



# International Guidelines for Securing Sustainable Small-scale Fisheries

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**Zero Draft**

May 2012



Food and Agriculture Organization of the United Nations



## *Preparation of this document*

The 'Zero Draft' of the *International Guidelines for Securing Sustainable Small-scale Fisheries (SSF Guidelines)* has been prepared based on the outcomes of the extensive consultation process that has taken place during the last few years. This preliminary draft text draws in particular on the *Discussion Document: Towards Voluntary Guidelines on Securing Sustainable Small-scale Fisheries* – prepared as a stock-taking exercise by the FAO SSF Guidelines Secretariat in July 2011 and the contributions to and the outcomes of the *FAO Workshop on International Guidelines for Securing Sustainable Small-scale Fisheries* held on 7-10 February 2012 in FAO, Rome.<sup>1</sup> It has been prepared to stimulate further consultations among all concerned parties. The outcomes of these additional consultations will provide guidance to the FAO Secretariat when preparing the text of the SSF Guidelines that will be submitted as a draft to the formal inter-governmental negotiation process tentatively scheduled for May 2013.

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<sup>1</sup> Reports from individual consultation meetings and other relevant documentation, including the FAO SSF Discussion Document, are available at the FAO Secretariat's website <http://www.fao.org/fishery/ssf/guidelines/en> (also in French, Spanish and Arabic) and at the website for preparatory workshops of civil society organisations (CSOs) <https://sites.google.com/site/smallscalefisheries/>

## Preamble

The SSF Guidelines should be considered a supplement to the *Code of Conduct for Responsible Fisheries* (CCRF, 1995) and adhere to the basic principles of this instrument. As the SSF Guidelines are linked to and make reference also to other international instruments, the structure and some of the wording of this Zero Draft has been inspired by the text in, for example, the *Voluntary Guidelines on the Progressive Realization of the Right to Adequate Food in the Context of National Food Security* (the *Right to Food Guidelines*) and the *Voluntary Guidelines on Responsible Governance of Tenure of Land, Fisheries and Forests in the Contexts of National Food Security* (the *Tenure Guidelines*), negotiated through the Committee on World Food Security (2012).

Partners and stakeholders reviewing this document are requested not only to consider its technical contents but also to examine the appropriateness of:

- The proposed **title** of the Guidelines: *International Guidelines for Securing Sustainable Small-scale Fisheries*.
- The **length** of the document: approximately 8 700 words. This can be compared with the CCRF (10 700 words), the Right to Food Guidelines (9 300 words) and the Tenure Guidelines (12 700 words).
- Its **overall structure**, including the *Preface, Introduction (Objectives, Nature and scope, Relationships with other instruments, and General principles)*, the two parts (*Responsible fisheries and sustainable development* and *Ensuring an enabling environment and supporting implementation*) and their sections according to thematic areas.
- The **style and language** used.
- The structure of the individual sections with an introductory paragraph followed by recommendations to **stakeholder groups**: *All parties* (more general recommendations), *States* and *Small-scale fisheries actors*.<sup>2</sup>

This document also includes two appendices (*APPENDIX 1: GLOSSARY* and *APPENDIX 2: INTERNATIONAL INSTRUMENTS RELEVANT TO SMALL-SCALE FISHERIES*) to facilitate the consultation process. These appendices are however unlikely to be included in the final negotiated document.

*The chapters or sections in this document begin with a box briefly explaining the purpose of the section. These boxes are not suggested to form part of the final SSF Guidelines but are included in the Zero Draft document as a matter of clarification.*

<sup>2</sup> As noted in the sub-section on Nature and scope (see below), the proposed target audience of the SSF Guidelines includes also 'research and academic institutions, the private sector, non-governmental organisations (NGOs) and all others concerned with the fisheries sector, coastal and rural development and the use of the aquatic environment'. However, since the formal negotiations on the guidelines is likely to only include representatives of States and CSOs (small-scale fisheries actors), specific recommendations are directed only to these two groups.

**All stakeholders are welcome to send comments and suggestions by January 2013 in English, French or Spanish to the following email address: [VG-SSF@fao.org](mailto:VG-SSF@fao.org).**

For more information on the SSF Guideline development process visit the following website:  
[www.fao.org/fishery/ssf/guidelines/en](http://www.fao.org/fishery/ssf/guidelines/en).

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## ABBREVIATIONS AND ACRONYMS

CBD	Convention on Biological Diversity
CCA	Climate Change Adaptation
CCRF	Code of Conduct for Responsible Fisheries
CEDAW	Convention on the Elimination of all forms of Discrimination Against Women
CSO	Civil Society Organisation
DRM	Disaster Risk Management
EAF	Ecosystem Approach to Fisheries
ESCR (Covenant)	International Covenant on Economic, Social and Cultural Rights
ICT	information and Communication Technologies
IGO	Inter-Governmental Organization
ILO	International Labour Organization
IMO	International Maritime Organization
ISDR	International Strategy for Disaster Reduction
IUU (fishing)	Illegal, unregulated and unreported (fishing)
MCS	Monitoring, Control and Surveillance
MDGs	Millennium Development Goals
NGO	Non-Governmental Organization
MPA	Marine Protected Area
RFB	Regional Fishery Body
SSF	Small-Scale Fisheries
UDHR	Universal Declaration of Human Rights
UN	United Nations
UNFCCC	United Nations Framework Convention on Climate Change
UNCLOS	United Nations Convention on the Law of the Sea
WSSD	World Summit on Sustainable Development

## PREFACE

*This section provides a brief background to the SSF Guidelines outlining the role and importance of the small-scale fisheries sector and hence justifying why the Guidelines are needed. It also gives a brief summary of the process by which the Guidelines have been developed and how they relate to other relevant policy frameworks.*

The small-scale fisheries sector is a diverse and dynamic sector and its characteristics vary from one location to another. It tends to be strongly anchored in local communities reflecting their traditions and values. Many small-scale fishers and fish workers (employed in associated jobs, in particular in fish processing, distribution and marketing) are self-employed and engaged both in directly providing food for their household and in commercial fishing, processing and marketing.

The importance of small-scale fisheries and their role as a contributor to poverty alleviation, food and nutrition security, and economic growth are increasingly being recognised. Small-scale fisheries generate income, provide food for local, national and international markets and make important contributions to nutrition. They employ over 90 percent of the world's capture fishers and fish workers about half of which are women. In addition to full and part time fishers and fish workers, seasonal or occasional fishing and related activities often provide vital supplements to other livelihood activities, in times of difficulties or as a recurrent side-line activity. Small-scale fisheries contribute about half of global fish catches and when considering catches destined for direct human consumption, the share contributed by the sector increases to two-thirds. Inland fisheries are particularly important in this respect with small-scale fisheries food fish production dominating the sub-sector.

For many small-scale fishers and fish workers, the sector represents a way of life and it embodies a diversity and cultural richness that is of global significance. Still, in spite of their importance, many fishing communities in coastal and inland areas continue to be marginalized and their contribution to livelihood security, economic development and resource sustainability – benefitting themselves as well as others – is hampered.

Constraints to and challenges in achieving sustainable development in small-scale fishing communities include their often remote location, limited access to social and other services as well as markets, low levels of education and inadequate organisational structures which make it difficult for them to make their voices heard. Many small-scale fisheries are effectively unregulated, unreported and poorly monitored, especially in developing countries and inland water areas. Customary practices for allocation and sharing of resource benefits that generally used to be in place in small-scale fisheries have often been eroded because of centralised fisheries management systems, technology development and demographic changes. Pollution, environmental degradation, climate change impacts, natural and man-made disasters and overexploitation of resources add to the threats faced by small-scale fishing communities. In some places, conflicts with large-scale fishing operations are an issue and there is increasingly high interdependence of and competition

between small-scale fisheries with other sectors such as tourism, aquaculture, agriculture, energy, mining, industry and infrastructure.

These *International Guidelines for securing sustainable small-scale fisheries* (SSF Guidelines) are intended to support the enhancement of the sector's already important role and contribute to global and national efforts towards the eradication of hunger and poverty. The SSF Guidelines intend to support small-scale fisheries governance and development for the benefit of current and future generations, with an emphasis on vulnerable and marginalised people.

The SSF Guidelines were developed through a participatory and consultative process, involving representatives of small-scale fishing communities, civil society organisations (CSOs), governments, regional organisations and other stakeholders. They are consistent with, complement and support other international instruments and commitments such as the Code of Conduct for Responsible Fisheries (CCRF), the Voluntary Guidelines on Responsible Governance of Tenure of Land, Fisheries and Forests in the Contexts of National Food Security (the Tenure Guidelines) and international human rights instruments. Users of the SSF Guidelines – including States, small-scale fisheries actors and other stakeholders – are encouraged to also consult these and other relevant instruments for their applicable obligations, voluntary commitments and additional guidance.

## PART 1: INTRODUCTION

*This chapter states the purpose and objectives of the SSF Guidelines. It replies to overall questions about what the SSF Guidelines are, who they are for, what they are intended to apply to and their scope, and discusses the characterisation of the small-scale fisheries sector and the need to define the sector in the local and national context. The section clarifies how the SSF Guidelines link to other relevant international instruments and outlines the general principles on which the SSF Guidelines are based and that should guide their implementation.*

### 1. OBJECTIVES

- 1.1. These SSF Guidelines seek to enhance the contribution of small-scale fisheries to poverty alleviation, food and nutrition security, and economic growth. They support the empowerment of small-scale fishing communities – including both men and women and vulnerable and marginalised groups – to participate in decision-making, receive and benefit from rights and assume responsibilities for sustainable resource utilisation and livelihoods development.
- 1.2. The objectives of the SSF Guidelines are to give advice and recommendations, establish principles and criteria, and provide information to assist all stakeholders (see section NATURE AND SCOPE below) involved in supporting improved governance and sustainable development of the small-scale fisheries sector. The SSF Guidelines seek to:
  1. Provide a comprehensive framework that enhances the understanding of the actions needed for small-scale fisheries governance and development and hence facilitate cooperation among those involved in and providing support to the sector.
  2. Establish principles and criteria for the elaboration and implementation of policies and strategies for the enhancement of small-scale fisheries governance and development, and provide practical guidance for implementation of these policies and strategies.
  3. Promote further research and the advancement of the knowledge on small-scale fisheries governance and development.
  4. Serve as a reference tool in the area of small-scale fisheries governance and development for the establishment or improvement of required institutional structures and processes, and capacity development.

### 2. NATURE AND SCOPE

- 2.1. These SSF Guidelines are voluntary in nature and apply to small-scale fisheries in all contexts but focus mainly on the needs of developing countries and seek to facilitate and promote local solutions when circumstances so require. They are relevant to small-scale fisheries both in marine and inland waters and apply to all parts of the fishery system, i.e. fish workers in up and downstream activities in addition to fishing operations and fishers.

- 2.2. The SSF Guidelines are directed towards States, i.e. governments of FAO member and non-member States at all levels and scales (national, provincial and local governments as well as implementing agencies and judicial authorities) including subregional, regional and international governmental organisations (IGOs), and small-scale fisheries actors, i.e. fishers, fish workers, their communities and related professional organisations and CSOs. They are also aimed at research and academic institutions, the private sector, non-governmental organizations (NGOs) and all others concerned with the fisheries sector, coastal and rural development and the use of the aquatic environment. Accordingly, the SSF Guidelines can be used by all parties, i.e. all persons, institutions and organisations involved in or interested in small-scale fisheries governance and development.
- 2.3. The SSF Guidelines recognise the great diversity of small-scale fisheries and that there is no globally agreed definition of the sector. Accordingly, the SSF Guidelines do not prescribe a universal definition of small-scale fisheries. However, it is important to define, at a regional, sub-regional or national level or in each particular context, what activities and operators that are considered small-scale to ensure transparency and accountability in the application of the SSF Guidelines.
- 2.4. Small-scale fisheries are characterised by a high degree of importance of fishing and associated activities as part of a way of life and of a culture, and by dependence on aquatic resources for traditional livelihoods. Consideration of the geographic origin of fishers, fish workers and their communities, their knowledge and the technologies they use, ownership (boats, gear and other means of production) and fishing unit structures, and formal and informal labour relations can also help defining small-scale fisheries. Other criteria to take into account may include the type and size of the fishing craft or vessel and its engine (if the vessel is engine powered), what fishing grounds are used and duration of fishing trips, and how the catch is used and disposed of.
- 2.5. The development of a definition of small-scale fisheries should be guided by the particular context and by the objectives set for the sector. States should ensure participatory, consultative, multi-level and objective-oriented processes for defining small-scale fisheries and small-scale fishing communities, with the participation of all relevant stakeholders, ensuring that the voices of both men and women are heard. All parties should support and participate, as appropriate and relevant, in such processes.

### **3. RELATIONSHIP WITH OTHER INTERNATIONAL INSTRUMENTS**

- 3.1. These SSF Guidelines intend to promote the contribution of small-scale fisheries to the fulfilment of the Millennium Development Goals (MDGs), the outcomes of the 2012 United Nations Conference on Sustainable Development (Rio+20) with regard to the three pillars – social, economic and environment – of sustainable development and other commitments to poverty alleviation, food and nutrition security, and economic growth. They are in support of national, regional and international initiatives for poverty alleviation and equitable social and economic development, and for improving governance of fisheries and promoting sustainable

resource utilisation in the spirit of the CCRF. They are complementary to other international instruments with similar purposes – in particular those related to human rights, sustainable development and responsible fisheries – and do not intend to alter their provisions or related commitments but to add clarity with regard to their implementation in respect of small-scale fisheries.

- 3.2. The SSF Guidelines should hence be interpreted and applied in accordance with existing obligations under national and international law, and with due regard to voluntary commitments under applicable regional and international instruments. However, where national legislation is inconsistent with the provisions of the SSF Guidelines, the SSF Guidelines may guide amendments and inspire new legislative provisions as well as help supplement customary norms and regulations. Still, nothing in these SSF Guidelines should be read as limiting or undermining any legal obligations to which a State may be subject under international law.

## 4. GENERAL PRINCIPLES

- 4.1. These SSF Guidelines are based on the principles of good governance and human rights. The Guidelines adhere to the framework provided by the CCRF and recognise the Ecosystem Approach to Fisheries (EAF) as an important guiding principle, embracing the notions of participation, comprehensiveness and sustainability of all parts of ecosystems – including people’s livelihoods.
- 4.2. All parties should recognise the interdependence of democracy, economic development, and human rights, and promote participation, accountability, non-discrimination, transparency, human dignity, empowerment and rule of law (recourse) as stipulated in the Universal Declaration of Human Rights and other relevant human rights instruments. Everyone – including disadvantaged groups – has legally mandated rights and should be enabled to claim and benefit from them. Equitable development is fundamental and gender equality and respect of all should be promoted.
- 4.3. All parties should recognise small-scale fishing communities’ role as a provider of food, income and livelihoods as well as contributor to economic and social development.
- 4.4. Accordingly, the following principles should guide the implementation of the SSF Guidelines:
  1. **Human dignity**, recognising the inherent dignity and the equal and inalienable human rights of all individuals.
  2. **Respect of cultures**, recognising – within the framework of human rights – existing forms of organization, traditions, local norms and practices as well as customary rights of small-scale fishing communities, including indigenous peoples.
  3. **Non-discrimination and inclusiveness**, using preferential treatment when required for achieving equitable outcomes for all, men and women, including vulnerable and marginalised people.

4. **Equity and equality**, ensuring justice and fair treatment – both legally and in practice – of all people, including equal rights of women and men to the enjoyment of all human rights, while acknowledging differences between women and men and taking specific measures aimed at accelerating *de facto* equality when necessary. Gender concerns and perspectives and empowerment of women as well as vulnerable and disadvantaged groups should be integrated in policies, programmes and activities.
5. **Social responsibility**, promoting community solidarity and collective and corporate responsibility. The fostering of an environment that promotes collaboration among stakeholders should be promoted.
6. **Consultations and participation**, vesting participatory decision-making at the lowest possible decentralized level (principle of subsidiarity), and engaging with and seeking the support of and inputs from those who could be affected by decisions prior to decisions being taken, and responding to their contributions. Effective consultations should take place with indigenous peoples in order to obtain their free, prior and informed consent under the United Nations Declaration of Rights of Indigenous for decisions that may affect them.
7. **Holistic and integrated approaches**, ensuring cross-sectoral coordination recognising that the small-scale fisheries sector is closely linked to many other sectors. Moreover, natural resources and ecosystem management and social and economic development needs to be combined and equal consideration of the environment and social and economic development needs should be given.
8. **Sustainability**, applying the precautionary approach and risk management to guard against undesirable outcomes, including not only overexploitation of fishery resources and negative environmental impact but also unacceptable social and economic consequences. Sustainability is a key concept that is valid both for bioecological aspects and human dimensions.
9. **Transparency, rule of law and accountability**, ensuring that policies, legislation and procedures are clearly defined and communicated, and applicable to all and equally enforced, and that individuals, States and non-state actors are held responsible for their decisions and actions.
10. **Feasibility and economic viability**, ensuring that policies, strategies, plans and actions for improving small-scale fisheries governance and development are sound and rational, informed by existing conditions, implementable and adaptable to changing circumstances.

## PART 2: RESPONSIBLE FISHERIES AND SUSTAINABLE DEVELOPMENT

### 5. GOVERNANCE OF RIGHTS, RESOURCE MANAGEMENT AND STEWARDSHIP

*This section addresses the need for small-scale fishing communities to have secure rights to fishery resources and land as well as the ability to benefit from them in order to sustain their livelihoods. The aquatic resources, on which they depend, need to be sustainably used, requiring effective management and stewardship regimes in which small-scale fishing communities play a key role.*

- 5.1. These SSF Guidelines recognise the need for small-scale fishing communities to have secure access to the resources that form the basis for their livelihoods, including both water – including fishery resources as well as related ecosystems – and land. The SSF Guidelines acknowledge the necessity of a sustainable use of aquatic and other natural resources and of the need to fulfil the right to development by meeting both developmental and environment needs of present and future generations. Small-scale fisheries governance and development should be guided by the principles and approaches of EAF. Rights and responsibilities should be bestowed on small-scale fishing communities to restore, protect and manage local aquatic and coastal ecosystems on which they depend for their well-being and that they have used traditionally for their livelihoods. In order to eliminate illegal or unethical activities and practices threatening livelihoods and resource sustainability, participatory stewardship regimes involving small-scale fishing communities should be promoted. There should be an equitable distribution of the benefits yielded from responsible management of fisheries, rewarding both men and women and vulnerable and marginalised groups.
- 5.2. All parties should recognise that small-scale fishing communities need secure use rights to the fishery resources that form the basis of their livelihoods.<sup>3</sup> They also need secure tenure rights to land in the coastal/waterfront area – for ensuring and facilitating access to the fishery, for accessory activities (including processing and marketing), and for housing and other livelihood support.
- 5.3. Accordingly, States should ensure that small-scale fishers and fish workers and their communities have the necessary rights to fishery resources and land. These rights need to include both use rights and management rights<sup>4</sup> and fisheries co-management should be promoted, empowering small-scale fisheries actors to take part in decision-making affecting their livelihoods. New concepts for small-scale fisheries rights may be considered, e.g. livelihood community based rights reflecting the dual need for fishery resources and land and linking the rights to basic livelihood needs. The process of defining, bestowing and upholding rights should be based on good governance, in particular the principles of subsidiarity and transparency.

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<sup>3</sup> Use rights are the rights held by individual fishers, fishing groups, fishing communities or companies to have access to a fishery and use the fishery resources.

<sup>4</sup> Management right is the right to be involved in the management of a fishery (or of a water resource or ecosystem).

- 5.4. Small-scale fisheries actors should recognise that rights and responsibilities come together. They should endeavour to be represented in relevant local and national professional and sector bodies (e.g. fisheries and coastal resources management and/or advisory bodies and councils) and actively take part in all decision and policy making processes open to them.
- 5.5. Small-scale fisheries actors should contribute to a sustainable utilisation of the resources to which they have use rights. Destructive and illegal fishing methods or other practices that are harmful to the environment or unsustainable should be replaced by responsible practices.
- 5.6. States should ensure that the roles and responsibilities in co-management arrangements of concerned parties and stakeholders are clarified and agreed through a participatory process and that they have clear legal support. All parties should assume the roles in management that they have agreed to with responsibility. EAF practices and principles should apply, including the precautionary approach for sustainable fisheries and livelihoods.
- 5.7. States and small-scale fisheries actors should encourage and support the role and involvement of both men and women in co-management and in the promotion of responsible fisheries. Both fishers and fishworkers – including women boat owners, processors and traders – should be part of decision-making for resource management and conservation, contributing their particular knowledge, perspectives and needs.
- 5.8. States should ensure that the information and capacities necessary for managing the fisheries are available. States should support – in collaboration with NGOs and other relevant actors – the strengthening of capacities, including organizational development, of small-scale fisheries actors, involving both men and women, to participate in decision-making and co-management processes. Capacity development is also required for governments, in particular at the local level, and other stakeholders for ensuring successful co-management arrangements.
- 5.9. States should ensure that small-scale fishing communities' rights to fishery resources and land are legally protected. They should ensure that monitoring, control and surveillance (MCS) systems that are adequate for the small-scale fisheries sector are in place and provide support to such mechanisms, involving small-scale fisheries actors as appropriate and promoting participatory stewardship arrangements within the context of co-management. States should ensure that small-scale fishing communities are aware of their rights and have access to fair and effective legal systems.
- 5.10. States should recognise the increasing competition over fishery and other resources by different resource users. Small-scale fisheries in inland waters tend to be particularly vulnerable to the impact of other sectors (e.g. dams, and hydropower). Also coastal communities face competition from tourism and other developments. States should use cross-sectoral approaches, including spatial planning, in order to reconcile interests of different users, recognizing that small-scale fishers and fish workers are often the weaker party in conflicts and may require special attention. Mechanisms for resolving conflicts are needed and should be part of the national legal frameworks.

- 5.11. States should recognise that all people have the right to self-determination according to the International Covenant on Economic, Social and Cultural Rights. Accordingly, holders of rights to fishery resources and land should be allowed to decide how related benefits are used but with consideration of the needs of their communities.
- 5.12. Where States own or control water (including fishery resources) and land resources, they should determine the use and tenure rights of these resources in the light of broader social, economic and environmental objectives. Men and women should be treated equitably and fairly with regard to rights. States should, as applicable and in accordance with the Voluntary Guidelines on Responsible Governance of Tenure of Land, Fisheries and Forests in the Contexts of National Food Security, recognize and protect publically owned resources (water, including fishery resources, and land) that are collectively used and managed as well as the related collective use and management arrangements and mechanisms.
- 5.13. States should grant preferential use rights to fishery resources to fishers that employ responsible fishing practices and that are environmentally, socially and economically viable. Preferential rights should also be granted, when necessary, to achieve equitable outcomes for different groups of people, including vulnerable or disadvantaged groups. Moreover, reasonable claims for preferential and/or exclusive access to traditional fishing grounds for small-scale fishing communities should be supported, as appropriate. The need for local small-scale fishing communities to have preferential rights should be respected when considering entering into fishing agreements with foreign parties and countries.
- 5.14. States should consider redistributive reforms when these can facilitate equitable access to land and fishery resources. Redistribution may require expropriation of private water and land and should take place in accordance with the provisions of the Voluntary Guidelines on Responsible Governance of Tenure of Land, Fisheries and Forests in the Contexts of National Food Security. Local norms and practices as well as customary or otherwise preferential access to fishery resources and land, by small-scale fishing communities including indigenous peoples, should be recognised, respected and protected in ways that are consistent with human rights and the United Nations Declaration on the Rights of Indigenous Peoples.
- 5.15. States should ensure that concerned stakeholders, in particular small-scale fishing communities, are involved in designating, planning and implementing protected areas in marine (MPAs) and inland waters or other management measures affecting their livelihood options. Tenure and customary rights of small-scale fisheries should be recognised in this respect.
- 5.16. States should avoid policy measures, such as government financial transfers and other economic incentive schemes that may induce increased competition for resources and impact adversely on small-scale fisheries.
- 5.17. All parties should recognise the need to consider current and/or future climate change consequences in management arrangements and practices. Effective adaptive management mechanisms should be part of co-management plans and implementation.

- 5.18. Where transboundary and other similar issues exist, e.g. shared water and fishery resources, States should work together to ensure that the rights of small-scale fishing communities are granted and protected according to the same principals as in areas under national jurisdiction and described above. States should encourage cooperation through regional fishery bodies (RFBs) and basin commissions and support capacity development in such organisations to enhance their understanding of the small-scale fisheries sector.

## 6. SOCIAL DEVELOPMENT

*This section discusses the importance of the social development dimension of small-scale fisheries livelihoods. The issue of access to social services and the need for equality and equity are also dealt with.*

- 6.1. These SSF Guidelines recognise that where poverty exist in small-scale fishing communities, it is a multidimensional issue that is not only income-based but refers to a combination of lack of basic civil, cultural, economic, political and social rights. Small-scale fishing communities need access to the full spectrum of financial, social and institutional services and resources in addition to use and tenure rights to fishery resources and land. The SSF Guidelines support increased awareness and better understanding of the socioeconomic conditions and basic needs of fishing communities in general and of women, children, migrants, people under conflict or occupation, and other marginalized groups in particular. Social and economic equality and equity have to be promoted and there should be no discrimination of any kind as to race, colour, sex, language, religion, political or other opinion, national or social origin, property, birth or other status. All policies and actions addressing small-scale fisheries governance and development should be non-discriminatory in the context of promoting equitable outcomes and benefits.
- 6.2. All parties should recognise the need for integrated and holistic approaches to governance and development that take the complexity of livelihoods into consideration and are based on a human rights perspective. Increased attention to social development (health, education, organisational development and empowerment, etc) is needed to ensure that small-scale fishing communities are empowered and that their members can enjoy their rights as human beings and members of society.
- 6.3. States should ensure that small-scale fishing communities have access to services that are essential to social and economic development, including education, health and social security. They should ensure that appropriate incentives (institutional, legal, economic, social) for small-scale fishing communities are in place to sustainably manage, also in the short-term, the aquatic resources they and future generations depend on for their well-being without jeopardizing their social and economic development.

- 6.4. States should support already existing, or the development of, complementary and alternative income-generating opportunities – in addition to earnings from fisheries related activities – for small-scale fishing communities, as required (e.g., through awareness raising; skills development; credits and savings; diversification programmes; cross-sectoral links; involvement of women in the design of new activities). Small-scale fishing communities should equitably benefit from developments such as tourism (including recreational fishing) and aquaculture. However, when small-scale fishers and fish workers want to continue in their profession this wish should be respected and adequately recognised in fisheries management regimes.
- 6.5. Small-scale fisheries actors should consider diversifying their livelihoods if the state of the fishery resources and the environment is such that continued use patterns threaten their sustainability.
- 6.6. States should ensure that small-scale fishers and fish workers are covered by social security with benefits equal to other professional groups in the country. In order to ensure equitable benefits, these systems take into account the particular characteristics of the small-scale fisheries sector.
- 6.7. States should encourage research and academic institutions, the private sector and NGOs to engage in and support the development of services that are appropriate for small-scale fishing communities with regard to, for example, savings, credit and insurance schemes. Fishing tends to be a dangerous and often uncertain occupation and insurance arrangements are needed to help fishers and their families in the case of accidents, natural disasters or other similar disruptions to their livelihood activities.
- 6.8. All parties should recognise the importance of equity and equality for long-term sustainable development and that non-discrimination is part of human rights. Preferential treatment of marginalised groups – in providing services, instituting rights or else – should be accepted and promoted when this is necessary for ensuring equitable benefits.
- 6.9. States should ensure security and safety of all citizens and combat crimes affecting small-scale fishing communities and their members, including piracy, theft, mafia activities, violence, sexual abuse, etc. The importance of peace to social development should be recognised.
- 6.10. Small-scale fisheries actors should recognise the equal rights of all community members, including women, children, youth, the elderly and marginalised groups, and act with respect and fairness in all their actions.
- 6.11. States and small-scale fisheries actors should understand, recognise and respect the role of migrant fishers and fish workers. Migration is often a common livelihood strategy in the small-scale fisheries sector and special attention with regard to participation and institutional requirements to ensure fair and adequate integration of migrants in fisheries governance and development may be needed.

## 7. DECENT WORK AND EMPLOYMENT

*This section addresses the need for small-scale fishing communities to have secure incomes and to enjoy safe, fair and decent working conditions.*

- 7.1. These SSF Guidelines recognise that small-scale fishing communities often suffer from unhealthy and unsafe working conditions. Small-scale fishing communities often exhibit high levels of vulnerability that are not only due to their dependence on exploiting a limited natural resource and the inherent unpredictability of the fishing profession, but that is also influenced by their often remote locations, low levels of education, ill-health, lack of access to social services, and weak economic and political powers. Lack of alternative livelihoods, youth unemployment and child labour are also issues that may be found in small-scale fishing communities. The SSF Guidelines support improvements of working conditions and safety-at-work, including safety-at-sea, measures.
- 7.2. States should recognise small-scale fishing and associated activities as economic and professional operations (also when part time or occasional and/or for subsistence). In accordance with the Voluntary Guidelines on the Progressive Realization of the Right to Adequate Food in the Context of National Food Security, States should pursue policies that help revitalise the agriculture sector, including fisheries, by targeting small-scale operators. Policies should be pursued that permit fishers and other food producers to earn a decent living from their labour.
- 7.3. States should promote the creation of an enabling environment for entrepreneurship and growth in fishing communities (e.g. appropriate taxation; business advisory services; information and knowledge, including information and communication technology [ICT]), promoting local solutions as appropriate.
- 7.4. States should ensure that the private sector, as an employer and/or business partner, recognises the professionalism of the actors of the small-scale fisheries sector and apply respect, fairness and corporate social responsibility in all dealings. Partnerships should be sought that provide benefits to all actors along the value chain, including consumers, acknowledging the role small-scale fishing can play in sustainable resource utilisation, product value development and promotion of fishery products. NGOs and other competent actors should be encouraged to assist small-scale fishers and fish workers in exploring possibilities for partnerships with industrial processing business, including identification of best practices in working with larger businesses and promotion of corporate social responsibilities.
- 7.5. States should address occupational health issues and unfair working conditions by ensuring that the necessary legislation is in place and is implemented in accordance with the relevant conventions of the International Labour Organization (ILO). All parties should strive to ensure the inclusion of the aspect of occupational health and safety as an integral part of fisheries management as well as development initiatives. This applies to all small-scale fisheries activities.

- 7.6. States should ensure that working conditions in the small-scale postharvest sector are decent and comply with relevant conventions of ILO, taking into consideration its often informal character. The negative health effects of in particular fish smoking are particularly urgent to address. Professional development opportunities should be promoted, in particular for more vulnerable groups of postharvest fishworkers and women.
- 7.7. States should ensure that child labour in fisheries is adequately addressed in accordance with the relevant conventions of ILO. High priority must be given to eliminate in particular the worst forms of child labour depriving children of their childhood, their potential and their dignity, and being harmful to physical and mental development.
- 7.8. Small-scale fisheries actors should recognise the importance of children's well-being and education for the future of not only the children themselves but for society at large. Children should go to school, be protected from all abuse and all their rights respected in accordance with the Rights of the Child Convention.
- 7.9. States should provide schools and education facilities that meet the needs of small-scale fishing communities and that facilitate gainful and decent employment of youth, respecting their career choices and providing equal opportunities for all boys and girls.
- 7.10. States should recognise and address the underlying causes and consequences of border violations, leading to the arrest or detention of fishers in neighbouring countries, and promote fair and just treatment of their citizens in such cases.
- 7.11. All parties should recognize the complexity that surrounds safety-at-sea issues and the multiple causes behind deficient safety. This applies to all fishing activities (vessel based or not). States should ensure the development, enactment and implementation of appropriate national laws and regulations and international guidelines of FAO, ILO and the International Maritime Organization (IMO) for sea safety in small-scale fisheries.
- 7.12. States should recognise that improved sea safety, which includes occupational health and safety, in small-scale fisheries will best be achieved through the development and implementation of national strategies, with elements of regional coordination, as appropriate, which should include:
  1. The support (and where necessary establishment) of a consultative national stakeholder framework (e.g. national sea safety coordinating group) for sea safety in small-scale fisheries and the identification of motivated people or 'drivers';
  2. The generation of political will at a national level to address sea safety in small-scale fisheries;
  3. The development and maintenance of national accident reporting and analysis systems for small-scale fisheries;
  4. Ongoing sea safety awareness programmes, targeting the fishers, their spouses, children, elders and other relevant stakeholders, with special emphasis on the development of channels for the efficient distribution of appropriate and updated materials, and evaluation of impact;

5. The development, enactment and implementation of appropriate laws and regulations for sea safety in small-scale fisheries, including training/certification requirements, onboard safety equipment, and construction standards;
6. The determination of minimum mandatory requirements for each class of small-scale fisheries vessel taking full account of the difficulties associated with cost, remoteness of communities and availability of services and equipment;
7. The establishment of national small-scale fisheries vessel registration and inspection schemes, as practical and appropriate;
8. The implementation of capacity building programmes, including formal and informal training, directed at fishers, fishing communities, government staff, NGOs, the private sector (e.g. gear and boat designers, boat builders, mechanics) and other stakeholders;
9. The full use of existing institutions and community-based structures for increasing compliance, data collection, training and awareness, search and rescue operations, considering time and resource constraints;
10. The development and phased implementation of appropriate enforcement procedures to ensure compliance with sea safety laws and regulations.

## 8. POSTHARVEST AND VALUE CHAINS

*This sector discusses specific issues related to the postharvest sector and trade.*

- 8.1. These SSF Guidelines recognise the importance of the postharvest sector, comprising all activities from when the fish has been caught until it reaches the consumer. This integral part of the fishery system employs more people than the primary production subsector and most of these are women. In addition to its direct role in providing livelihoods and supporting food and nutrition security, the sector plays an important role at the national level, generating tax revenues and foreign exchange. Full consideration and adequate integration of the postharvest sector and value chain aspects in small-scale fisheries governance and development are prerequisites for the sustainability of sector as a whole.
- 8.2. All parties should recognise the central role the postharvest sector and its actors have in the value chain, constituting the link between resource utilisation (supply) and consumption (demand). The sector is in a sensitive position as its performance is influenced by practices and factors in both the upstream (fishers/primary production) and downstream (consumers/consumption) segments.
- 8.3. All parties should recognize the role women often play in the postharvest sector and work towards increased appreciation of this role and elimination of gender based discriminatory practices.

- 8.4. States should support the development of the postharvest sector and the strengthening of small-scale fisheries producer organisations, including cooperatives when appropriate, business skills and other capacity building in order to enhance the sector's possibilities to participate in decision-making and to sell its products at decent and fair prices. Access to local, national, regional and international markets should be facilitated. The development of local markets should be given particular attention. States should work together to introduce border procedures and trade regulations at the regional level that support regional trade in products from small-scale fisheries, recognising the importance of regional and cross-border trade to food and nutrition security.
- 8.5. States should promote investment in appropriate infrastructures and capacity development programmes that enable the small-scale postharvest sector to produce quality products, both for local markets and export. Postharvest losses should be avoided and ways for creating value addition sought, building on existing traditional and local cost-efficient technologies as well as making use of technology transfers. Environmentally sustainable practices should be promoted, deterring, for example, the waste of inputs needed for fish handling and processing (e.g., water, and firewood or other types of energy sources).
- 8.6. All parties should recognise that eco-labelling and certification schemes need to take the characteristics and circumstances of the small-scale fisheries sector into account, including with regard to the criteria used, the administrative requirements and costs of certification. Schemes for and commensurate with the needs of the small-scale fisheries sector should be encouraged.
- 8.7. States should endeavour to understand the impact of international trade in fishery products on food and nutrition security and local food supplies, including also the structure of fish trade, the evolving nature of the market for fish and the chains of custody of internationally traded fishery products. Research and analysis should include institutional and technological aspects, environmental impact, gender and cultural differences, and consumption patterns in addition to the quantitative and economic dynamics of trade.
- 8.8. States should take the needs of small-scale fishing communities as well as local food and nutrition security into consideration when formulating private sector and trade policies. International trade and vertical integration developments contain both threats and opportunities for small-scale fishers, fish workers and their communities. The benefits that trade can bring for poor people depend on how the income from fish trade is distributed.
- 8.9. States should invest in fish consumption promotion and consumer educational programmes, including in school curricula, in order to increase the awareness of the nutritional benefits of fish.
- 8.10. Small-scale fisheries actors should recognise that while high export prices for their products can be beneficial if distributed equally, demand in international markets may also provoke over-exploitation if there is no fisheries management system in place that protects the fishery resources, and hence threatening their significant role in food and nutrition security. Market

demand has to be matched by sustainable resource management, including responsible postharvest practices policies and actions.

- 8.11. States should enable access to relevant market and trade information – for example on changes in global seafood trade and on other aspects of globalization, sustainability, traceability, illegal, unreported and unregulated (IUU) fishing, and food and nutrition security – for stakeholders in the small-scale fisheries value-chain. The access of small-scale fisheries stakeholders to timely and accurate market information is required to prevent them from lagging behind because of fast changing market conditions. Capacity development is also required so that small-scale fish workers, and especially women and the very poor, can adapt/mobilize to minimize any potential negative impacts and benefit from opportunities of global trends and local situations.
- 8.12. All parties should take into account the impact that climate change may have on the postharvest sector in the form of changes in fish species and quantities and the implications with regard to market outlets. When introducing new technologies, these need to be flexible and adaptive to future changes in species, products and markets, and climatic variability.

## 9. GENDER EQUALITY AND EQUITY

*This section addresses the importance of gender and the need to promote equality and equity.*

- 9.1. These SSF Guidelines support gender equality and equity in accordance with human rights and the Convention on the Elimination of All Forms of Discrimination against Women (CEDAW). It should be recognised that women and men play important and complementary roles in the governance and development of the small-scale fisheries sector, and that they should enjoy equal respect and rights, in all aspects of life and in decision-making. While the concept of gender, by definition, deals with both men and women – and boys and girls – and the socially, culturally and economically established roles and relationships between them, women are often more disadvantaged than men. Gender equality efforts hence often mean supporting and empowering women whilst working with both men and women.
- 9.2. All parties should recognise that achieving gender equity and equality requires concerted efforts by all and that gender mainstreaming should be an integral part of all development strategies. These strategies need to be culturally sensitive and different approaches may be required in different cultural contexts.
- 9.3. States should ratify and fully implement human rights instruments, in particular CEDAW and the Beijing Declaration and Platform of Action, by adopting specific measures to address discrimination against women, while creating spaces for civil society organizations, in particular for women fishworkers and their organizations, to participate in monitoring their

implementation. Women should be encouraged to participate in fisheries organizations and relevant organisational development support should be provided.

- 9.4. States should ensure that adequate policies and legislation are in place for achieving gender equity and equality. States should be at the forefront of implementing actions for improving gender equity and equality by, inter alia, recruiting both men and women as extension staff, offering staff training in gender-sensitive fisheries technologies and issues, and ensuring that both men and women have access to extension and technical services related to fisheries.
- 9.5. States should promote research into the conditions of work, health, and education etc in the context of gender relations in order to inform strategies for ensuring equitable benefits for men and women in fisheries. Sex-disaggregated statistics and gender related data are key for understanding men's and women's contributions to the sector, and their specific needs. Efforts to mainstream gender should include the use of gender analysis in the design phase of policies, programs and projects for the small-scale fisheries sector, in order to design sensitive interventions. Gender sensitive indicators should be used to monitor and address gender inequalities.
- 9.6. Small-scale fisheries actors and their communities should promote the sharing of household work between men and women to avoid women's overburden when engaging in productive activities. An environment that is safe and free from violence and sexual abuse, within households and the community, should be fostered.

## 10. DISASTER RISKS AND CLIMATE CHANGE

This sector deals with vulnerabilities of small-scale fishing communities in the context of disaster risks and climate change. It looks into ways of reducing this vulnerability and to increase resilience of small-scale fishing communities, including building on existing capacities and coping strategies.

- 10.1. These SSF Guidelines recognise that many small-scale fishing communities are vulnerable to natural and man-made disasters and climate change. They are often located in areas that are prone to natural disasters given that the land-water interface is one of the most dynamic environments on earth. Man-made disasters include consequences from, for example, industrial and urban pollution, oil spills, theft, collisions between vessels, and competition over resources and conflicts. While considerable uncertainties and research gaps remain, it is clear that climate change will have a variety of impacts on fisheries and aquaculture. Among other things, climate variability and change are leading to generally more frequent extreme weather events and natural disaster hazards. Water scarcity also risks to increase with impacts on fisheries and aquaculture, both directly and via water management decisions in other sectors. Population growth and demographic changes contribute to increasing the effects of disasters. At the same time, climate change and disasters will influence migration patterns and

may induce displacements. One type of disaster may lead to another and the combination of climate change consequences and natural and man-made disasters may create a vicious circle of effects.

- 10.2. All parties should recognise that disaster risk management (DRM) and climate change adaptation (CCA) policies and interventions that respond to the specific needs of small-scale fisheries need to be an integral part of policies and action programmes for small-scale fisheries governance and development. The particular situation and needs of small-scale fisheries also need to be integrated in overall local, national and regional DRM and CCA plans and strategies. Special considerations must be given to small-scale fishing communities living on small islands where climate change may have particular food and nutrition security implications.
- 10.3. All parties should recognise the need for integrated holistic approaches and robust adaptive management as important components of small-scale fisheries governance and development in order to address climate change. Cross-sectoral collaboration is required to identify and implement win-win solutions to water scarcity and other issues.
- 10.4. All parties should collaborate with regard to improving the available data and information, the analyses thereof, and their dissemination and use in decision-making, preparedness planning and adaptation with regard to disaster and climate change risks and vulnerabilities.
- 10.5. States should ensure that small-scale fishing communities are involved in DRM and CCA processes and that traditional and local knowledge and coping strategies are considered. The development and strengthening of institutional structures and links allowing for such participation and consideration need to be supported.
- 10.6. Small-scale fisheries actors should take an active role in DRM and CCA, contributing their knowledge and promoting awareness raising among community members with regard to risks and local adaptive abilities and strategies.
- 10.7. States should understand how emergency response and disaster preparedness are related and apply the concept of the relief-development continuum. Longer-term development objectives need to be considered throughout the emergency sequence, including in the immediate relief phase, and the rehabilitation, reconstruction and recovery should include actions to reduce vulnerabilities to potential future threats. The concept of 'building back better' should be applied in disaster response and rehabilitation.
- 10.8. All parties should promote the role of small-scale fisheries in greenhouse gas mitigation efforts and encourage and support energy efficiency in the sector, including the whole fishery system – fishing, postharvest, marketing and distribution. The potential impact of small-scale fisheries on climate change mitigation and adaptation strategies of other sectors should be monitored.

## **PART 3: ENSURING AN ENABLING ENVIRONMENT AND SUPPORTING IMPLEMENTATION**

### **11. POLICY COHERENCE, INSTITUTIONAL COORDINATION AND COLLABORATION**

*This section addresses the often common lack of policy coherence and cross-sectoral collaboration.*

- 11.1. These SSF Guidelines support policy coherence and enhanced linkages between small-scale fisheries, overarching fisheries sectoral policies and strategies and national planning processes for poverty reduction and development. Small-scale fisheries are impacted by policies outside the sector; thus the need to engage in policy and legislative processes in other sectors that support small-scale fisheries. The SSF Guidelines embrace holistic and integrated governance and development approaches and consequently promote cross-sectoral linkages and the fostering of an environment that facilitates collaboration.
- 11.2. All parties should recognise the need for policy coherence including with regard to, inter alia, national legislation; international human rights law; economic development policies; spatial planning approaches; education, health and rural policies; environmental protection; food and nutrition security policies; labour and employment policies; trade policies; DRM and CCA strategies; fishing agreements and other specific fisheries sector policies, plans, actions and investments.
- 11.3. States should ensure that fisheries policy provides a long-term vision for small-scale fisheries through the clear specification and prioritisation of objectives and policy tools employed to achieve these objectives. Legislation should provide the mechanisms for implementation and enforcement of these objectives and for cross-sectoral collaboration. Fisheries policy should be coherent with overall policy frameworks – including for large-scale fisheries, recreational fisheries and aquaculture – and consistent with human rights legislation, paying particular attention to social equity and gender equality. The needs of small-scale fishing communities should also be integrated as appropriate in broader national and regional policy frameworks.
- 11.4. All parties should understand that policy coherence is linked to the visibility of the role of small-scale fisheries and that it is important to enhance the general understanding of the sector's important contribution to poverty alleviation, food and nutrition security, and economic growth. Hence, improved availability and sharing of information are required.
- 11.5. States should establish and promote the necessary institutional structures and linkages – including local-national-regional-global linkages and networks – required for achieving policy coherence, cross-sectoral collaboration and the implementation of holistic and inclusive ecosystem approaches in the fisheries sector. At the same time, there is a need for clear responsibilities and there should be well-defined points of contacts in government authorities and agencies for small-scale fishing communities.

- 11.6. Small-scale fisheries actors should promote collaboration among their professional associations and CSOs and establish networks and platforms for exchanging experiences and information and to facilitate their involvement in policy and decision-making processes relevant to their communities.
- 11.7. States should promote the principle of subsidiarity and rights and responsibilities for small-scale fisheries governance and development should be vested at the most effective local level. Decentralized management of fisheries is likely to enhance the possibilities of management being more sensitive to issues of poverty and food security. National policies and legislation should provide a framework for co-management in which local governments and communities, including both men and women, are supported with capacity development programs that enable them to assume their rights and responsibilities.
- 11.8. There are also issues that need to be addressed at a higher scale. States should promote enhanced international, regional and sub-regional cooperation, including, among other things, establishment of transboundary information-sharing and resource management protocols and systems, and collaborative actions to combat IUU fishing, e.g. by promotion of integrated enforcement arrangements – in collaboration with concerned small-scale fishing communities, as appropriate. Cooperation through the strengthening of RFBs should be promoted and basin commissions should be encouraged to include inland fisheries as part of their mandate.

## **12. RESEARCH, INFORMATION AND CAPACITY DEVELOPMENT**

This section looks into the interrelated aspects of access to information and capacity development. It discusses the general lack of information and research on small-scale fisheries and the need for capacity development at all levels and scales.

- 12.1. These SSF Guidelines recognise the need for a wide range of information for decision-making, including bio-ecological, social, cultural and economic data, in order to apply EAF and integrated development approaches. They promote the use of a combination of scientific data and local, traditional or indigenous knowledge, and research for enhancing the understanding of small-scale fisheries governance and development needs and opportunities. The SSF Guidelines acknowledge that access to information is essential for human dignity, equity and justice. Lack of access to knowledge tends to disproportionately affect the poor, women and other vulnerable and marginalised groups. Information often equals power and the withholding of information can skew decision-making. In order to utilise information, capacity is needed. Capacity development is a key building block for creating knowledge, empowerment and enablement for effective participation in decision-making.
- 12.2. States should ensure that transparency and availability of and access to information are priority considerations. This is important for ensuring accountability and for enabling meaningful participation of all stakeholders.

- 12.3. All parties should recognise small-scale fishing communities as holders, providers and receivers of knowledge; there are information needs about, from and to them. It is particularly important to understand the need for access to appropriate information by small-scale fishing communities and their organisations in order to facilitate their coping with existing problems and empowering them to improve their livelihoods. These information needs depend on current issues facing communities and span across biological, legal, economic, social and cultural aspects of fisheries and livelihoods.
- 12.4. All parties should support the collection, compilation and analysis of disaggregated data allowing for an improved understanding of the importance of small-scale fisheries and its different components, including gender roles. The value of local and traditional ecological knowledge systems and resource governance mechanisms should be appreciated. Information systems that are low on data requirements should be developed for data poor situations.
- 12.5. All parties should promote the availability, flow and exchange of information through the establishment or use of appropriate existing platforms and networks at community, national, sub-regional and regional levels, including both horizontal and vertical two-way information flows (among communities or countries; between communities and national and regional structures). Appropriate approaches, tools and media should be used conveying messages and for capacity building for small-scale fishing communities (e.g., radio, audio tools, ICT).
- 12.6. States should ensure that funds are available for small-scale fisheries research and academic and research institutions should be encouraged to carry out relevant data collection, analyses and research. This should include – but not be limited to - aspects related to climate change, e.g. vulnerability analysis, improving the understanding of attitudes to risk, and analysing the gender-specific impacts of globalization on local fishing communities, e.g. assessments of trade-offs between new opportunities for some groups of men and/or women and threats to the livelihoods of others. Guidance to academic research should be provided to include small-scale fisheries concerns and better use of existing research should be encouraged.
- 12.7. States should encourage research and academic institutions, the private sector and NGOs to engage in and support the development of appropriate technologies and practices for responsible fisheries, and of effective technologies and participatory practices for enforcing existing management regulations.
- 12.8. All parties should recognise the importance of capacity development, including human capacity and organizational development, in small-scale fishing communities. Human development-building initiatives should be demand based, use bottom-up approaches and be participatory in their needs-assessment, design, implementation and monitoring. They should build on existing knowledge and skills and be a two-way process of knowledge transfer, providing for flexible and suitable learning pathways to meet the needs of individuals, including both men and women and vulnerable and marginalised groups. The enhancement of people's self-determination capacity and their right of choice should be given particular attention.

- 12.9. All parties should recognise that organisational and institutional development need to be adequately tailored to the needs of small-scale fishing communities and involve different groups, including both men and women, and cover different spheres of concerns and interests. More emphasis on social, economic and livelihoods analysis skills may be required in organizations and they should take the overall societal/political context in which they operate into consideration.
- 12.10. Accordingly, States should provide support to capacity development and to fisher and fish worker organisations to ensure their representation in professional and sector institutions and decision-making processes. Men and women in professional organisations should be empowered to engage in political debates and support to leadership skills should be provided, especially for women. Organizational development and support to community networks and organizations that encourage good governance and sustainable development in small-scale fisheries should also be promoted. Moreover, capacity development should include building the resilience and adaptive capacity of small-scale fishing communities in relation to DRM and CCA.
- 12.11. States should also ensure that government authorities and agencies at all levels have adequate knowledge and skills to support small-scale fisheries governance and development. Particular attention should be given to decentralized and local government structures directly involved in governance and development processes together with small-scale fishing communities but also in, for example, the area of research. Moreover, adequate extension and advisory services for supporting small-scale fisheries governance and development should be provided.
- 12.12. Small-scale fisheries actors should engage in information sharing processes and capacity development, recognizing their role in governance and development and the needs for information and capacities that it entails. They should share their local and traditional knowledge and encourage policy and decision-makers to learn more about their professions and livelihoods.

### **13. IMPLEMENTATION SUPPORT AND MONITORING**

*This section acknowledges the potential challenges in implementing the SSF Guidelines and discusses strategies for ensuring that the SSF Guidelines are applied.*

- 13.1. These SSF Guidelines recognize the need for broad implementation in order to make them effective. Implementation policies or strategies should be developed through a participatory and transparent process involving small-scale fishing communities and other relevant stakeholders. In order to ensure political will and attract funding for implementation, it is important to enhance the visibility of the sector and its role in poverty alleviation, food and nutrition security and economic growth.

- 13.2. States have the responsibility for implementation of these SSF Guidelines.
- 13.3. All parties should collaborate and promote the implementation of these SSF Guidelines. This includes support to technical cooperation and transfer of technology, financial assistance, institutional capacity development, knowledge sharing and exchange of experiences.
- 13.4. States should elaborate assessment methodologies that allow a better understanding and documentation of the true contribution of small-scale fisheries, including both men and women, and adopt information systems that allow evaluation and monitoring of poverty/vulnerability in small-scale fishing communities.
- 13.5. States should put in place monitoring systems that allow assessing progress towards implementation of the objectives and recommendations in these SSF Guidelines. Accountability mechanisms are required through which the voice of small-scale fisheries actors and their communities can be reflected and independent monitoring can be conducted. Gender should be taken into consideration in monitoring and evaluation by using gender sensitive approaches, indicators and data.
- 13.6. States should give FAO the mandate to compile monitoring information and assess progress towards achieving the objectives of these SSF Guidelines. These monitoring and assessment reports should be made available to all parties.

## APPENDIX 1: GLOSSARY

### **Civil society Organization (CSO)**

Civil society refers to the sphere in which citizens and social movements organize themselves around objectives, constituencies and thematic interests. The bulk of FAO's experience is with NGOs. The UN system's definition of NGOs is broad: all not-for profit actors who are not governmental or intergovernmental.

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*Source: FAO Policy and Strategy for Cooperation with Non-Governmental and Civil Society Organizations 1999.*

### **Equity and equality**

*Gender equality* is when women and men enjoy equal rights, opportunities and entitlements in civil and political life.

*Gender equity* means fairness and impartiality in the treatment of women and men in terms of rights, benefits, obligations and opportunities

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*Source: The FAO Gender website: Why gender ([www.fao.org/gender](http://www.fao.org/gender)).*

### **Fishery resource**

In general, refers to elements of a natural aquatic resource (e.g. strains, species, populations, stocks, assemblages which can be legally caught by fishing. May sometimes be taken as including also the habitat of such resources.

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*Source: Modified from FAO (1998): Guidelines for the routine collection of capture fishery data. FAO Fish. Tech. Pap, 382: 113 p*

### **Gender mainstreaming**

Gender mainstreaming is the globally recognized strategy for achieving gender equality. It is the process of assessing the implications for women and men of any planned action in all areas and at all levels.

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*Source: The FAO Gender website: Why gender ([www.fao.org/gender](http://www.fao.org/gender)).*

### **Management right**

The right to be involved in managing the fishery.

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*Source: Glossary in Cochrane, K.L. (ed.) A fishery manager.s guidebook. Management measures and their application. FAO Fisheries Technical Paper. No. 424. Rome, FAO. 2002. 231p.*

### **Marine Protected Area (MPA)**

In the context of these Guidelines and in accordance with the FAO Technical Guidelines for Responsible Fisheries on Marine Protected Areas and Fisheries, an MPA refers to 'any marine geographical area that is afforded greater protection than the surrounding waters for biodiversity conservation or fisheries management purposes'. Still, however, the understanding is that the term is usually applied to areas specifically designated to protect a certain ecosystem and not necessarily very large areas zoned for different purposes (e.g. the entire EEZ of a country).

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*Source: FAO. 2011. Fisheries management. 4. Marine protected areas and fisheries. FAO Technical Guidelines for Responsible Fisheries. No.4 , suppl. 4. Rome, FAO. 198p.*

### **Non-government Organisation (NGO)**

All not-for profit actors who are not governmental or intergovernmental.

### **Private sector**

Commercial sector generally part of the formal sector (i.e. registered businesses). Private sector companies are often employers and pay taxes on profits.

### **Sea**

The term 'sea' as used in safety-at-sea is to be understood as oceans, seas, bays, sounds, estuaries, rivers and lakes.

### **Small-scale fishing community**

Members of small-scale fishing communities include all those dependent on the aquatic resources for all or part of their livelihoods and well-being: fishers, those involved in post-harvest and upstream activities, and their family members. Small-scale fishers and fish workers can be engaged in the sector full time or part time, or on an occasional basis as a supplement to other livelihood strategies. The activities can be for commercial purposes or for subsistence needs, or a combination of the two.

### **Small-scale fisher**

Person who is involved in small-scale fisheries primary production, i.e. harvesting fish or other aquatic animals or aquatic plants.

### **Small-scale fishworker**

Person who is not involved in primary production but in other parts of the small-scale fisheries value chain and accessory activities, in both the up and downstream sub-sectors.

### **Social security**

A government program that provides economic assistance to persons faced with unemployment, illness, disability, or agedness.

### **Stakeholder**

Stakeholders are all the different people and institutions, both insider and outsider, who stand to gain or lose, given a particular activity.

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*Source: FAO SEAGA (Socio-economic and Gender Analysis) approach for Emergency and Rehabilitation Programmes: Training Guide Gender and Climate Change Research in Agriculture and Food Security for Rural Development (FAO 2012).*

### **States**

Governments at all levels (national, provisional, local).

### **Tenure**

Tenure is the relationship among people with respect to land and other natural resources. The rules of tenure determine who can use what resources of the land for how long, and under what conditions.

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*Source: Voluntary Guidelines on Governance of Tenure of Land, Fisheries and Forests in the context of National Food Security ([www.fao.org/nr/tenure/voluntary-guidelines/en](http://www.fao.org/nr/tenure/voluntary-guidelines/en)).*

**Use right**

The rights held by individual fishers, fishing groups, fishing communities or companies to have access to a fishery and use the fishery resources.

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*Source: Adapted from Glossary in Cochrane, K.L. (ed.) A fishery manager's guidebook. Management measures and their application. FAO Fisheries Technical Paper. No. 424. Rome, FAO. 2002. 231p.*

**Vulnerable and marginalized groups/people**

Relevant stakeholder groups that are lacking assets for secure, sustainable, livelihoods and/or lack influence over decision-making processes including, for example, women, youth, elders and the disabled.

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*Source: UN-REDD Programme Social and Environmental Principles and Criteria, version 3 Draft for Consultation, (<http://www.forestsclimatechange.org/fileadmin/downloads/fd5/Business-Case-for-Mainstreaming-Gender-in-REDD+FNL.PDF>).*

## APPENDIX 2: INTERNATIONAL INSTRUMENTS RELEVANT TO SMALL-SCALE FISHERIES

### **Code of Conduct for Responsible Fisheries (CCRF)**<sup>5</sup>

#### *Article 6.18*

Recognizing the important contributions of artisanal and small-scale fisheries to employment, income and food security, States should appropriately protect the rights of fishers and fishworkers, particularly those engaged in subsistence, small-scale and artisanal fisheries, to a secure and just livelihood, as well as preferential access, where appropriate, to traditional fishing grounds and resources in the waters under their national jurisdiction.

### **The United Nations Agreement for the Implementation of the Provisions of the United Nations Convention on the Law of the Sea of 10 December 1982 relating to the Conservation and Management of Straddling Fish Stocks and Highly Migratory Fish Stocks (UN Fish Stocks Agreement)**

#### *Article 5*

In order to conserve and manage straddling fish stocks and highly migratory fish stocks, coastal States and States fishing on the high seas shall, in giving effect to their duty to cooperate in accordance with the Convention:...

(i) take into account the interests of artisanal and subsistence fishers;

[...]

#### *Article 2.4*

2. In giving effect to the duty to cooperate in the establishment of conservation and management measures for straddling fish stocks and highly migratory fish stocks, States shall take into account the special requirements of developing States, in particular:

[...]

(b) the need to avoid adverse impacts on, and ensure access to fisheries by, subsistence, small-scale and artisanal fishers and women fishworkers, as well as indigenous people in developing States, particularly small island developing States;

[...]

### **Universal Declaration of Human Rights (UDHR)**

#### *Article 25.1*

Everyone has the right to a standard of living adequate for the health and well-being of himself and of his family, including food, clothing, housing and medical care and necessary social services, and the right to security in the event of unemployment, sickness, disability, widowhood, old age or other lack of livelihood in circumstances beyond his control.

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<sup>5</sup> The CCRF is relevant to small-scale fisheries in a wider sense and here only one paragraph that refers to some of the key attributes is given. There are also FAO technical guidelines on Increasing the contribution of small-scale fisheries to poverty alleviation and food security. FAO Technical Guidelines for Responsible Fisheries. No 10. Rome, FAO. 2005.

## **International Covenant on Economic, Social and Cultural Rights (ESCR Covenant)**

### *Article 1*

(1) All peoples have the right of self-determination. By virtue of that right they freely determine their political status and freely pursue their economic, social and cultural development.

(2) All peoples may, for their own ends, freely dispose of their natural wealth and resources without prejudice to any obligations arising out of international economic co-operation, based upon the principle of mutual benefit, and international law. In no case may a people be deprived of its own means of subsistence.

(3) The States Parties to the present Covenant, including those having responsibility for the administration of Non-Self-Governing and Trust Territories, shall promote the realization of the right of self-determination, and shall respect that right, in conformity with the provisions of the Charter of the United Nations.

## **Voluntary Guidelines on the Progressive Realization of the Right to Adequate Food in the Context of National Food Security (Right to Food guidelines)**

### *Article 2.5*

States should pursue inclusive, non-discriminatory and sound economic, agriculture, fisheries, forestry, land-use, and, as appropriate, land-reform policies, all of which will permit farmers, fishers, foresters and other food producers, particularly women, to earn a fair return from their labour, capital and management, and encourage conservation and sustainable management of natural resources, including in marginal areas.

### *Article 3.7*

States are encouraged, inter alia and in a sustainable manner, to increase productivity and to revitalize the agriculture sector including livestock, forestry and fisheries through special policies and strategies targeted at small-scale and traditional fishers and farmers in rural areas, and the creation of enabling conditions for private sector participation, with emphasis on human capacity development and the removal of constraints to agricultural production, marketing and distribution.

### *Article 8.1*

States should facilitate sustainable, non-discriminatory and secure access and utilization of resources consistent with their national law and with international law and protect the assets that are important for people's livelihoods. States should respect and protect the rights of individuals with respect to resources such as land, water, forests, fisheries and livestock without any discrimination. Where necessary and appropriate, States should carry out land reforms and other policy reforms consistent with their human rights obligations and in accordance with the rule of law in order to secure efficient and equitable access to land and to strengthen pro-poor growth. Special attention may be given to groups such as pastoralists and indigenous people and their relation to natural resources.

### *Article 8.13*

States should consider specific national policies, legal instruments and supporting mechanisms to protect ecological sustainability and the carrying capacity of ecosystems to ensure the possibility for

increased, sustainable food production for present and future generations, prevent water pollution, protect the fertility of the soil, and promote the sustainable management of fisheries and forestry.

*Article 11.1*

States should support investment in human resource development such as health, education, literacy and other skills training, which are essential to sustainable development, including agriculture, fisheries, forestry and rural development.

**United Nations Declaration on the Rights of Indigenous Peoples (Indigenous Peoples Declaration)**

*Article 20*

(1) Indigenous peoples have the right to maintain and develop their political, economic and social systems or institutions, to be secure in the enjoyment of their own means of subsistence and development, and to engage freely in all their traditional and other economic activities.

(2) Indigenous peoples deprived of their means of subsistence and development are entitled to just and fair redress.

*Article 26*

(1) Indigenous peoples have the right to the lands, territories and resources which they have traditionally owned, occupied or otherwise used or acquired.

(2) Indigenous peoples have the right to own, use, develop and control the lands, territories and resources that they possess by reason of traditional ownership or other traditional occupation or use, as well as those which they have otherwise acquired.

(3) States shall give legal recognition and protection to these lands, territories and resources. Such recognition shall be conducted with due respect to the customs, traditions and land tenure systems of the indigenous peoples concerned.

**Voluntary Guidelines on Responsible Governance of Tenure of Land, Fisheries and Forests in the Contexts of National Food Security (Tenure Guidelines)**

*Preface*

The purpose of the Voluntary Guidelines is to serve as a reference and to provide guidance to improve the governance of tenure of land, fisheries and forests with the overarching goal of achieving food security for all and to support the progressive realization of the right to adequate food in the context of national food security.

*Article 4.1*

States should strive to ensure responsible governance of tenure because land, fisheries and forests are central for the realization of human rights, food security, poverty eradication, sustainable livelihoods, social stability, housing security, rural development, and social and economic growth.

*Article 4.10*

States should welcome and facilitate the participation of users of land, fisheries and forests in order to be fully involved in a participatory process of tenure governance, inter alia, formulation and implementation of policy and law and decisions on territorial development, as appropriate to the roles of State and nonstate actors, and in line with national law and legislation.

The Guidelines also take into consideration the commitments of the **MDGs** and the outcomes of the UN conferences and summits on sustainable development, including the principles expressed in the Rio Declaration on Environment and Development (**United Nations Conference on Environment and Development**), e.g.:

*Principle 1*

Human beings are at the centre of concerns for sustainable development. They are entitled to a healthy and productive life in harmony with nature.

*Principle 3*

The right to development must be fulfilled so as to equitably meet developmental and environmental needs of present and future generations.

The **International Strategy for Disaster Reduction (ISDR)** is a UN initiative and a partnership system that “aims at building disaster resilient communities by promoting increased awareness of the importance of disaster reduction as an integral component of sustainable development, with the goal of reducing human, social, economic and environmental losses due to natural hazards and related technological and environmental disasters”. Within this framework, a strategic and systematic approach to reducing vulnerabilities and risks to hazards was agreed at a world conference in Japan in 2005.

The 10-year plan of the **Hyogo Framework** reflects an intention to take a holistic approach in identifying and putting into action complex multidisciplinary disaster risk reduction measures. It calls on the ISDR system to facilitate the coordination of effective and integrated action among the organizations of the UN system and among other relevant international and regional entities, in accordance with their respective mandates, to support its implementation (see <http://www.preventionweb.net/>).

**Other international instruments, relevant to these International Guidelines, include:**

- Declaration on the Right to Development
- International Convention on the Elimination of All Forms of Racial Discrimination
- Convention on the Elimination of All Forms of Discrimination against Women (CEDAW)
- Beijing Declaration and Beijing Platform for Action (1995)
- Convention on the Rights of the Child
- ILO Conventions relevant to child labour (Nos 138 and 182), indigenous and tribal peoples (No 169), and work in fishing (Nos 188 and accompanying Recommendation No 199).
- International Convention on the Protection of the Rights of All Migrant Workers and Members of Their Families (Migrant Workers Convention).
- United Nations Convention on the Law of the Sea (UNCLOS)
- Agreement on the Conservation and Management of Straddling Fish Stocks and Highly Migratory Fish Stocks (Fish Stock Agreement)
- Convention on Biological Diversity (CBD)
- International Strategy for Disaster Reduction (ISDR) and the Hyogo Framework
- United Nations Framework Convention on Climate Change (UNFCCC)
- The World Summit on Sustainable Development (WSSD) and the Johannesburg Plan of Action
- FAO/ILO/IMO Code of Safety for Fishermen and Fishing Vessels, Part A

- FAO/ILO/IMO Voluntary Guidelines for the Design, Construction and Equipment of Small Fishing Vessels
- FAO/ILO/IMO Safety Recommendations for decked fishing vessels of less than 12 metres in length and undecked fishing vessels
- FAO/ILO/IMO Document for Guidance on Training and Certification of Fishing Vessel Personnel
- FAO Guidelines to competent authorities in implementing an accident reporting and analysis system for small fishing vessels (under development)