing practices, capacity issues and harmonization of standards;</li> <li>- Meeting safety and quality standards in processing through application of relevant Codes of Conduct and traceability measures; and</li> <li>- Facilitating trade and investment liberalization and access to markets.</li> </ul>	Consistent with APEC Goals & Objectives.	N/A TOR only developed in 2010.	Broadly supports priorities 1, 3 and 5 whilst appearing to have no connection to priority 2 or 4.

<p><i>Outcomes:-</i>          FWG activities are designed to lead to the following outcomes:</p> <ul style="list-style-type: none"> <li>- Effective conservation and sustainable management of living marine resources;</li> <li>- Improved facilitation of free and open trade and investment in the fisheries sector;</li> <li>- Development of a shared understanding of environment and economic factors affecting the fishing industries in the region; and</li> <li>- Enhanced economic and technical cooperation.</li> </ul>	Consistent with APEC Goals & Objectives.	N/A TOR only developed in 2010.	Broadly supports. Evidence globally would suggest that although admirable the first identified outcome is not being achieved.
<p><i>Note: TOR content above extracted from Working Group TOR Prepared in 2010.</i></p>			

*Table B: Marine Resource Conservation Working Group*

<b>TOR Component</b>	<b>Links to APEC Goals &amp; Objectives</b>	<b>Links to the 10 ECOTECH Priorities</b>	<b>Links to Medium term ECOTECH Priorities</b>
<p><i>Goal:-</i>  <b>The goal of the MRCWG is to facilitate a balanced policy and program agenda for the sustainability of the marine environment to ensure that marine resources are protected and sustainably used by current and future peoples of the APEC region, based on the APEC vision of free and open trade and investment.</b>            This goal recognizes that APEC economies are united by oceans and seas and that the health of the marine environment is particularly crucial for food security, poverty alleviation and sustainable and equitable economic growth, as well as environmental and resource sustainability in the Asia-Pacific region.</p>	Consistent with APEC Goals & Objectives.	N/A TOR revised in mid 2008 where it would need to be consistent more so with the refined SCE Priorities.	Demonstrates broad recognition of all priorities.
<p><i>Objectives:-</i>  <b>The overarching objectives for the MRCWG are to:</b></p> <ul style="list-style-type: none"> <li>- ensure the sustainability of the marine environment and its resources through:             <ul style="list-style-type: none"> <li>(a) understanding oceans, seas and coasts; and</li> <li>(b) managing the marine environment sustainably;</li> </ul> </li> <li>- provide for sustainable economic benefits from the oceans; and</li> <li>- enable sustainable development of coastal communities.</li> </ul>	Consistent with APEC Goals & Objectives.	As above.	Broadly supports priorities 2 and 3.
<p><i>Priority Activities:-</i>  <b>To meet these objectives the MRCWG will focus on developing and implementing policy, projects and actions to:</b></p> <ul style="list-style-type: none"> <li>- apply an ecosystem-based approach to coastal and marine decision-making;</li> <li>- support scientific collaboration and research;</li> <li>- improve marine environmental quality and standards, including by the prevention, control and reduction of marine pollution;</li> <li>- support regional and domestic efforts that contribute to the work and priorities of relevant international bodies, organizations, instruments and non-binding arrangements;</li> <li>- improve regional cooperation for the responsible care of oceans and coasts;</li> <li>- improve cooperation and coordination on marine-related matters among APEC fora;</li> <li>- accelerate efforts to address environmental threats to marine-related trade and investment;</li> <li>- facilitate capacity building through technology transfer, training, sharing of best practices and education; and</li> <li>- respond to emerging APEC priorities.</li> </ul>	Consistent with APEC Goals & Objectives.	As above.	Broadly supports priorities 1, 3 and 4. Perhaps a closer correlation to ECOTECH priorities than FWG in terms of this TOR Component. This component also demonstrates a strong recognition for enhancing collaboration and cooperation with other entities, not strongly adopted in the FWG TOR.
<p><i>Outcomes:-</i>  <b>These policy responses, projects and actions by the MRCWG will lead to the following outcomes which include improved:</b></p> <ul style="list-style-type: none"> <li>- food safety and security;</li> <li>- environmental health;</li> <li>- knowledge and understanding;</li> <li>- regional cooperation and harmonization;</li> <li>- human capacity including recognition of the importance of gender equity; and</li> <li>- facilitation of free and open trade and investment/economic and technical cooperation</li> </ul>	Consistent with APEC Goals & Objectives.	As above.	Mostly acknowledges priorities 1, 3 and 5. Note these outcomes appear to be more achievable than some of those contained in the FWG TOR.

*Note: TOR content above extracted from Working Group TOR Prepared revised and approved in 2008*

---

## **APPENDIX H**

### **MARINE RESOURCE CONSERVATION**

#### **TERMS OF REFERENCE**

**REVISED AS AT 2008**

---

**APEC Marine Resources Conservation Working Group**  
**Revised Terms of Reference**

**Context**

The sustainable development of marine resources, tourism, industries, construction, and related employment is key to generating wealth from private sector investment and trade. As the majority of the world's population lives close to the coast, coastal areas alone contain some of APEC economies' most valuable assets – biological resources, tourism opportunities and other jobs. The Marine Resources Conservation Working Group (MRCWG) addresses marine and coastal sustainable economic development concerns and activities in the Asia-Pacific region by providing marine resources conservation economic and technical expertise. Such expertise is critical given that marine and coastal sustained economic development is a valuable contribution to the region and economies' GDPs.

Our Economies, which account for 57% of global GDP and 45% of the global population, also account for over 75% of the world's capture fisheries, over 90% of world aquaculture production, 70% of the world's global consumption of fish products, and account for 47% of world trade. An APEC MRCWG aquaculture report notes that over 90 percent of world aquaculture production is carried out and marketed within the APEC region, a market value of about \$58 billion in 2005. Also, the United Nations Environment Program reports that the estimated value of every square kilometer of healthy coral reef is between \$100,000 - \$600,000 a year.

Currently the priority frameworks for implementation by the MRCWG are the Seoul Ocean Declaration (2002), the Revised MRCWG Strategic Framework (2005) and the Bali Plan of Action (2005). Guided by these frameworks, the following ToR and a regular process of review, the MRCWG will be able to respond to current and emerging priorities as identified by APEC leaders and ministers. [[www.apec.org/apec/apec\\_groups/working\\_groups/marine\\_resource\\_conservation.html](http://www.apec.org/apec/apec_groups/working_groups/marine_resource_conservation.html)]

**Goal**

The goal of the MRCWG is to facilitate a balanced policy and program agenda for the sustainability of the marine environment to ensure that marine resources are protected and sustainably used by current and future peoples of the APEC region, based on the APEC vision of free and open trade and investment.

This goal recognizes that APEC economies are united by oceans and seas and that the health of the marine environment is particularly crucial for food security, poverty alleviation and sustainable and equitable economic growth, as well as environmental and resource sustainability in the Asia-Pacific region.

**Objectives**

The overarching objectives for the MRCWG are to:

- ensure the sustainability of the marine environment and its resources through:
  - (c) understanding oceans, seas and coasts; and
  - (d) managing the marine environment sustainably;
- provide for sustainable economic benefits from the oceans; and
- enable sustainable development of coastal communities.

**Priority Activities**

To meet these objectives the MRCWG will focus on developing and implementing policy, projects and actions to:

- apply an ecosystem-based approach to coastal and marine decision-making;
- support scientific collaboration and research;
- improve marine environmental quality and standards, including by the prevention, control and reduction of marine pollution;
- support regional and domestic efforts that contribute to the work and priorities of relevant international bodies, organizations, instruments and non-binding arrangements



- improve regional cooperation for the responsible care of oceans and coasts;
- improve cooperation and coordination on marine-related matters among APEC fora;
- accelerate efforts to address environmental threats to marine-related trade and investment;
- facilitate capacity building through technology transfer, training, sharing of best practices and education; and
- respond to emerging APEC priorities.

## **Outcomes**

These policy responses, projects and actions by the MRCWG will lead to the following outcomes which include improved:

- food safety and security;
- environmental health;
- knowledge and understanding;
- regional cooperation and harmonization;
- human capacity including recognition of the importance of gender equity; and
- facilitation of free and open trade and investment/economic and technical cooperation.

## **Operational Considerations**

### **1. Membership**

Membership in the MRCWG is open to all APEC economies. Invitation and participation of non-members at meetings and activities of the MRCWG shall be in accordance with current APEC guidelines on this matter.

### **2. Lead Shepherd**

#### **(a) Selection**

The MRCWG will select a Lead Shepherd who will have a minimum two-year term (two calendar years). Exceptions to this rule require approval by the MRCWG as well as the Steering Committee on ECOTECH (SCE).

If the Lead Shepherd is unable to continue with his/her duties, a new Lead Shepherd will be selected.

At the last meeting, within the timeframe of the two-year term, a new Lead Shepherd will be selected, on voluntary basis by the MRCWG.

A Lead Shepherd should not normally serve for more than two consecutive two-year terms.

#### **(b) Duties**

The duties of the Lead Shepherd are to:

- coordinate the schedule and chair meetings as well as prepare reports of the meeting;
- lead the implementation of activities to fulfill instructions given by APEC Leaders, Ministers and Senior Officials and report to Senior Officials on the development of these issues;
- oversee the development of activities ensuring that the work is responding to Leaders and Ministers priorities;
- report as required to the SCE;
- liaise with the APEC secretariat, other APEC fora, particularly the Fisheries Working Group (FWG), and international organizations to enhance the quality of activities including project proposals with well defined outcomes and track the progress of project implementation;
- designate a person who will assist him/her in the day-to-day work relating to the MRCWG, if needed; and,
- With the endorsement of MRCWG and SOM, attend or designate a competent person to represent the MRCWG in various APEC fora and other oceans-related regional and international meetings and fora.

### **3. Working Group Meetings**

#### **(a) Frequency**

The MRCWG meetings are normally held once a year. These meetings will be coordinated with the Fisheries Working Group (FWG) to facilitate the holding of annual concurrent and joint meetings to enable collaboration and close consultation, particularly on areas of mutual interest and to indicate a clearer link with broader APEC priorities.

**(b) Hosting**

The MRCWG members are encouraged to offer to host the meetings, noting that members should bear their own travel expenses, while the host of the meeting is expected to provide the necessary facilities for the meeting as outlined in APEC guidelines.

**(c) Agenda**

A draft agenda shall be prepared by the Lead Shepherd in consultation with the host economy, and circulated to economies for comment.

**(d) Access to documents**

Unless otherwise agreed by the MRCWG, access to WG documents will be guided by the general policies of APEC on this matter.

**(e) Distribution of meeting papers**

The MRCWG members may present any paper or proposal in written form at any time, either through the APEC information management portal (AIMP) or provided directly to the Lead Shepherd or all WG members, noting that consideration of the paper is likely to be more constructive if ample time, ideally a minimum of two weeks, is given for review by economies.

**4. MRCWG projects**

The priority, management and evaluation of projects will be considered by the MRCWG against Leaders' and Ministers' directives, and the projects' adherence to the SCE guidelines and procedures.

To ensure complementarities and to avoid duplication with projects undertaken by the FWG, and/or other relevant WGs, project proposals will be made available to those WGs by the Lead Shepherd.

A Project Evaluation Team, usually consisting of three MRCWG member economies, will assess project proposals to ensure appropriate quality control for those proposals submitted for consideration by SCE as per the current APEC guidelines. The membership of the Project Evaluation Team will be agreed at the annual MRCWG meeting.

Self-funded projects and activities of individual economies that meet the directives and guidelines above are especially encouraged.

**5. Critical Relationships**

To achieve more efficient and widely accepted outcomes of the MRCWG's outputs, stakeholders such as marine based industries and civil society are consulted and/or engaged in the MRCWG's work. An example of such involvement facilitated by the MRCWG has been the holding of annual business roundtables.

The MRCWG also collaborates with a range of regional and international organizations and bodies as appropriate. This collaboration contributes to the consideration of APEC priorities and objectives, such as free trade and investment. It also provides a unique role for regional implementation while avoiding duplication.

MCR will continue to collaborate with the FWG, and endeavour to develop some projects that will address the objectives of both working groups and align with APEC priorities.

**6. Periodic Review of the MRCWG**

The MRCWG will conduct a review of its mandate and operations every four years. The MRCWG will be independently assessed according to the Independent Assessment Schedule endorsed by the SCE.