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LOOKING TO THE SEA TO SUPPORT DEVELOPMENT OBJECTIVES: A PRIMER FOR USAID STAFF AND PARTNERS TENURE AND GLOBAL CLIMATE CHANGE (TGCC)



OCTOBER 2017

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ACRONYMS AND ABBREVIATIONS

CDCS	Country Development Cooperation Strategy
EEZ	Exclusive Economic Zone
FAO	Food and Agriculture Organization of the United Nations
IUU	Illegal, Unregulated, and Unreported
Km	Kilometers
NGO	Nongovernmental Organization
Primer	Looking to the Sea to Support Development Objectives: A Primer for USAID Staff and Partners
SSF Guidelines	Voluntary Guidelines for Securing Sustainable Small-scale Fisheries
Sourcebook	Small-Scale Fisheries and Marine Tenure: A Sourcebook on Good Practices and Emerging Themes
USAID	United States Agency for International Development

EXECUTIVE SUMMARY

How does marine tenure security support biodiversity conservation for sustainable small-scale fisheries? USAID’s Biodiversity Policy (USAID, 2014b) recognizes the essential role that healthy natural systems play in advancing resilient societies and achieving human-development outcomes. Biodiversity conservation efforts, including sustainable use, help to maintain natural processes that create the ecosystem goods and services—such as wild fisheries—essential for human well-being. Maintaining healthy and resilient marine and coastal ecosystems provides the natural capital to support USAID’s objective to conserve biodiversity for sustainable, resilient development. Insecure resource tenure rights to fisheries can be one of the most significant drivers of biodiversity loss and unsustainable natural resource management (USAID, 2013c). Where rights are poorly defined, marine and freshwater ecosystems can be quickly degraded, leading to overfishing. Securing resource tenure for fishers can set the stage for reducing pressures to biodiversity, creating sustainable livelihoods, enhancing food and nutrition security, building resilience, and reducing competition over limited resources.

The current lack of secure tenure in many countries leaves many resources claimed by no one or everyone, resulting in “open access,” which may lead to a “tragedy of the commons,” where users are incentivized to exploit open-access resources before others do, thereby degrading areas once beneficial to people and biodiversity. Securing sustainable, small-scale fisheries is emerging as a critical development agenda with responsible governance of tenure as one of multiple themes in this agenda. USAID’s Land and Urban Office has committed substantial support to addressing land tenure and property rights, primarily in terrestrial landscapes (USAID, 2007) where secure land tenure and access have provided the institutional incentives for investing in terrestrial agriculture and sustainable forestry that directly benefits small-scale farmers. This substantial body of work and lessons can be applied in the marine and coastal setting.

Marine tenure in small-scale fisheries establishes a set of rights and responsibilities as to who is allowed to use and access which resources, in what way, for how long, and under what conditions, as well as who is entitled to transfer rights to others and how. Small-scale fishers and coastal communities with secure rights over a given fishery, fishing ground, or territory have a strong interest in organizing and acting collectively to manage their resources sustainably. Marine tenure institutions and property rights form the overarching governance structure that enables a fishing group or community to establish rights to both use resources from a defined territory as well as exclude outsiders. Marine tenure, therefore, establishes a set of rights and responsibilities as to who is allowed to use which resources, in what way, for how long, and under what conditions, as well as who is entitled to transfer rights to others and how. Secure tenure and governance promotes stewardship of natural assets such as fish and creates incentives to maintain ecosystem goods and services. As in terrestrial settings, secure tenure for small-scale fishers can help prevent coastal land and fish grabs. A community’s secure right to make management decisions on resources within the coastal zone is crucial to building their resilience to the impacts of climate change. Secure tenure and mediation mechanisms can also reduce conflicts, which will become more important with climate change impacts such as rising sea levels and movement of environmental refugees. Overall, the explicit consideration of marine tenure rights and responsibilities in project design can minimize potential destabilizing factors that can significantly undermine or prevent successful implementation of development programs.

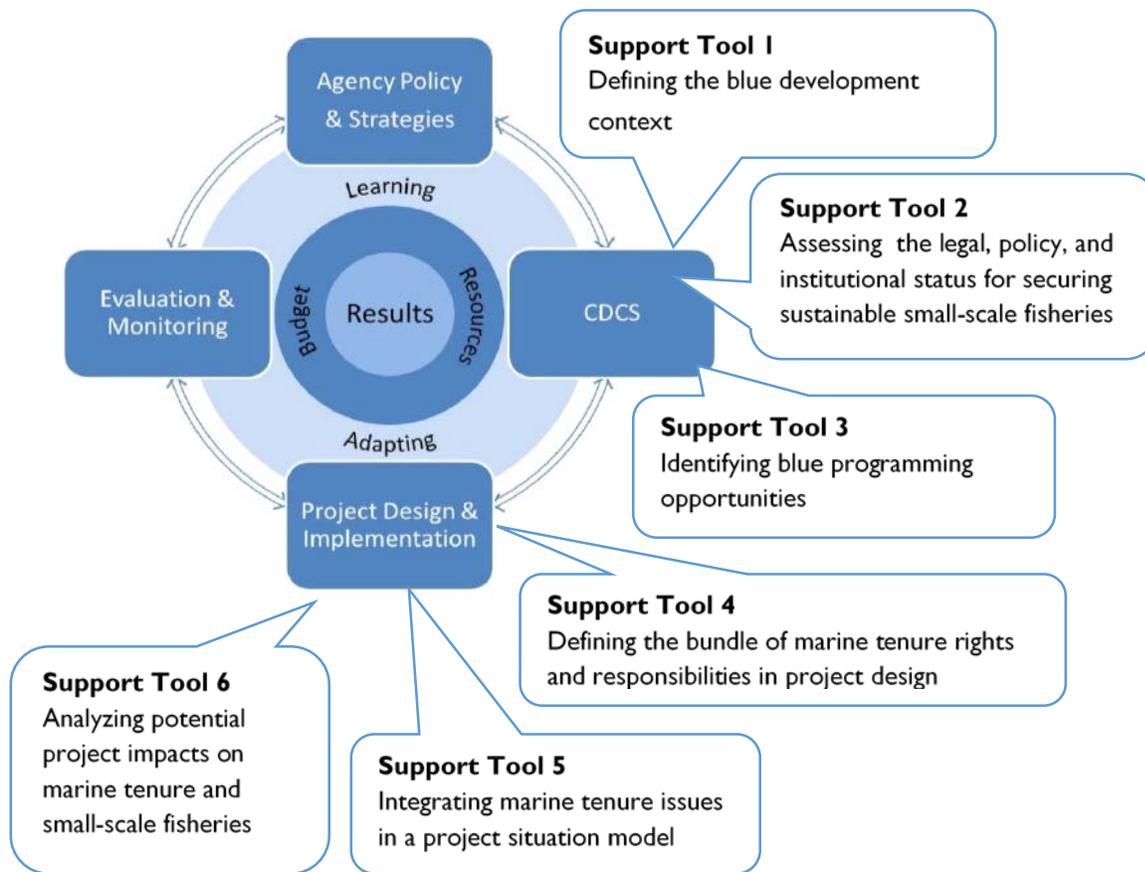
Why look to the sea to support USAID development objectives? Most coastal and island developing countries have extensive maritime jurisdictions that support a complex and often conflicting and competing array of human uses including small- and large-scale fishing, coastal tourism, ports and harbors, maritime transportation, and oil and gas development. Weak or inadequate governance of the marine and coastal environment has resulted in open access to resources leading to a substantial loss of biodiversity, valuable ecosystem goods and services, such as fisheries production, nutrient cycling, and coastal protection. This “blue development space” creates many opportunities to support multiple USAID development objectives by rebuilding the natural capital of marine and coastal ecosystems.

Coastal communities have long depended on the sea for food, shelter, livelihoods, cultural practices, and other basic human requirements. These communities represent a highly vulnerable segment of society, who often lack secure land and marine tenure, are exposed to a range of coastal hazards, and are relatively invisible in terms of development priorities. Securing sustainable small-scale fisheries, which employ 25 times the number of fishers and catch about the same amount of fish for human consumption as large-scale fisheries (Jacquet & Pauly, 2008), represents an important opportunity for programming. The growing recognition of the importance of tenure in small-scale fisheries to biodiversity conservation, food security, sustainable economies, and climate resilience puts a spotlight on the nexus between people who depend on the sea and USAID development objectives with marine tenure a principal component of a theory of change for securing sustainable small-scale fisheries.

A Theory of Change for Securing Sustainable Small-scale Fisheries with Marine Tenure as a Key Theme

If marine tenure systems provide secure rights for resource users, engage stakeholders in decision-making, and create rules that promote sustainable resource use, then these systems will support increased compliance with rules, reduced resource user conflicts, and result in positive ecological, social, and economic benefits. If these systems are embedded within an effective co-management arrangement that includes the government and other partners who maintain a demonstrated capacity to recognize and support the community’s resource use rights, then these systems can be resilient under changing conditions. Further, if macro-scale drivers of change and ecosystem-scale pressures beyond the control of local resource users and communities, such as population growth and urbanization in the coastal environment, overfishing from competing large-scale fishers, habitat degradation from land-based pollution and land reclamation, and climate change are identified and addressed at multiple scales of governance for multiple sectors, then community-scale marine tenure institutions will have the capacity to support a range of broader development goals including economic growth, food security, and climate resilience.

How can this Primer be used to support multiple development objectives? This Primer provides six support tools to help USAID staff and partners consider the role of healthy marine and coastal ecosystems, sustainable small-scale fisheries, and responsible governance of marine tenure in programming and project design. Support tools are provided to guide the development of programs and design projects as part of the USAID program cycle. The Primer draws on a range of knowledge, particularly from recent findings and lessons derived from USAID projects, academic published literature, policy documents, and publications by scientists and practitioners detailed in an accompanying Sourcebook entitled *Small-Scale Fisheries and Marine Tenure: A Sourcebook for Good Practices and Emerging Themes* (Courtney & Jhaveri, 2017b) as well as field assessments conducted to test the applicability of support tools (Courtney, Jhaveri, Pomeroy, & Brooks, 2016; Courtney et al., 2017; Pomeroy, Thompson, & Courtney, 2016).



Support tools in relation to the USAID program cycle

1.0 INTRODUCTION

Through its commitment to addressing extreme poverty, USAID is integrating a deeper understanding of the role marine tenure and small-scale fisheries play in supporting biodiversity conservation, food security, inclusive economic growth, and other priority development objectives. Maintaining healthy and resilient marine and coastal ecosystems provides the natural capital to support USAID’s objective to conserve biodiversity for sustainable, resilient development. Insecure resource tenure rights to fisheries can be one of the most significant drivers of biodiversity loss and unsustainable natural resource management (USAID, 2013c). Where rights are poorly defined, marine and freshwater ecosystems can be quickly degraded, leading to overfishing. Securing resource tenure for fishers can set the stage for reducing pressures to biodiversity, creating sustainable livelihoods, enhancing food and nutrition security, building resilience, and reducing competition over limited resources.

Tenure over natural resources refers to the social relations, institutions, and rules that govern people’s access to and use of land, water, and natural resources. Tenure and property rights problems can contribute to political instability, population displacement, food insecurity, and environmental destruction significantly undermining or preventing successful implementation of development programs. Largely invisible in development programming, small-scale fisheries contribute to a diverse array of development activities including economic development, biodiversity conservation, food security, and poverty alleviation. Small-scale fishers and coastal communities with secure tenure over a given fishery, fishing ground, or territory have a strong interest in acting collectively to manage their resources sustainably. In addition to tenure security, sustainability in small-scale fisheries depends on addressing the range of social, economic, environmental, and governance issues that often result in conflicting and competing uses of the coastal landscape.

Most coastal and island developing countries have large maritime jurisdictions that support a complex and often conflicting and competing array of human uses including small- and large-scale fishing, coastal tourism, ports and harbors, maritime transportation, and oil and gas development. This “blue” development space creates many opportunities to support USAID’s development objectives by rebuilding the natural capital of marine and coastal ecosystems (Box 1).

What is marine tenure?

Marine tenure in small-scale fisheries establishes a set of rights and responsibilities as to who is allowed to use and access which resources, in what way, for how long, and under what conditions, as well as who is entitled to transfer rights to others and how. The explicit consideration of marine tenure rights and responsibilities can minimize a range of potential destabilizing factors that can undermine or prevent successful implementation of development programs.

Box 1. Building a green economy in a blue development space

A “green economy” refers to a development path that maintains, enhances, and where necessary rebuilds natural capital as a critical economic asset and source of public benefits—especially for poor people whose livelihoods and security depend strongly on nature. Applied in a blue development space, this development path targets:

- Sustaining and rebuilding natural capital from marine and coastal ecosystems as a basis for achieving a broad and enduring array of development outcomes;
- Supporting responsible governance of marine tenure as a foundation for securing sustainable small-scale fisheries and reducing conflicting and competing uses on land and in the sea; and
- Ensuring inclusive economic growth for small-scale fishers and fishing communities and equitable distribution of benefits from other enterprises that limit their preferential use, such as coastal tourism, industrial fishing, and oil and gas development.

USAID has a long history supporting an array of coastal and fisheries management projects to support biodiversity conservation objectives. Biodiversity conservation is a foundational objective for securing sustainable fisheries. Without efforts to protect habitat and species diversity, ecosystem services cannot be maintained to support other objectives such as food security and economic development. This Primer is intended to assist USAID staff and partners identify opportunities for supporting a range of programs by focusing on the role marine tenure and small-scale fisheries can play in achieving biodiversity conservation and other development objectives. *What might blue development programming look like?* Food security programs regularly support the inclusion of wild fisheries in a country’s approach to sustainable food supply and better nutrition. Economic development programs recognize small-scale fisheries as a sector, improving value chains, supporting alternatives to fishing, and reforming economic policies that negatively impact small-scale fishers. Population and health programs consider the integral links of population growth and the sustainability of wild fish stocks. Education programs focus on the education of young men and women in fishing communities enabling them to pursue alternatives to fishing. Finally, all programming is informed by an understanding of the integral role that tenure and property rights plays in successful development. For small-scale fishers this includes tenure security on land and at sea.

The Primer consists of six support tools that were developed and tested in the field to support programming and project development as part of the USAID program cycle. These support tools are intended to help USAID staff and partners ask the questions that integrate marine tenure and small-scale fisheries throughout the USAID program cycle. The Primer draws on findings from development projects, scholarly research, policy documents, and reports by nongovernmental organizations to explore good practices, insights, and emerging themes that can help to design effective and innovative strategies. Much of this information is detailed in a companion document to the Primer entitled *Small-Scale Fisheries and Marine Tenure: A Sourcebook on Good Practices and Emerging Themes* (Sourcebook) (Courtney & Jhaveri, 2017b).

2.0 DEVELOPMENT AND FIELD TESTING OF SUPPORT TOOLS

The six support tools in the Primer were identified based on review of the USAID program cycle and existing USAID guidance. From this review, key entry points were identified as opportunities for integrating consideration of marine tenure and small-scale fisheries in the USAID program cycle. These entry points included: (1) defining the marine and coastal context and programming opportunities as part of the Country Development Cooperation Strategy (CDCS) update and (2) identifying strategies and potential impacts or unintended consequences as part of project design and analysis. It is possible that these support tools could also be used to design a review of project implementation or to inform the development of a monitoring, evaluation, and learning plan.

CDCSs from multiple countries were reviewed to assess the extent to which marine tenure and small-scale fisheries were integrated for countries that had large maritime jurisdictions, valuable but threatened marine and coastal resources, and where fisheries were important for food security and livelihoods. The CDCSs reviewed fell into two categories. A CDCS either ignored the “blue” development space, placing little or no value on the marine and coastal ecosystem services, or restricted programming of marine and coastal issues to achieve biodiversity conservation objectives only. Support Tools 1, 2, and 3 were developed to help USAID staff and partners recognize the importance of small-scale fisheries and marine tenure and identify opportunities for programming across multiple development objectives. This recognition begins with expanding the development context of the CDCS, and gaining an understanding of the legal, policy, and institutional gaps of the small-scale fisheries sector.

Project design and analysis Support Tools 4, 5, and 6 were based on a review of the literature on marine tenure and small-scale fisheries (Courtney & Jhaveri, 2017b), USAID guidance project design and analysis (USAID, 2017), and documents obtained from USAID projects in the Philippines, Indonesia, and Bangladesh. This review highlighted several basic needs for tools that could help USAID staff and partners integrate marine tenure in situation models, conduct initial assessments of institutional arrangements for marine tenure, and recognize potential unintended impacts of project activities that may not be directly related to the marine and coastal environment.

The support tools were tested in varying degrees in the field. Field assessments were conducted in three countries: Bangladesh, Indonesia, and the Philippines, (Courtney et al., 2016; Courtney et al., 2017; Pomeroy et al., 2016). The overall objectives of the field assessments and support tool testing were to:

- Determine the extent to which marine tenure and small-scale fisheries are considered in the CDCS and ongoing projects;
- Identify challenges and potential opportunities for integrating marine tenure into project design and implementation;
- Improve the guidance and support tools for the Primer; and
- Draw out insights and lessons that can be applied to USAID programming world-wide.

The objectives and activities conducted during each field assessment varied depending on the mission’s specific interests, expectations, and time constraints. For example, USAID mission staff and partners in Bangladesh were interested in identifying models for tenure/co-management arrangements that could be

applied to the hilsa shad, a migratory species whose life cycle requires river, estuarine, and marine ecosystems. With the start of a new project on small-scale fisheries in Indonesia with funding from both Biodiversity and Feed the Future program, USAID staff and partners were interested in strategies and interventions to strengthen customary marine tenure systems and co-management arrangements for sustainable small-scale fisheries. In the Philippines, USAID staff and partners were interested in identifying opportunities for integrating marine tenure into project design and implementation.

Each field assessment was organized into pre-assessment, assessment, and post-assessment activities. During the pre-assessment phase, the field assessment team reviewed USAID mission and project documents and other relevant information. These documents included the CDCS, project scope of work, situation model and theory of change, work plan, monitoring, evaluation, and learning plan, and annual project accomplishment reports. Pre-assessment conference calls were held with USAID to plan the assessment and clarify expectations. A field assessment plan was developed articulating the objectives, thematic scope, geographic scale, methods, key informants, and schedule.

The actual field assessment phase began with an entry briefing with USAID staff. The field assessment team provided an orientation on marine tenure and overview of the field assessment plan to Mission staff and partners. Depending on the country, the field assessment team met with and conducted interviews with selected USAID staff and partners, visited field sites, met with stakeholders at community and local government levels, and organized and participated in workshops. Each field assessment report culminated with the preparation of a report highlighting key findings and recommendations.

The field assessment team conducted post-assessment follow-ups with the Missions to discuss the reports and recommendations and to identify any need for clarification. Insights gained through the process of developing and testing the support tools were documented and summarized for each tool.

3.0 GLOBAL AGENDA ON TENURE AND SMALL-SCALE FISHERIES

The vital role that sustainably managed small-scale fisheries play in ending extreme poverty and providing biodiversity conservation, food security, nutrition, and livelihoods in developing countries is undisputed based on research from around the world and strengthening of tenure and property rights is a core component of securing sustainable small-scale fisheries. This section provides a brief overview of why marine tenure and small scale fisheries matter in development drawing from information provided in the Sourcebook (Courtney & Jhaveri, 2017b).

Securing sustainable small-scale fisheries is an emerging global development agenda. “Small-scale fisheries” is a simple name for a complex and large category of the global fisheries sector. Men and women fishing in nearshore waters for both subsistence and commercial catch significantly contribute to social, economic, and ecological benefits among coastal communities in developing countries. Catching about the same amount of fish as industrial fisheries, small-scale fisheries employ 25 times the number of fishers and use an eighth of the amount of fuel annually (Figure 1). As modern, large-scale fisheries have grown, they have come into conflict with small-scale fisheries for the same coastal resources. Other challenges to small-scale fisheries include population growth, the growing commercialization of the fisheries sector, outmigration, and technological growth.

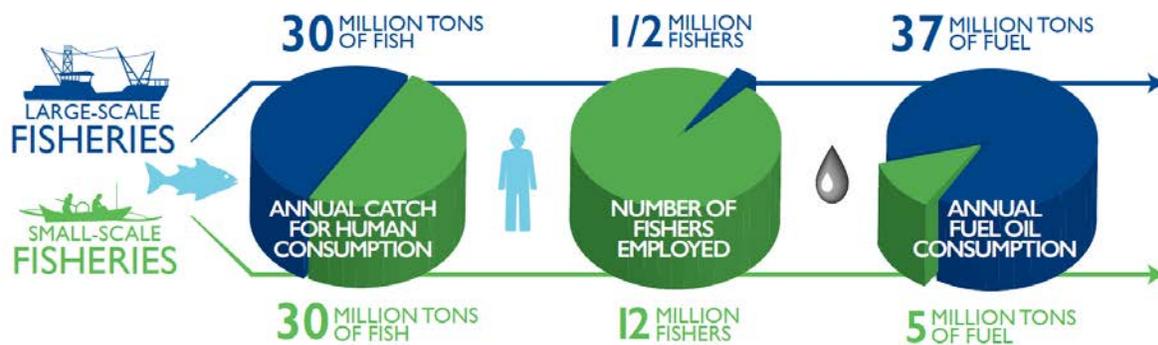


Figure 1. Comparison of the benefits of small-scale and large-scale fisheries (Jacquet & Pauly, 2008)

Small-scale fisheries have so far been invisible within the global fisheries sector, even though they play a pivotal role in meeting food needs and building local as well as global economies. Women comprise some 47 percent of the global fisheries workforce (Mills et al., 2011), and they often play an important role in fish processing or trading, which can be the main source of income for a household’s economy (Béné, 2006).

With the growing recognition of the significance of small-scale fisheries to food security, local and global economic growth, biodiversity conservation, and other development objectives around the world, the Food and Agriculture Organization of the UN (FAO) working member states developed the *Voluntary Guidelines on Securing Sustainable Small-scale Fisheries in the Context of Food Security and Poverty Alleviation* (SSF Guidelines) (FAO, 2015). The SSF Guidelines are the first dedicated international instrument to directly address small-scale fishers, fish workers, and their families. The SSF Guidelines bring a much-

needed focus on issues of poverty, social inclusion, and gender equality among small-scale fisheries. This area is in its early stages in terms of understanding the major types of discrimination processes at work among fishing communities. Attending to gender equality and equity, in particular, calls for the building of gender-disaggregated data so that a more nuanced understanding of the dynamics at play can be built up. This, in turn, can support empirically grounded policymaking and laws that bring fresh energy to issues of equity among small-scale fishers and fish workers.

Responsible governance of marine tenure is a key dimension of this global agenda. The responsible governance of tenure is a central component of the SSF Guidelines. Responsible governance of tenure involves respecting the rights of small-scale fishers and fishing communities to the resources that form the basis of their social and cultural well-being, their livelihoods, and their sustainable development. National legal and policy frameworks, administrative and judicial systems, effective co-management arrangements, dispute resolution mechanisms, local participation and empowerment, and strengthened institutional capacity are all key ingredients of responsible governance of marine tenure.

Small-scale fishers and coastal communities with secure rights over a given fishery, fishing ground, or territory have a strong interest in organizing and acting collectively to manage their resources. Marine tenure in small-scale fisheries establishes a set of rights and responsibilities as to who is allowed to use and access which resources, in what way, for how long, and under what conditions, as well as who is entitled to transfer rights to others and how. All marine tenure arrangements involve a decision-making institution (such as customary leaders or an elected committee) that develops rules for addressing five major bundles of rights and responsibilities: exclusion, access/withdrawal, management, enforcement, and alienation/transfer (Figure 2). The ability to exclude others from a fishing ground is a fundamental tenure right that establishes clearly defined boundaries both spatially and institutionally.

Exclusion	Access/ withdrawal	Management	Enforcement	Alienation/ transfer
<ul style="list-style-type: none"> • Ability to exclude outside fishers from accessing marine resources or fishing grounds 	<ul style="list-style-type: none"> • Rights of fishers to access/extract marine and fishery resources 	<ul style="list-style-type: none"> • System of use rules and practices to achieve management goals 	<ul style="list-style-type: none"> • Systems to enforce rules, resolve conflicts, and apply sanctions 	<ul style="list-style-type: none"> • Rights to sell or lease resources or fishing ground to others

Figure 2. Bundle of resource use rights and responsibilities in marine tenure systems (Cinner, Daw, et al., 2012)

Marine tenure institutions are vulnerable to population growth, technology, and economic transformations, and growing competitive pressures between large-scale and small-scale fisheries has undermined the tenure rights of small-scale fishers who are typically poorer and more vulnerable. Securing long-term rights and clarifying responsibilities between government and local communities under co-management arrangements are essential to ensuring that donor investments last beyond the life of an intervention. There is no “one-size-fits-all” approach, but USAID’s decades of experience in tenure provides insights and strategies, which can be applied toward to small-scale fisheries. Strengthening tenure and property rights is considered a core component of biodiversity activities (Box 2).

Box 2. Five reasons to strengthen tenure and property rights as a core component of biodiversity activities (USAID, 2015)

1. The current lack of secure tenure in many countries leaves many resources claimed by no one or everyone, resulting in “open access”, which may lead to a “tragedy of the commons,” where users are incentivized to exploit open-access resources before others do, thereby degrading areas once beneficial to people and biodiversity;
2. Some conservation actions are not feasible without attention to tenure and property rights issues, as occurs when parks or land use regulations are declared formally without attention to conflicting (formal or informal) rights, which may undermine conservation objectives;
3. To be successful, conservation activities that change formal or informal resource rights may require mitigation measures to address potentially negative impacts, especially on vulnerable populations, such as through compensation or alternative livelihood support for those whose access or use is restricted;
4. Clear rules and institutions governing the use, transfer, and ownership of resources provide the foundation for sustainable management, particularly when they place control of resources in the hands of stakeholders likely to conserve resources, such as through extractive or indigenous reserves that formally recognize the rights of local people to benefit from sustainable use and conservation; and
5. Clarifying and strengthening tenure and property rights can also contribute to local development through sustainable use and conservation, as occurs when rights are formally or informally recognized through co-management, public-private partnerships, and eco-certified production.

4.0 OVERVIEW OF SUPPORT TOOLS

This Primer is intended to assist USAID staff and partners to consider the interconnected role of healthy marine and coastal ecosystems, sustainable small-scale fisheries, and responsible governance of marine tenure in achieving a wide range development objectives. The Primer contains six support tools aligned with USAID’s program cycle (Figure 3). These support tools were developed in an iterative approach through design and application and testing in the Philippines, Indonesia, and Bangladesh. A recurrent theme in discussions with USAID staff and partners during the field assessments was to ensure that new tools were easily integrated within the existing USAID program cycle and other USAID guidance and requirements. As such, the primary approach taken in each of the Support Tools is to set forth guiding questions that USAID staff and partners can consider during programming and project design. These guiding questions are intended to raise awareness of the opportunities for integrating marine tenure and small-scale fisheries within a country’s portfolio and identify synergies between programs that could support the achievement of multiple development objectives. In addition, these guiding questions may identify potential conflicts in programming that could result in unintended consequences.

Support Tools 1, 2, and 3 are designed to help integrate consideration of “blue” programming into the CDCS and across multiple development portfolios. Support Tool 1 consists of a set of questions that can be used to expand the development context of a CDCS into a blue development space. This development context includes marine and coastal environmental, social, demographic, political, economic, and governance conditions and trends in the country. Support Tool 2 provides a country-level assessment framework for taking stock of legal, policy, and institutional gaps in securing sustainable small-scale fisheries. This framework, based on the SSF Guidelines, covers eight multidimensional themes which include tenure, employment, and gender equality. Support Tool 3 builds on this development context by highlighting opportunities for programming in a blue development space across multiple development portfolios. In this tool, the user is provided with an overview of the contribution of marine and coastal resources to a specific development objective, such as biodiversity conservation, food security and nutrition, and poverty reduction, along with guiding questions and potential interventions to consider by sector. These tools can be used sequentially or individually depending on the degree in which a USAID mission and partners are interested in pursuing more robust programming in the blue development space.

Support Tools 4, 5, and 6 focus on designing and analyzing the impacts of planned projects that integrate marine tenure and small-scale fisheries. Support Tool 4 provides a simple matrix that can be used to take stock of the often complex hierarchy of institutions with marine tenure rights and responsibilities. Gaining a better understanding of nature of role of marine tenure institutions is useful in identifying tenure insecurity as part of a project’s problem statement. Support Tool 5 provides guidance for developing a situation model explicitly highlighting marine tenure as part of the cause-and-effect problem analysis. As part of this process, potential strategies and actions are identified to address key drivers. Finally, all project designs must undergo a number of mandatory analyses. Support Tool 6 focuses on potential improvements in project design to enhance beneficial impacts and sustainability as well as minimize unintended negative consequences. This tool provides questions on marine tenure and small-scale fisheries that can be folded into required and additional project analyses.

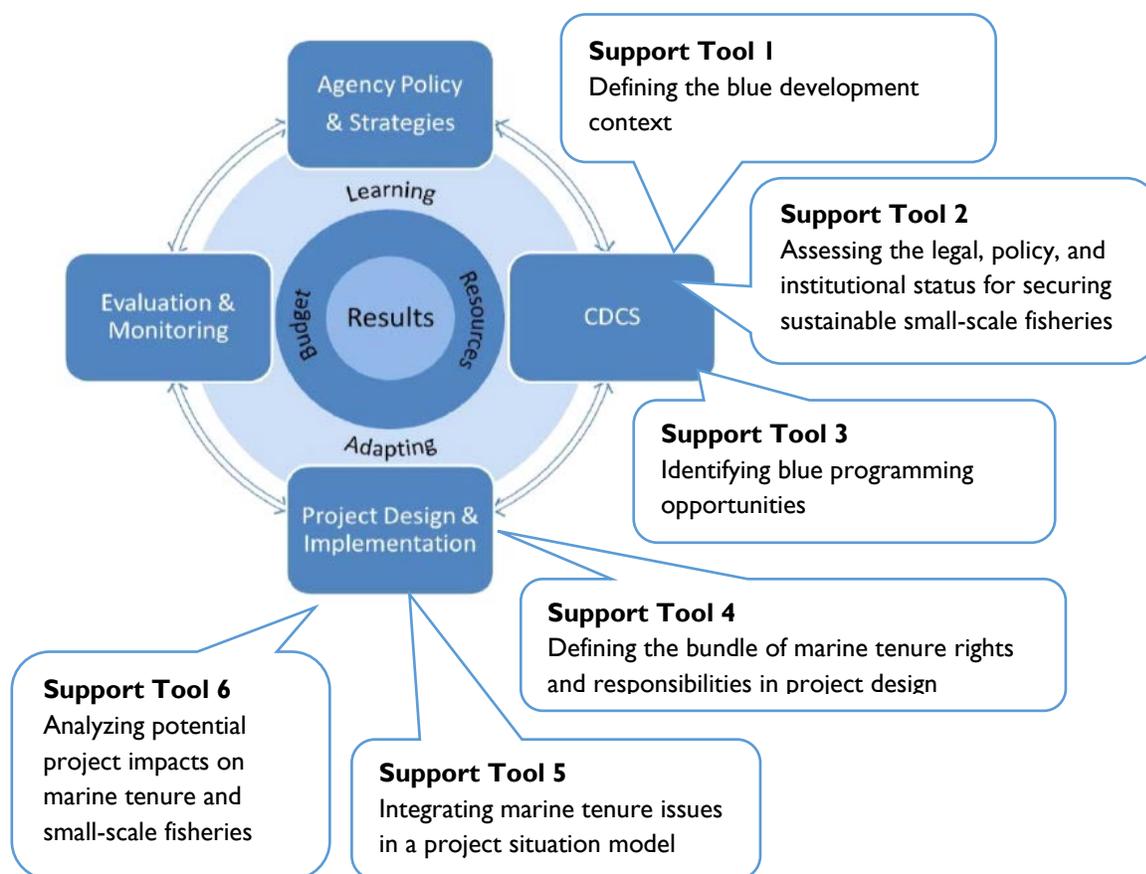


Figure 3. Support tools in relation to the USAID program cycle

Although the Primer focuses on the planning phase of the USAID programming cycle, many of the same questions and considerations can be used during the project implementation and evaluation phases as part of an adaptive management approach. Adaptive management is an approach to implementing the program cycle that seeks to better achieve desired results and impacts through the systematic, iterative, and planned use of emergent knowledge and learning throughout the implementation of strategies, programs, and projects.

For ongoing programs and projects, the questions and considerations presented in the support tools can facilitate coordination, collaboration, and exchange of experiential knowledge among USAID staff and partners to identify opportunities to add value to or support synergies among projects. Guiding questions can support the conduct of a gap analysis to identify and fill critical knowledge gaps and address uncertainties in hypotheses with new research or syntheses of existing analyses. The Primer can also be used as a source of questions that can be integrated into external project evaluations to ensure new learning and innovations are identified to inform CDCS and project implementation.

Finally, the assessment frameworks and guiding questions in the Primer highlight the need to identify social, economic, and political drivers that represent the broad conditions that may be beyond a USAID mission's control but that could evolve to impede strategy implementation. The identification of these drivers jointly by USAID mission staff and partners will provide valuable insights throughout the USAID program cycle.

SUPPORT TOOL I: DEFINING THE BLUE DEVELOPMENT CONTEXT

PURPOSE AND NEED

The CDCS articulates country-specific development hypotheses, sets forth the goal, objectives, results, indicators and resource levels that guide Project Design/Implementation, Evaluation, and Performance Management, and informs annual planning and reporting processes (USAID, 2014a). The CDCS update, which occurs approximately every five years, is an important entry point for the integration of marine tenure and small-scale fisheries to support multiple development objectives not just biodiversity. While USAID has a long history of funding marine and coastal projects in Africa, Latin America, and Asia and the Pacific Islands, these investments typically form a small fraction of USAID’s portfolio for coastal and island developing countries. The purpose of this tool is thus to:

- Raise awareness of the vital importance of small-scale fisheries (both marine and freshwater) within the social, cultural, economic, and environmental fabric of many developing countries;
- Support the preparation of the development context for marine and coastal programming as part of the CDCS update process; and
- Catalyze the integration of marine tenure and small-scale fisheries across multiple CDCS objectives, not just those for biodiversity conservation.

The extensive maritime jurisdictions, often covering more area than a country’s land area (Figure 4) creates many opportunities for USAID and its partners to support multiple development objectives in this “blue development space.” Small-scale fisheries form the cornerstone of human well-being and resilience in coastal and island developing countries. These fisheries and associated ecosystems are in jeopardy due to range of human activities resulting in a loss of natural capital that is the foundation for an inclusive and sustainable coastal economy and climate resilience. Securing sustainable small-scale fisheries requires an integrated and ecosystem-based approach that considers the entire ecosystem, including humans and the cumulative impacts of different sectors (Flower et al., 2013; McLeod, Lubchenco, Palumbi, & Rosenberg, 2005; Pollnac & Christie, 2009; United Nations Environment Programme (UNEP), 2011).

Support Tool I: Defining the Blue Development Context

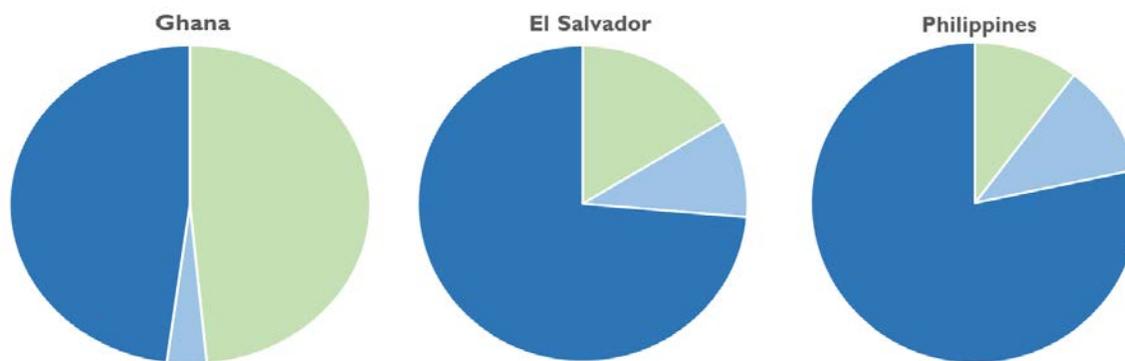


Figure 4. Percentage area of land (green) and sea (dark blue = Exclusive Economic Zone; light blue = Inshore Fishing Area) in three coastal and island developing countries

Marine and coastal ecosystems provide valuable goods and services including fisheries, nutrient cycling, and coastal protection (Table 1). The ocean provides a wide array of market and non-market benefits to society, including the moderation of extreme events, climate change mitigation, provisioning of food and water, recreation, and over a dozen other services. Small-scale fishers depend on nearshore waters for food and livelihood. Coastal tourism depends on clear waters, sandy beaches, coral reefs, and other natural resources. Offshore oil and gas development locate platforms and coastal facilities in marine and coastal areas. Ports and harbors support the maritime industry and markets for goods and services. The jobs and revenue produced from coastal and marine-related industries directly benefit those who are employed, but also have substantial indirect value for community identity, tax revenue, and other related economic and social impacts of a stable coastal economy (Ocean Health Index, 2015). In a global study, coastal ecosystems, especially coral reef ecosystems and coastal wetlands, have higher values of market and non-market goods and services than any other biome (de Groot et al., 2012) (Table 2). Based on these results, the average value of marine and coastal ecosystem services per year is almost an order of magnitude greater than terrestrial ecosystems. Further, the results showed that most of this value is outside the market and is considered as non-tradable public benefits. As such, the continued overexploitation of these ecosystems comes at the expense of the livelihoods of the poor and future generations.

Table 1. Marine and coastal ecosystem services (de Groot et al., 2012; World Resources Institute, 2005)

Provisioning	Regulating	Supporting	Social/Cultural
<ul style="list-style-type: none"> • Fisheries • Coastal tourism • Ocean ranching • Maritime industry • Oil and gas • Genetic resources • Biochemicals, natural medicines 	<ul style="list-style-type: none"> • Climate regulation • Erosion control • Water purification and waste treatment • Carbon sequestration (linked to primary production) 	<ul style="list-style-type: none"> • Nutrient cycling • Primary production (linked to carbon sequestration) • Storm protection 	<ul style="list-style-type: none"> • Cultural/maritime heritage resources • Spiritual and religious values • Knowledge systems • Aesthetic values • Recreation • Education values

Table 2. Value of ecosystem services (de Groot et al., 2012)

Biome	Value in International Dollars per Hectare per Year (2007 Price Levels)		
	Average	Minimum	Maximum
Open ocean	491	85	1,664
Temperate forest	1,127	278	16,406
Woodlands	1,522	1,373	2,188
Tropical forest	5,264	1,581	20,851
Grasslands	2,871	124	5,930
Rivers and lakes	4,267	1,446	7,757
Inland wetland	25,682	3,018	104,924
Coastal wetland	193,845	300	887,828
Coastal systems	28,717	26,167	42,063
Coral reefs	352,915	36,794	2,129,122

Small-scale fisheries typically operate in nearshore waters which can be affected by human activities on both land and sea. The coastal zone, broadly defined as the nearshore waters and the adjacent land area, forms a dynamic interface of land and water of high ecological diversity and critical economic importance. The exclusive economic zone (EEZ) for each coastal country, which extends 200 nautical miles seaward from the territorial sea boundary¹, is an area over which a state has special rights regarding the exploration and use of marine resources. Overall, these large maritime jurisdictions bring rise to a multitude of challenges including national security and sovereignty, legal and policy conflicts, overlapping and conflicting resource uses, and inadequate institutional capacity for management and enforcement. The value of these services are typically grossly underestimated or not factored into decisions about economic development and natural resource use. Better accounting of the public goods and services provided by marine and coastal ecosystems is crucial to policy development and reform in all sectors. Further, securing tenure and improving governance for sustainable small-scale fisheries can serve as an important focal point to achieve multiple development objectives, such as biodiversity conservation, food security and inclusive and sustainable economic growth, in the coastal zone.

Illegal, unreported, and unregulated (IUU) fishing threatens small-scale fisheries and undermines the economic and environmental sustainability of fisheries and fish stocks around the world. Global losses attributable to the black market from IUU fishing are estimated to be between \$10 and \$23 billion annually, weakening profitability for legally caught seafood, fueling illegal trafficking operations, and undermining economic opportunity for legitimate fishermen around the world. (The White House, 2014b).

Today, climate change is causing unprecedented transformations in marine ecosystems and is impacting the communities that depend on these systems. While coastal and island communities dependent on marine resources have a history of adapting and being resilient to change (Cinner et al., 2009; McClanahan, Polunin, & Done, 2002), existing pressures on global fisheries and the impacts of climate change are expected to cause unprecedented transformations. Existing marine tenure regimes are

¹ The EEZ is prescribed by the United Nations Convention on the Law of the Sea.

Support Tool I: Defining the Blue Development Context

threatened by sea level rise if governments forcibly remove populations from low-lying islands without considering fishing rights. Vulnerability, increasingly, is not simply about the poverty and marginal situation of fishery communities, but also about their growing exposure to disruptions in globalized fish markets (Daw, Adger, Brown, & Badjeck, 2009). The capacity of communities and natural resource management systems to adapt to the scale and extent of these changing conditions varies and will depend upon the strength of local governance and tenure systems. It is of critical importance to recognize that ecological and social vulnerability are linked in communities highly dependent on natural resources (Cinner et al., 2013; Marshall et al., 2009). As such, ecological vulnerability can determine the degree of social exposure to climate change.

INSIGHTS FROM THE FIELD

During field assessments, USAID staff and partners noted that investment in marine and coastal programming has been relatively small compared to a mission's overall portfolio. Further, this investment has been focused primarily on achieving biodiversity conservation objectives (Courtney et al., 2016; Courtney et al., 2017; Pomeroy et al., 2016). A key recommendation from the field assessments was to diversify and harmonize investment portfolios to secure sustainable small-scale fisheries. Despite great progress made in reducing threats to marine biodiversity, addressing other social, economic, and governance issues as part of a holistic approach was considered essential in reducing extreme poverty and build resilience in fishing communities. Discussions held with local leaders and community organizers indicated a strong interest and need to address other issues such as poverty, food security, and education in fishing communities. Fishing families also sought alternatives to fishing, especially for their children, but also for themselves.

USAID staff emphasized the need to develop a shared understanding of the substantial and multi-dimensional contribution of small-scale fisheries in reducing extreme poverty in order to justify investment beyond biodiversity conservation. The Sourcebook (Courtney & Jhaveri, 2017a), developed as a companion document to the Primer, provides a comprehensive review of the literature on marine tenure and small-scale fisheries that can help build greater awareness of marine tenure and small-scale fisheries. USAID staff also recognized that the next update of the CDCS provides an opportunity to support multiple development objectives including inclusive economic growth for small-scale fishers, to assist youth in fishing communities to become part of a more competitively educated workforce, to improve the health and welfare of fishing families, and to meet other development objectives. Existing analytical tools, such as a political economy analysis (PEA), could be used to expand the development context to provide a more comprehensive analysis of small-scale fisheries as economic and demographic sectors (See Support Tool 6).

DESCRIPTION AND USE

Support Tool I provides a list of questions and considerations that can be used to generate discussion among USAID staff and partners and to guide information gathering needed as an initial step in understanding the development context, challenges, and opportunities for marine and coastal programming in a particular country. By gaining a deeper appreciation of the role small-scale fisheries play in the social, cultural, and economic aspects of the country, country-level goals, objectives, results framework that can be adjusted or augmented as part of the CDCS update.

Support Tool 1: Defining the Blue Development Context

Much of the information needed to define the marine and coastal development context is available from host country government agencies as well as regional and international organizations. FAO Country Fisheries Profiles can serve as starting point for developing the country context for marine tenure and small-scale fisheries. It should be emphasized that in many developing countries, information and data on small-scale fisheries is limited and of poor quality. This lack of good information and data on the number and type of fishers, fish catch, economic contribution to the rural economy, and often informal and unrecognized rights to fishing grounds has historically led to a lack of attention and investment in small-scale fisheries from development agencies.

The guiding questions can be used to gather and organize information and data to develop a preliminary description of a country's blue development context and identify gaps in information. These questions are not all-inclusive but are designed to initiate a conversation. This preliminary description can be reviewed and refined in discussions among USAID staff and partners. If there is interest in incorporating marine and coastal issues into the CDCS, it is highly recommended that Support Tool 2 is used to identify legal, policy, and institutional framework gaps for marine tenure and small-scale fisheries in the country. Further, Support Tool 3, aims to highlight opportunities to integrate consideration of marine tenure and small-scale fisheries across multiple USAID programs also contributing to the CDCS update.

GUIDING QUESTIONS

Guiding Questions	Considerations
Marine and Coastal Environmental	
1. What are the major uses of marine and coastal resources and how well are these uses managed in the country?	Most coastal and island developing countries have large maritime jurisdictions that support a complex and often conflicting and competing array of human uses including small- and large-scale fishing, coastal tourism, ports and harbors, maritime transportation, and oil and gas development.
2. What is the status of and trends in the health of fish stocks and habitats that support small-scale fisheries?	Globally, marine capture fisheries peaked in the early 1990s. Over 30 percent of fish stocks globally are overexploited and rising, and 60 percent of fish stocks globally are fully exploited and rising. The health of fish stocks in these systems is highly linked to the health of the complex set of habitats that are needed for their reproduction, recruitment, and growth. The health and resilience of marine capture fisheries depends on the health and resilience of marine and coastal habitats for food, reproduction, and nursery grounds. Often fish species require multiple habitats to complete their life cycles.
3. What are current and emerging threats to sustainable small-scale fisheries?	A range of human activities on land and sea threaten biodiversity in the marine and coastal environment. Coastal development and land reclamation degrade or permanently remove marine and coastal habitats. Poor upland land use practices create polluted runoff that affects coastal ecosystems. Overfishing and illegal fishing impact the diversity of species, food webs, and habitats. Other emerging uses of the marine and coastal environment that can affect marine biodiversity include bioprospecting, and oil and gas development. Climate change will have profound effects on marine and coastal ecosystems including changes in the distribution and movement of fish stocks, loss of habitats, and changes in food webs. With 44 percent of the global population living within 100 km of the sea, natural hazards and climate change will have impacts on human health and safety and economies overall. Projected changes need to be factored into development programming to reduce negative impacts on human well-being and resilience.
Social and Demographic	
4. What is the annual per capita consumption of marine fish and invertebrates and trends?	It is estimated that around 60 percent of people in many developing countries depend on fish for over 30 percent of their animal protein supplies. Fish is extremely important for human nutrition. It not only contains healthy protein but also fatty acids, vitamins, and many nutrients that do not occur in such quantity and diversity in cereals, other crops, or meat. Decreasing trends in per capita consumption may mean that less fish is available or that the population is shifting to another source of protein.

Guiding Questions	Considerations
5. What is the contribution of small-scale fisheries to livelihoods and employment?	Globally, small-scale fishers outnumber those employed by large-scale fishers. As such, there is a livelihood benefit to giving preferential access to small-scale fishers. Encroachment of large-scale fishers into areas typically used by small-scale fishers can result in conflict and unsustainable levels of fishing effort. These trends have significance for small-scale fisheries that provide food and livelihood in developing countries.
6. What conflicting or competing uses of the coastal zone are causing instability or violence?	Conflicting and competing uses of the coastal zone result in a wide range of ecological, social, and economic impacts. Small- and large-scale fisheries compete for fish stocks. Land reclamation results in the loss of essential fish habitat. Poor land use practices pollute nearshore waters affecting habitats and fish recruitment. Development of tourism and oil and gas infrastructure can lead to loss of access to coastal land and fishing grounds. These conflicts emerge from economic development policies and can also be exacerbated by political instability and social and cultural conflicts.
Political and Economic	
7. What are power and influence of various actors in the coastal zone?	Inclusive economic growth requires understanding of the inequities in power and influence of various actors in the coastal zone. Small-scale fishers often have little influence in the policy and economic arena compared to political, industrial, and corporate actors.
8. What components of the economy depend on the coastal zone?	Coastal economies are composed of a complex and diverse array of small and large enterprises. Ports and harbors bring goods to and from a country. Both small-scale and large-scale fisheries provide food and livelihoods as well as wealth generation through commercial sales; however, small-scale fisheries have a greater positive impact on food security and poverty alleviation. Coastal tourism may provide jobs but can also result in displacement of fishers and communities. Offshore oil and gas development may result in loss of fishing grounds as well as impact fish populations and other marine life as a result of sonic explosions used for exploration.
9. What is the relative contribution of small-scale and large-scale fisheries to food security and economic development?	Globally, small-scale fishers account for a large amount of total capture fisheries production often equal to or greater than large-scale fishers. As such, there is a benefit to production by giving preferential access to small-scale fishers. It is noteworthy that most fisheries interventions do not pay enough attention to small-scale fisheries given that they employ significantly more people and catch roughly the same amount of fish, but use less fuel and have very little by-catch. A sustainable production and distribution of fish caught by small-scale fishers must be supported through improved facilities and access to markets. The economic contribution of small-scale fisheries to the national economy is difficult to accurately quantify due to the challenges in accounting for the number of fishers and fisheries production often landed in multiple,

Support Tool 1: Defining the Blue Development Context

Guiding Questions	Considerations
	rural areas. Nevertheless, such analysis can be extremely important in making a policy case for working on small-scale fisheries.
10. What is the status of and trends in trade of fish products for consumption?	The level of export or import of fish products for consumption can serve as an indicator of the health of the fishery or the degree to which protein from fisheries is needed. Net exports of fish can signify an excess production or denote high-value products that provide greater economic return. Net imports of fish can signify a lack of production in-country or demand that exceeds production.
Governance	
11. Are secure exclusive rights of small-scale fishers (individuals, groups, communities, indigenous peoples) to marine resources recognized in existing national and local government laws and policies?	In some cases, recognition of preferential use of nearshore waters by subsistence or small-scale fishers can be found as high up in the legal framework of a country as the constitution. National laws are typically the place for defining what constitutes small-scale fisheries and the types of rights and responsibilities of fishers and the government. Local recognition can be found in some decentralized systems where local ordinances recognize local management systems.
12. To what extent do national and local laws and policies reflect international agreements and provide a coherent policy framework for human rights, indigenous peoples, biodiversity conservation, and other important agreements?	Policy coherence is needed between national legislation and international laws and instruments for human rights, fisheries, biodiversity, indigenous peoples, economic development policies, energy, education, health, and climate change. The Voluntary Guidelines can provide a useful framework for comparing national regulations with international best practices.
13. To what extent do national and local laws, policies, and regulations include provisions to limit fishing capacity, prohibit destructive gear/methods, establish marine protected areas and networks, conduct research, and monitor and enforce laws?	A harmonized legal, policy, and regulatory framework is needed that incorporates provisions for ecosystem-based management approaches, limits on fishing efforts, and restrictions on destructive fishing practices, and promotes marine spatial zoning and networks of resilient marine protected areas. High policy coherence should reflect the state of knowledge on fisheries management.
14. To what extent are national and local laws and policies implemented	The success of marine tenure regimes is to a large extent dependent on the rule of law. Management of small-scale fisheries must incorporate an appropriate set of restrictions (spatial, temporal, gear, species, and effort)

Support Tool 1: Defining the Blue Development Context

Guiding Questions	Considerations
and enforced to support sustainable fisheries?	based on scientific information and traditional and local knowledge applied within an adaptive, ecosystem-based approach. The capacity for local enforcement of these rules is critical. Enforcement of large-scale fisheries and other sectors impacting small-scale fisheries (coastal and marine industries) is equally important to address threats beyond the capacity of communities to enforce.
15. What mechanisms are in place to resolve disputes over tenure rights?	Overlap and encroachment of tenure rights by multiple stakeholders requires transparent conflict resolution mechanisms to address these threats. Conflicts may arise among small-scale fishers, between small-scale and large-scale fishers, or between small-scale fishers and other users on land (impacts of mining, urbanization) or at sea (oil and gas industry, tourism). Either informal or legally defined conflict resolution mechanisms are needed to help address conflicting and competing uses of coastal and marine resources.
16. To what extent do co-management arrangements support secure marine tenure regimes?	The success of marine tenure regimes is also dependent on the nature and support of co-management arrangements. Co-management represents a broad spectrum of management arrangements between resource users (fishers), government (national/local), and other partners (NGOs, academic, private sector). Factors supporting successful and adaptive co-management regimes include: clear and identifiable set of social entities with shared interests; a commitment to support long-term institution building; the provision of training, capacity building, and resources for local, regional, and national level stakeholders; a national and subnational policy environment supportive of co-management efforts; and leadership at all levels.

SUPPORT TOOL 2: ASSESSING THE LEGAL, POLICY, AND INSTITUTIONAL STATUS FOR SECURING SUSTAINABLE SMALL-SCALE FISHERIES

PURPOSE AND NEED

Securing sustainable small-scale fisheries is an emerging global development agenda. With the growing recognition of the significance of small-scale fisheries to biodiversity conservation, food security, local and global economic growth, and other development objectives around the world, the FAO working member states developed the *Voluntary Guidelines on Securing Sustainable Small-scale Fisheries in the Context of Food Security and Poverty Alleviation* (SSF Guidelines) (FAO, 2015). The SSF Guidelines open the door to tackling difficult issues including developing clear definitions of small-scale fisheries, supporting a human rights-based approach, and providing preferential access to small-scale fishers (Jentoft, 2014). The SSF Guidelines provides an opportunity to bring together a diversity of stakeholders to assess the status of implementation of key provisions and to identify legal, policy, and institutional capacity and gaps for supporting sustainable small-scale fisheries. The purpose of this tool is to:

- Raise awareness of the SSF Guidelines among USAID mission staff and partners;
- Assessing the status of the existing legal, policy, and institutional framework for securing sustainable small-scale fisheries; and
- Identify gaps and opportunities for investment in marine tenure and small-scale fisheries by USAID programs and partners that work in a diversity of sectors.

Responsible governance of tenure is a key component of the SSF Guidelines and is supported by other platforms including the *1995 Code of Conduct for Responsible Fisheries*, which called for states to protect the rights of fishers and fish workers who contribute to subsistence, artisanal, or small-scale fisheries (FAO, 2011); the *Voluntary Guidelines on the Responsible Governance of Tenure of Land, Fisheries and Forests in the Context of National Food Security* (FAO, 2012); the recommendations of the *Voluntary Guidelines on the Progressive Realization of the Right to Adequate Food in the Context of National Food Security* (FAO, 2005), and the *Principles for Responsible Investment in Agriculture and Food Systems* (CFS, 2014).

INSIGHTS FROM THE FIELD

While USAID staff and partners were aware of the SSF Guidelines, few had reviewed or applied them to take stock of the foundation needed to support sustainable small-scale fisheries in their own programs or projects. A desk review of background information was useful in summarizing information for each theme of the SSF Guidelines. A workshop is needed, bringing together stakeholders from different sectors, to validate the desk review and provide a forum for discussion of strengths and gaps. A broad cross-section of participants from relevant ministries, the private sector, and other organizations and a range of expertise is needed to cover the multiple dimensions of the SSF Guidelines.

While field testing was conducted at a national level, the Tool should also be used at a local level to: (1) increase awareness of local stakeholders about the SSF Guidelines and national laws and policies

concerning small-scale fisheries; and (2) gather better information on local implementation as it relates to provisions of the SSF Guidelines. A country-level assessment of the status of implementation of the SSF Guidelines, developed collaboratively with partners, could guide the development of a multi-sectoral investment strategy to reduce extreme poverty in fishing communities.

DESCRIPTION AND USE

Support Tool 2 is designed to help USAID staff and partners take stock of the status of implementation of the SSF Guidelines and identify gaps and recommendations that could be addressed through program and project design. The Tool is organized into eight interconnected themes based on the SSF Guidelines (Figure 5). Two crosscutting themes in the SSF Guidelines, capacity development and implementation support and monitoring, were incorporated into the eight dimensions. A summary of the strategies developed for each dimension is provided in Table 3.

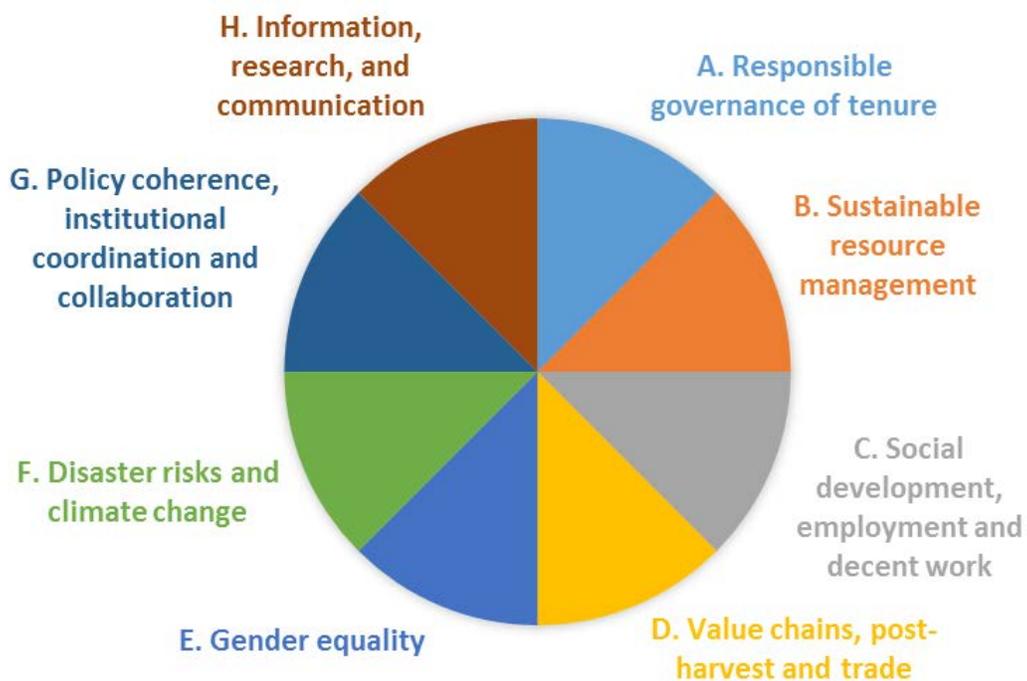


Figure 5. Eight interconnected themes of securing sustainable small-scale fisheries based on FAO (2015)

Table 3. Strategies for each themes based on the SSF Guidelines, FAO (2015)	
A. Responsible governance of tenure	<ol style="list-style-type: none"> 1. Recognize and protect legitimate tenure rights 2. Grant preferential and equitable access and use 3. Address competing and conflicting resource uses
B. Sustainable resource management	<ol style="list-style-type: none"> 4. Promote responsible fishing practices and policies that ensure sustainable resource use 5. Strengthen the capacity of stakeholders to manage resources sustainably 6. Develop effective monitoring, control, and surveillance systems 7. Develop effective co-management arrangements
C. Social development, employment, and decent work	<ol style="list-style-type: none"> 8. Improve working conditions and safety for small-scale fisheries workers 9. Develop human resource capacity of small-scale fishers and fishing communities 10. Diversify livelihoods and income-generating activities 11. Ensure access of children and youth in fishing communities to education
D. Value chains, post-harvest, and trade	<ol style="list-style-type: none"> 12. Build capacity for small-scale fisheries to benefit from market opportunities 13. Improve the value chain for fish and fishery products for domestic and export markets 14. Reform national policies to minimize adverse impacts of domestic and international trade on small-scale fisheries
E. Gender equality	<ol style="list-style-type: none"> 15. Mainstream gender equality as an integral part of small-scale fisheries development
F. Disaster risks and climate change	<ol style="list-style-type: none"> 16. Recognize and address the differential impact of natural and human-induced disasters and climate change on small-scale fisheries and communities
G. Policy coherence, institutional coordination, and collaboration	<ol style="list-style-type: none"> 17. Adopt national policies and laws that support an integrated, holistic, ecosystem-based approach to marine and coastal management 18. Establish mechanisms for institutional coordination and collaboration at international, regional, national, subnational levels
H. Information, research, and communication	<ol style="list-style-type: none"> 19. Improve knowledge of social-ecological systems 20. Improve access to information and data needed for decision making

Finally, for each theme and strategy, good practices were crafted based on the content of the SSF Guidelines. Together, the strategies and good practices are organized as an assessment matrix for each of the eight themes. An example of the assessment matrix and worksheet for one theme, responsible governance of tenure, is provided in Table 4. The assessment matrices for the remaining themes are provided in the next section, assessment matrix by theme.

Useful inputs to the assessment include: (1) a desk review of each dimension based on the assessment matrix for each dimension; (2) interviews or meetings with key stakeholders to enhance the desk review; and (3) a workshop with presentations and breakout groups by theme to conduct the assessment and identify recommendations to address gaps. Examples of desk reviews can be found in

the field assessment reports for the Philippines and Indonesia. The results of an assessment workshop can also be found in the field assessment report for Indonesia (Courtney et al., 2017).

A workshop provides an excellent opportunity for USAID staff from different programs together with their partners to explore the multiple themes associated with securing sustainable small-scale fisheries. During a workshop, participants draw on presentations and the desk review to determine the extent to which national laws and policies and local implementation are reflective of the SSF Guidelines. Participants identify accomplishments and gaps, develop ratings and rationale, and provide recommendations. The implementation status can then be ranked as high, medium, or low for each dimension. The ranking, while an optional step, can be useful in generating discussion among workshop participants about the results of the assessment.

Table 4. Example assessment framework and worksheet for strategies and good practices under the theme of responsible governance of tenure

A. RESPONSIBLE GOVERNANCE OF TENURE	
Overall Rating (circle one) 2 3 4 5	
<p>1. Recognize and protect legitimate tenure rights</p> <p>a. Recognize, record, respect, and protect all forms of legitimate tenure rights, taking into account customary rights to aquatic resources and land and small-scale fishing areas enjoyed by small-scale fishing communities.</p> <p>b. Ensure that small-scale fishers, fish workers, and their communities have secure, equitable, and socially and culturally appropriate tenure rights to fishery resources (marine and inland) and small-scale fishing areas and adjacent land, with a special attention paid to women with respected to tenure rights.</p> <p>c. Recognize, respect, and protect 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 and ethnic minorities consistent with international human rights law.</p> <p>d. Ensure that small-scale fishing communities are not arbitrarily evicted nor their legitimate tenure rights otherwise extinguished or infringed.</p>	
National Legal/Policy/Institutional Framework	Local Implementation
Rating (circle one) 1 – low 2 – medium 3 – high	Rating (circle one) 1 – low 2 – medium 3 – high
To what extent do existing laws, policies, and institutions support the SSF Guidelines?	To what extent are the SSF Guidelines implemented on the ground?
What are gaps and recommendations to improve the legal/policy/institutional framework to better support the SSF Guidelines?	What are gaps and recommendations to improve implementation of the SSF Guidelines?
<p>2. Grant preferential and equitable access and use</p> <p>a. Grant preferential access of small-scale fisheries to fish in waters under national jurisdiction, with a view to achieving equitable outcomes for different groups of people, in particular vulnerable groups, including the creation and enforcement of exclusive zones for small-scale fisheries. Small-scale fisheries should be given due consideration before agreements on resource access are entered into with other countries and parties.</p> <p>b. Adopt measures to facilitate equitable access to fishery resources for small-scale fishing communities.</p>	

Table 4. Example assessment framework and worksheet for strategies and good practices under the theme of responsible governance of tenure

A. RESPONSIBLE GOVERNANCE OF TENURE	
c. Restore access to traditional fishing grounds and coastal lands to small-scale fishing communities displaced by natural disasters and/or armed conflict, taking into consideration the sustainability of fisheries resources.	
National Legal/Policy/Institutional Framework	Local Implementation
Rating (circle one) 1– low 2 – medium 3 – high	Rating (circle one) 1– low 2 – medium 3 – high
To what extent do existing laws, policies, and institutions support the SSF Guidelines?	To what extent are the SSF Guidelines implemented on the ground?
What are gaps and recommendations to improve the legal/policy/institutional framework to better support the SSF Guidelines?	What are gaps and recommendations to improve implementation of the SSF Guidelines?
3. Address competing and conflicting resource uses	
a. Recognize that competition from other users is increasing within small-scale fisheries areas and that small-scale fishing communities, in particular vulnerable and marginalized groups, are often the weaker party in conflicts with other sectors and may require special support if their livelihoods are threatened by development activities of other sectors. b. Consider the social, economic, and environmental impacts of large-scale development on tenure rights through impact studies, and hold effective and meaningful consultations with these communities, in accordance with national legislation. c. Provide small-scale fishing communities and individuals, including vulnerable and marginalized people, access through impartial and competent judicial and administrative bodies to timely, affordable, and effective means of resolving disputes over tenure rights. d. Establish mechanisms to support fishing communities affected by grave human rights violations to rebuild their lives and livelihoods, including the elimination of any form of discrimination against women in tenure practices in case of natural disasters and/or armed conflict.	
National Legal/Policy/Institutional Framework	Local Implementation
Rating (circle one) 1– low 2 – medium 3 – high	Rating (circle one) 1– low 2 – medium 3 – high

Table 4. Example assessment framework and worksheet for strategies and good practices under the theme of responsible governance of tenure

A. RESPONSIBLE GOVERNANCE OF TENURE	
To what extent do existing laws, policies, and institutions support the SSF Guidelines?	To what extent are the SSF Guidelines implemented on the ground?
What are gaps and recommendations to improve the legal/policy/institutional framework to better support the SSF Guidelines?	What are gaps and recommendations to improve implementation of the SSF Guidelines?

ASSESSMENT FRAMEWORK BY THEME

RESPONSIBLE GOVERNANCE OF TENURE

SSF Guidelines Overview

Responsible governance of tenure forms a core theme in the SSF Guidelines and provides a springboard for strengthening national fisheries laws and policies and for recognizing and securing local community-based institutional platforms to manage coastal fisheries through an ecosystem-based management approach. National legal and policy frameworks, administrative and judicial systems, effective co-management arrangements, dispute resolution mechanisms, local participation and empowerment, and strengthened institutional capacity are all key ingredients of responsible governance of marine tenure. Responsible governance of tenure should be aligned closely with human rights, especially in small-scale fisheries (Charles, 2013).

The SSF Guidelines urge states to adopt national legislation to strengthen responsible governance of tenure of land, fisheries, and forests to ensure that small-scale fishers, fish workers, and their communities have secure, equitable, and socially and culturally appropriate tenure rights to fishery resources, fishing areas, and adjacent land. Formal recognition of marine tenure provides communities with the security needed to invest in and manage their fishery resources for long-term sustainability. Granting preferential access to fish and water through the creation and enforcement of exclusive use zones and effective and transparent mechanisms, and addressing resource use conflicts are needed to protect the rights of small-scale fishers. Conflict resolution mechanisms are necessary to address competing and conflicting use of land and nearshore waters.

A. Responsible governance of tenure strategies and good practices [adapted from FAO (2015)]
1. Recognize and protect legitimate tenure rights
a. Recognize, record, respect, and protect all forms of legitimate tenure rights, taking into account, where appropriate, customary rights to aquatic resources and land and small-scale fishing areas enjoyed by small-scale fishing communities.
b. Ensure that small-scale fishers, fish workers and their communities have secure, equitable, and socially and culturally appropriate tenure rights to fishery resources (marine and inland) and small-scale fishing areas and adjacent land, with a special attention paid to women with respect to tenure rights.
c. Recognize, respect, and protect 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 and ethnic minorities consistent with international human rights law.
d. Ensure that small-scale fishing communities are not arbitrarily evicted and that their legitimate tenure rights are not otherwise extinguished or infringed.
2. Grant preferential and equitable access and use
a. Grant preferential access of small-scale fisheries to fish in waters under national jurisdiction, with a view to achieving equitable outcomes for different groups of people, in particular vulnerable groups, including the creation and enforcement of exclusive zones for small-scale fisheries. Small-scale fisheries should be given due consideration before agreements on resource access are entered into with other countries and parties.

A. Responsible governance of tenure strategies and good practices [adapted from FAO (2015)]
b. Adopt measures to facilitate equitable access to fishery resources for small-scale fishing communities.
c. Restore access to traditional fishing grounds and coastal lands to small-scale fishing communities displaced by natural disasters and/or armed conflict, taking into consideration the sustainability of fisheries resources.
3. Address competing and conflicting resource uses
a. Recognize that competition from other users is increasing within small-scale fisheries areas and that small-scale fishing communities, in particular vulnerable and marginalized groups, are often the weaker party in conflicts with other sectors and may require special support if their livelihoods are threatened by the development and activities of other sectors.
b. Consider the social, economic, and environmental impacts of large-scale development on tenure rights through impact studies, and hold effective and meaningful consultations with these communities, in accordance with national legislation.
c. Provide small-scale fishing communities and individuals, including vulnerable and marginalized people, access through impartial and competent judicial and administrative bodies to timely, affordable, and effective means of resolving disputes over tenure rights.
d. Establish mechanisms to support fishing communities affected by grave human rights violations to rebuild their lives and livelihoods, including the elimination of any form of discrimination against women in tenure practices in case of natural disasters and/or armed conflict.

SUSTAINABLE RESOURCE MANAGEMENT

SSF Guidelines Overview

The SSF Guidelines urge states to adopt and implement national legislation that supports responsible fishing practices and sustainable resource use. Secure tenure rights must be accompanied by the adoption at all levels of responsible fishing practices. Government and local institutional capacity must be strengthened to participate in decision making and manage resources sustainably. Effective monitoring, control, and surveillance systems are needed to address IUU fishing. Co-management arrangements between government and local stakeholders need to be clearly articulated and upheld.

B. Sustainable resource management strategies and good practices [adapted from FAO (2015)]
4. Promote responsible fishing practices and policies that ensure sustainable resource use
a. Adopt measures for the long-term conservation and sustainable use of fisheries resources and to secure the ecological foundation for food production giving due recognition to the requirements and opportunities of small-scale fisheries.
b. Recognize that rights and responsibilities come together and tenure rights are balanced by duties, and support the long-term conservation and sustainable use of resources and the maintenance of the ecological foundation for food production.
c. Promote fishing practices that minimize harm to the aquatic environment and associated species and support the sustainability of the resource.

<p>B. Sustainable resource management strategies and good practices [adapted from FAO (2015)]</p> <p>d. Avoid policies and financial measures that may contribute to fishing overcapacity and, hence, overexploitation of resources that have an adverse impact on small-scale fisheries.</p>
<p>5. Strengthen the capacity of stakeholders to manage resource sustainably</p>
<p>a. Enhance the capacity of small-scale fishing communities to enable them to participate in decision-making processes.</p>
<p>b. Develop knowledge and skills to support sustainable small-scale fisheries development and successful co-management arrangements.</p>
<p>c. Facilitate, train, and support small-scale fishing communities to participate in and take responsibility for, their legitimate tenure rights and systems, and the management of the resources on which they depend for their well-being and that are traditionally used for their livelihoods, with special attention to equitable participation of women and vulnerable and marginalized groups.</p>
<p>6. Develop effective monitoring, control, and surveillance systems</p>
<p>a. Improve availability and access to information necessary for responsible small-scale fisheries and sustainable development, including on IUU fishing.</p>
<p>b. Establish new or promote the application of existing monitoring, control, and surveillance systems applicable to and suitable for small-scale fisheries.</p>
<p>c. Establish effective monitoring and enforcement mechanisms to deter, prevent, and eliminate all forms of illegal and/or destructive fishing practices having a negative effect on marine and inland ecosystems.</p>
<p>d. Improve registration of small-scale fishers to support monitoring, control and surveillance systems and provide to the state fisheries authorities the information required for the management of the activity.</p>
<p>7. Develop effective co-management arrangements</p>
<p>a. Promote participatory management systems, such as co-management.</p>
<p>b. Ensure clarification and agreement on co-management roles and responsibilities through a participatory and legally supported processes.</p>
<p>c. Encourage and support the role and involvement of both men and women, whether engaged in pre-harvest, harvest, or post-harvest operations, in the context of co-management and in the promotion of responsible fisheries.</p>
<p>d. Address transboundary issues with shared waters and fishery resources, to ensure that small-scale fishing communities granted rights are protected.</p>

SOCIAL DEVELOPMENT, EMPLOYMENT, DECENT WORK

SSF Guidelines Overview

The SSF Guidelines urge states to create an environment free from corruption, crime, violence, abuse of authority, and other illegal activities. Within the context of sustainable resource management and secure tenure, support for developing alternative income-generating opportunities that diversify livelihoods for economic resilience is necessary.

C. Social development, employment, and decent work strategies and good practices [adapted from FAO (2015)]
8. Improve working conditions and safety for small-scale fisheries workers
a. Create conditions for men and women of small-scale fishing communities to fish and carry out fisheries-related activities in an environment free from crime, violence, mafia activities, piracy, theft, sexual abuse, corruption, and abuse of authority.
b. Address occupational health issues and unfair working conditions of all small-scale fishers and fish workers by ensuring that the necessary legislation is in place and is implemented.
c. Eradicate forced labor; prevent debt-bondage of women, men, and children; and adopt effective measures to protect fishers and fish workers, including migrants, with a view to the complete elimination of forced labor in fisheries, including small-scale fisheries.
d. Improve sea safety, which includes occupational health and safety, in small-scale fisheries (inland and marine) through the development and implementation of coherent and integrated national strategies, with the active participation of the fishers themselves and with elements of regional coordination, as appropriate.
9. Develop human resource capacity of small-scale fishers and fishing communities
a. Promote investment in human resource development such as health, education, literacy, digital inclusion, and other skills of a technical nature that generate value addition for the fisheries resources as well as awareness-raising.
b. Support the development of and access to other services that are appropriate for small-scale fishing communities with regard to, for example, savings, credit, and insurance schemes, with special emphasis on ensuring the access of women to such services.
c. Recognize that capacity development 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 marginalized groups.
10. Diversify livelihoods and income-generating activities
a. Recognize the economic and professional importance of the full range of activities along the small-scale fisheries value chain: pre- and post-harvest; in an aquatic environment or on land; undertaken by men or by women.
b. Support 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 and in support of sustainable resource utilization and livelihood diversification.
c. Recognize and respect the role of migrant fishers and fish workers in small-scale fisheries, given that migration is a common livelihood strategy in small-scale fisheries.
11. Ensure access of children and youth in fishing communities to education
a. Provide and enable access to 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 and young men and women.

C. Social development, employment, and decent work strategies and good practices [adapted from FAO (2015)]

- b. Recognize the importance of children’s well-being and education for the future of the children and for society at large.

VALUE CHAIN, POST-HARVEST, AND TRADE

SSF Guidelines Overview

The SSF Guidelines highlight the central role of small-scale fisheries in the post-harvest sector and the fact that women should be recognized and supported as important contributors to the value chain. Post-harvest actors may have unequal power relationships that require special support or attention. The value chain for fish and fishery products for domestic and export markets must be improved through investments in infrastructure and seafood handling at all stages.

D. Value chains, post-harvest, and trade strategies and good practices [adapted from FAO (2015)]

12. Build capacity for small-scale fisheries to benefit from market opportunities

- a. Recognize the central role that the small-scale fisheries post-harvest subsector and its actors play in the value chain.
- b. Recognize the role women often play in the post-harvest subsector and support improvements to facilitate women’s participation in work.
- c. Enable timely access to all relevant and accurate market and trade information for stakeholders in the small-scale fisheries value chain.

13. Improve the value chain for fish and fishery products for domestic and export markets

- a. Recognize the traditional forms of associations of fishers and fish workers and promote that their organizational and capacity development is adequate in all stages of the value chain to enhance their income and livelihood security.
- b. Foster, provide, and enable investments in appropriate infrastructure, organizational structure, and capacity development to support the small-scale fisheries post-harvest subsector in producing good quality and safe fish and fishery products, for both export and domestic markets, in a responsible and sustainable manner.
- c. Avoid post-harvest losses and waste, and seek ways to create value addition, building on existing traditional and local cost-efficient technologies, local innovations, culturally appropriate technology transfers, and environmentally sustainable practices.

14. Reform national policies to minimize adverse impacts of domestic and international trade on small-scale fisheries

- a. Facilitate access to local, national, regional, and international markets and promote equitable and non-discriminatory trade for small-scale fisheries products.
- b. Give due consideration to the impact of international trade in fish and fishery products and of vertical integration on local small-scale fishers, fish workers, and their communities. Ensure promotion of international fish trade and export production do not adversely affect the nutritional needs of people for whom fish is critical to a nutritious diet and their health and well-being and for whom other comparable sources of food are not readily available or affordable.

D. Value chains, post-harvest, and trade strategies and good practices [adapted from FAO (2015)]

- c. Recognize that benefits from international trade should be fairly distributed and that effective fisheries management systems are in place to prevent overexploitation driven by market demand that can threaten the sustainability of fisheries resources, food security, and nutrition.
- d. Adopt policies and procedures, including environmental, social, and other relevant assessments, to ensure that adverse impacts by international trade on the environment, small-scale fisheries culture, livelihoods, and special needs related to food security are equitably addressed.

GENDER EQUALITY

SSF Guidelines Overview

The SSF Guidelines highlight the need for states to achieve gender equality as an integral part of small-scale fishery development strategies. Gender equality means equal treatment of women and men in laws and policies, and equal participation, access to resources and services (e.g. justice, education, health) within families, communities and society at large (Arenas & Lentisco, 2011). Gender equality results from applying gender equity principles, which refer to the process of fair and just treatment of women and men. To ensure fairness and justice, measures must be put in place to compensate for the historical and social disadvantages that prevent women and men from sharing a level playing field. Gender equality in small-scale fisheries must be mainstreamed in compliance with international human rights law.

E. Gender equality strategies and good practices [adapted from FAO (2015)]

15. Mainstream gender equality as an integral part of small-scale fisheries development

- a. Comply with obligations under international human rights law and implement the relevant instruments to which they are part.
- b. Secure women’s equal participation in decision-making processes for policies directed toward small-scale fisheries.
- c. Establish policies and legislation to realize gender equality, and as appropriate, adapt legislation, policies, and measures not compatible with gender equality, taking into account social, economic, and cultural aspects.
- d. Encourage the development of better technologies of importance and appropriate to women’s work in small-scale fisheries.

DISASTER RISK AND CLIMATE CHANGE

SSF Guidelines Overview

The SSF Guidelines highlight the need for holistic approaches and cross-sectoral collaboration to address disaster risk and climate change in small-scale fisheries and fishing communities. While coastal and island communities dependent on marine resources have a history of adapting and being resilient to change, ongoing pressures on global fisheries and the impacts of climate change are expected to cause unprecedented transformations that are difficult to predict. The impacts of climate change on coastal communities and small-scale fisheries must be assessed at multiple scales and through the whole value chain.

F. Disaster risk and climate change strategies and good practices [adapted from FAO (2015)]
16. Recognize and address the differential impact of natural and human-induced disasters and climate change on small-scale fisheries and communities
a. Develop capacity of small-scale fishing communities to address disaster risks and adapt to climate change.
b. Account for the impact that climate change and disasters may have on the post-harvest and trade subsector in the form of changes in fish species and quantities, fish quality and shelf-life, and implications with regard to market outlets.
c. Understand how emergency response and disaster preparedness are related in small-scale fisheries and apply the concept of the relief-development continuum.
d. Promote the role of small-scale fisheries in efforts related to climate change and encourage and support energy efficiency in the subsector, including the whole value chain—fishing, post-harvest, marketing, and distribution.

POLICY COHERENCE, INSTITUTIONAL COORDINATION, AND COLLABORATION

Overview

The SSF Guidelines urge states to adopt integrated, ecosystem, and holistic approaches to secure sustainable small-scale fisheries and address the many potential social, economic, and environmental factors that can threaten local management of tenure. As such, there is an important role for government in creating the policy environment and space for tenure arrangements to succeed (Charles, 2013). International, regional, national, and subnational coordination and collaboration are needed to support a harmonized policy environment for securing sustainable small-scale fisheries that focus on the long-term vision of eradicating poverty and hunger.

**G. Policy coherence, institutional coordination and collaboration strategies and good practices
[adapted from (FAO, 2015)]**

17. Adopt national policies and laws that support an integrated, holistic, ecosystem-based approach to marine and coastal management

- a. Develop and use spatial planning approaches, including inland and marine spatial planning, that take due account of the small-scale fisheries' interests and role in integrated coastal zone management.
- b. Adopt specific policy measures to ensure harmonization of policies affecting the health of marine and inland water bodies and ecosystems and to ensure that fisheries, agriculture, and other natural resource policies collectively enhance the interrelated livelihoods derived from these sectors.
- c. Consider integrated, ecosystem, and holistic approaches to small-scale fisheries management and development that take the complexity of livelihoods into account.
- d. Recognize and address the underlying causes and consequences of transboundary movement of fishers and contribute to the understanding of transboundary issues affecting the sustainability of small-scale fisheries.

18. Establish mechanisms for institutional coordination and collaboration at international, regional, national, subnational levels

- a. Establish and promote the institutional structures and linkages—including local-national-regional-global linkages and networks—necessary for achieving policy coherence, cross-sectoral collaboration, and the implementation of holistic and inclusive ecosystem approaches in the fisheries sector with clear roles and responsibilities and defined points of contact in government authorities and agencies for small-scale fishing communities.
- b. Promote collaboration among their professional associations, including fisheries cooperatives and civil society organizations, through networks and platforms for the exchange of experiences and information, and to facilitate their involvement in policy- and decision-making processes relevant to small-scale fisheries communities.
- c. Recognize and promote, as appropriate, local governance contributions to effective management of small-scale fisheries, taking into account the ecosystem approach and in accordance with national law.
- d. Promote enhanced international, regional, and sub-regional cooperation in securing sustainable small-scale fisheries.

INFORMATION, RESEARCH, AND COMMUNICATION

SSF Guidelines Overview

The SSF Guidelines recognize the need for social, ecological, economic, and cultural information and data to support decision-making on sustainable management of small-scale fisheries. Small-scale fisheries are complex social-ecological systems. Improved knowledge of the dynamics of these systems is needed as a foundation for providing appropriate and responsible support and to ensure that informal, indigenous, and customary knowledge, practices, and tenure systems are valued and protected.

H. Information, research, and communication strategies and good practices [adapted from (FAO, 2015)]

19. Improve knowledge of social-ecological systems

- a. Establish systems of collecting fisheries data, including ecological, social, cultural, and economic data relevant for decision making on sustainable management of small-scale fisheries.
- b. Ensure that the knowledge, culture, traditions, and practices of small-scale fishing communities, including indigenous peoples, are recognized, and as appropriate, supported, and that they inform responsible local governance and sustainable development processes.
- c. Encourage small-scale fisheries research and collaborative and participatory data collection, analyses, and research with funding.
- d. Promote research into the conditions of work, including migrant fishers and fish workers, health, education, and decision making, in the context of gender relations, to inform strategies for ensuring equitable benefits for men and women in fisheries.

20. Improve access to information and data needed for decision-making

- a. Recognize the importance of communication and information, necessary for effective decision-making.
- b. Prevent corruption, particularly through increasing transparency, holding decision makers accountable, and ensuring that impartial decisions are delivered promptly and through appropriate participation and communication with small-scale fishing communities.
- c. Recognize small-scale fishing communities as holders, providers, and receivers of knowledge and the need for access to appropriate information to help them cope with existing problems and empower them to improve their livelihoods.
- d. Promote the availability, flow, and exchange of information, including on aquatic transboundary resources, through the establishment or use of appropriate existing platforms and networks at community, national, sub-regional, and regional levels, with appropriate approaches, tools, and media for communication with and capacity development for small-scale fishing communities.

SUPPORT TOOL 3: IDENTIFYING BLUE PROGRAMMING OPPORTUNITIES

PURPOSE AND NEED

Programs that include consideration of marine tenure and small-scale fisheries can support multiple development objectives, including biodiversity conservation, food security, poverty reduction and economic development, conflict management, and climate resilience (Table 5). As recognized in USAID’s food security strategy, reducing global poverty and hunger and achieving food security and nutrition require a broader set of results that come from aligning with and leveraging other U.S. strategies, investments, and programs (USAID, 2016). Explicitly connecting to and supporting multiple work streams helps ensure that investments and key stakeholder contributions are leveraged across the U.S. Government to maximize results. The purpose of this support tool is to:

- Generate discussion among USAID staff and partners of the challenges and opportunities for programming in a blue development space; and
- Identify strategies and actions that can be integrated into new or ongoing programs and projects

Given this context, the importance of looking to the sea to support USAID development objectives becomes a clear and emerging nexus that requires immediate attention (Table 5).

Table 5. Looking to the sea to support USAID development objectives

USAID Development Objectives (USAID, 2011c)	Marine and Coastal Nexus
Conserve biodiversity and ecosystem services for sustainable, resilient development	<ul style="list-style-type: none"> • Addressing pressures and drivers of marine biodiversity loss improves the health and resilience of marine and coastal ecosystems and rebuilds the natural capital required for sustainable, resilient development
Increase food security and nutrition	<ul style="list-style-type: none"> • Managing small-scale fisheries sustainably provides food security to a growing coastal population where fish are a significant source of protein and nutrients
Reduce extreme poverty and promote sustainable, inclusive economic growth	<ul style="list-style-type: none"> • Securing preferential use rights of small-scale fishers to nearshore waters while providing equitable distribution of benefits from other marine and coastal industries including large-scale fisheries, oil and gas development, and coastal tourism is a key facet of the promotion of sustainable, inclusive economic growth
Prevent and respond to crises, conflict, and instability	<ul style="list-style-type: none"> • Addressing competing and conflicting uses of the land and sea improves stability for vulnerable populations
Increase resilience to the impacts of climate change and promote low emissions growth	<ul style="list-style-type: none"> • Addressing resource rights through spatial planning can provide substantial climate mitigation and adaptation benefits needed for climate resilience

Table 5. Looking to the sea to support USAID development objectives

USAID Development Objectives (USAID, 2011c)	Marine and Coastal Nexus
Expand and sustain the ranks of stable, prosperous, and democratic states	<ul style="list-style-type: none"> Promoting representative and participatory local institutions in managing marine and coastal resources sustainably is a key component of the responsible governance of marine tenure of small-scale fisheries
Support disaster mitigation	<ul style="list-style-type: none"> Conserving marine and coastal habitats, such as coral reefs, mangroves, marshes, sand dunes, and other natural features mitigates impacts of coastal hazards including inundation from severe storms, tsunamis, and sea level rise

INSIGHTS FROM THE FIELD

USAID should seek innovative ways to diversify and align investments to support multiple development objectives. USAID staff described the need; however, to make the case for blue development programming. In field visits to coastal communities, local government leaders and community organizers also indicated a strong interest and need to address issues such as poverty, food security, and education in fishing communities. Fishing families are seeking alternatives to fishing, especially for their children, but also for themselves. Small-scale fishers are seeking alternatives to address declining fish stocks, disasters (such as typhoons), and annual seasonal limitations on fishing due to rough sea conditions, that affect their livelihoods.

DESCRIPTION AND USE

Support Tool 3 is intended to generate discussion among USAID staff and partners to identify blue programming opportunities. For each program, a generic discussion is provided to make the case for blue development programming followed by a table of challenges and opportunities. It is recommended that the reader refer to the Sourcebook for a more detailed discussion of the challenges and opportunities in the marine and coastal environment and good practices and emerging themes for sustainable small-scale fisheries and marine tenure.

BIODIVERSITY CONSERVATION

MAKING THE CASE

1. USAID’s Biodiversity Policy (USAID, 2014b) recognizes the essential role that healthy natural systems play in advancing resilient societies and achieving human-development outcomes. Biodiversity conservation efforts, including sustainable use, help to maintain natural processes that create the ecosystem goods and services—such as wild fisheries—essential for human well-being. Maintaining healthy and resilient marine and coastal ecosystems provides the natural capital to support USAID’s objective to conserve biodiversity for sustainable, resilient development.
2. Biodiversity conservation programs must address the key pressures and drivers of biodiversity loss. Destructive fishing gear and practices result in waste, habitat destruction, and catch of threatened and endangered species. Incentives, including subsidies, that are harmful to biodiversity need to be

eliminated, phased out, or reformed in order to minimize or avoid negative impacts. Fisheries need to be managed and harvested sustainably, legally, and through the application of ecosystem-based approaches.

3. Insecure resource tenure rights to fisheries can be one of the most significant drivers of biodiversity loss and unsustainable natural resource management (USAID, 2013c). Where rights are poorly defined, marine and freshwater ecosystems can be quickly degraded, leading to overfishing. Securing resource tenure for fishers can set the stage for reducing pressures to biodiversity, creating sustainable livelihoods, enhancing food and nutrition security, building resilience, and reducing competition over limited resources.
4. Marine biodiversity conservation requires an integrated and ecosystem-based approach to: maintain and enhance natural productivity; promote co-management of resources; empower small-scale fishers; strengthen local institutions, governance systems and transparency; and build constituencies for improved fisheries management as a basic public service. Marine species typically require multiple interconnected habitats and depend on a variety of food sources to complete their life history requirements. In the case of migratory species, such as tuna, transboundary approaches are needed, working with multiple countries to support sustainable harvest levels and reduce illegal, unregulated, and unreported catches.
5. Community-based marine protected areas, networks of marine protected areas, and national marine parks have proliferated as effective tools for conserving biodiversity and managing overexploited coastal resources in developing countries. Tenure rights are strengthened when community-driven processes use marine protected areas to secure access and management rights to the resources. The promotion of legally designated marine protected areas to support international commitments; however, can reinforce or undermine pre-existing marine resource tenure rights (Sharma & Rajagopalan, 2013). Nationally designated marine protected areas are often overlaid onto customary or informal marine tenure regimes, restricting use rights of local communities and often diverting local revenues to national accounts. Marine protected areas established by the private sector for tourism can exclude fishers from their traditional fishing grounds.

GUIDING QUESTIONS

OPPORTUNITIES IN BIODIVERSITY CONSERVATION PROGRAMS	
Guiding Questions	Illustrative Interventions
<ul style="list-style-type: none"> • What are the key pressures and underlying drivers of marine biodiversity loss in the country? Is open access to marine resources a key driver? • Do national laws and policies support preferential use rights for small-scale fishers? What types of marine tenure systems are in place? • Are there biodiversity conservation initiatives, such as the establishment of national marine parks that disrupt or displace existing marine tenure regimes? • Does the scope of the fisheries project cover existing marine tenure regimes and are existing governance mechanisms flexible enough to 	<ul style="list-style-type: none"> • Assess impacts of biodiversity conservation initiatives on existing marine tenure rights by identifying and characterizing informal or customary tenure regimes as part of participatory resource assessment activities. • Develop capacity of local institutions and co-management arrangements to support sustainable small-scale fisheries by securing preferential use rights for small-scale fishers and developing and enforcing rules to limit resource use and improve protection of marine species and habitats. • Develop and implement marine spatial planning (MSP) and zoning that secure preferential access to small-

OPPORTUNITIES IN BIODIVERSITY CONSERVATION PROGRAMS	
Guiding Questions	Illustrative Interventions
<p>accommodate potential changes due to climate change?</p> <ul style="list-style-type: none"> • Are marine protected areas and networks designed to consider marine tenure considering multiple objectives including sustainable fisheries, biodiversity conservation, and climate resilience? • What are the greatest IUU fishing issues in the country? 	<p>scale fishers and reduce other competing and conflicting use of the marine and coastal environment.</p> <ul style="list-style-type: none"> • Support research and monitoring to design networks of marine managed areas, large-scale seascapes, marine zoning, or fisheries programs that recognize legitimate marine tenure rights and can support both ecosystem and community objectives for biodiversity conservation, sustainable fisheries, and climate change adaptation.

FOOD SECURITY AND NUTRITION

MAKING THE CASE

1. Securing sustainable small-scale fisheries is essential for achieving USAID’s objective to increase food security and health in coastal and island developing countries. Small-scale fisheries provide a significant source of protein, essential amino acids, and vitamins in the diet of people around the world (USAID, 2013d). Capture fisheries provide 20 percent of the animal protein in the diet of 2.6 billion people. For poor and marginalized groups living in coastal areas, fish can supply more than half of the animal protein in the average diet and is often the staple food and nutrition source.
2. Marine tenure is an important component of enhancing food security. Secure tenure rights to fish and fishing grounds with rules that support sustainable use can enhance production, incomes, and nutrition. Additionally, secure tenure over wild fisheries can result in environmental stewardship, enhanced natural productivity, greater investments, reduced post-harvest losses (spoilage), and added value through processing.
3. Promoting increased catch in large-scale fisheries to support food security can undermine marine tenure regimes of small scale fisheries. In areas where nearshore waters are protected for the exclusive use of small-scale fishers, illegal intrusion of large-scale fishers can result in conflicts and overfishing. Overexploitation of offshore waters can reduce the resiliency and productivity of nearshore waters by removing depth refugia and essential fish habitat. Further, with increasing urbanization, the demand for fish products can drive prices higher and create additional incentives for overexploitation of fish.
4. Aquaculture development in coastal areas has been promoted as one way to boost farmed fish production and provide an alternative source of protein. Deforestation of mangrove forests and other coastal habitats for aquaculture can threaten existing marine tenure rights through physical displacement of coastal communities and reduce coastal ecosystem resiliency. Access to marine resources can also be undermined by ecological impacts of aquaculture through the loss of nursery grounds required for healthy wild fish populations, nearshore water pollution from aquaculture facilities, and overfishing if wild fish are used to stock or make feed for the farmed fish. The international demand for “feed fish,” i.e., small pelagics and other fish that are ground up for fish meal, can also undermine local fisheries management and customary tenure regimes.

5. Poor agricultural practices can result in land-based pollution, including sediments, nutrients, and toxic chemicals, to coastal waters impacting fish stocks and the habitats. Modernizing agriculture production can result in excess labor and an influx of landless farmers to coastal areas placing stress on the tenure security of small-scale fishers (Pauly, 1994).

GUIDING QUESTIONS

OPPORTUNITIES IN FOOD SECURITY AND NUTRITION PROGRAMS	
Guiding Questions	Illustrative Interventions
<ul style="list-style-type: none"> • What is the role of small-scale fisheries in food and nutrition security and livelihoods? • Do national food security and nutrition policies, strategies, action plans, and investment plans adequately address the importance of wild fisheries? • Are the sources of marine and freshwater fish in the diets of inland residents known and included in the discussions on food and nutrition security? • Are changes in agricultural production resulting in excess labor and migration of landless farmers to coastal areas? • Is aquaculture or crop production displacing small-scale fishers or destroying habitat needed to support viable marine tenure regimes? Are wild fish being used in the production of fish meal for farmed fish? If so, are there impacts on local fishers and livelihoods from the use of fish for fish meal and exports? 	<ul style="list-style-type: none"> • Assess the role of wild fisheries to food and nutrition security, key value chains, and how secure resource tenure could help achieve food security goals. • Include questions on the consumption of wild fish in Demographic Health Surveys to better understand the value of wild fish to nutrition and human health. • Assist small-scale fisher households to secure land tenure for homes, landing sites, and markets, and develop backyard or smallholder farms as an alternative food source as part of a land use planning process with national and local governments. • Assess the potential impacts of agriculture and aquaculture programs on small-scale fisheries and marine tenure by identifying potential for displacement of coastal communities and assessing water impacts. • Once secure tenure has been established, develop alternative livelihoods to permanently draw down the number of fishers. • Identify food crops and sustainable agriculture/aquaculture practices suitable to coastal areas and resilient to impacts of climate change for coastal communities.

POVERTY REDUCTION AND INCLUSIVE AND SUSTAINABLE ECONOMIC GROWTH

MAKING THE CASE

- I. Fisheries reform makes economic sense (World Bank, 2009). Wild marine fisheries support an estimated \$240 billion global industry and are important components of many national economies (Dyck & Sumaila, 2010). The economic value of fisheries on average is three times their landed value. However, due to poor management, wild fisheries are losing up to \$50 billion a year, with Africa losing \$1 billion a year (World Bank, 2009). The real cumulative global loss of net benefits from inefficient global fisheries is estimated at \$2.2 trillion over a 34-year period between 1974 and 2008. These estimates exclude non-market values provided by healthy marine and coastal

ecosystems, the value of efficiency gains along the value chain, and the full costs of illegal fishing activities and subsidies. As such the estimated loss of potential benefits is conservative.

2. Securing sustainable small-scale fisheries and providing equitable distribution of benefits related to marine and coastal development and industries is essential for promoting sustainable, inclusive economic growth in coastal and island developing countries. Secure marine tenure rights can provide increased incentives for individuals, groups, and communities to manage their resources sustainably for the long term to support their livelihoods and the fishing industry (USAID, 2013c).
3. Without major governance reforms, many developing countries will be involved in overexploitation of the natural capital of marine and coastal ecosystems. This can promote boom and bust cycles that lead to depressed and unstable markets. Corruption, poor management, and lack of secure tenure are often constraints to sustainable and resilient development for the fisheries sector. Further, the lack of coherence in national policies, perverse incentives, inappropriate subsidies, destructive and unsustainable fisheries practices, food safety issues, and environmental externalities such as climate variability and climate change remain as challenges for most coastal and island developing countries.
4. Governments provide subsidies to the fishing industry. Beneficial subsidies can support healthy fish populations through conservation, improved regulation and enforcement, or improved fishing methods in fisheries (Sumaila et al., 2010). However, capacity-enhancing subsidies for fuel, boat construction, port development, or tax exemptions enhance fishing capacity and contribute to overfishing. Globally, 60 percent of the fisheries subsidies, or \$16 billion, support unsustainable fishing practices. Developed countries account for 68 percent of subsidies, or \$18.4 billion. Capacity-enhancing subsidies from all maritime developing countries were \$5.7 billion in 2003, double the amount for beneficial subsidies. Capacity-enhancement subsidies to small-scale and large-scale fisheries can result in overfishing and competition over dwindling resources. It is the policy of the U.S. Government to not promote harmful subsidies that may result in increased fishing capacity.
5. Governments also often transfer fishing rights to foreign fleets. If a country does not have the capacity to exploit their fisheries, permits may be issued to foreign fishing vessels. Without a robust monitoring, control, and surveillance system, these fishing fleets can overexploit fisheries resources and compete with small-scale fisheries. Further, the lack of transparency in these transactions typically results in corruption and loss of economic rent to the country and its people.
6. Rising consumer incomes along with accelerating economic growth and prosperity also increase the demand for rural land for infrastructure and demand for food products such as fish. Investments in rural coastal development promote migration and can directly and indirectly threaten marine tenure rights as well as the health of fish and habitats upon which coastal communities depend.

GUIDING QUESTIONS

OPPORTUNITIES IN POVERTY REDUCTION AND SUSTAINABLE ECONOMIC DEVELOPMENT PROGRAMS	
Guiding Questions	Illustrative Interventions
<ul style="list-style-type: none"> • Are there economic policies that promote unsustainable fisheries or tenure insecurity? • Do the analyses of constraints to sustainable economic growth and diagnostics for inclusive growth include an assessment of natural resources such as small-scale fisheries? • What are the potential economic losses from poorly managed fisheries and insecure tenure? • What is the extent of transfer of fishing rights to foreign fleets? • Will population migration and influx due to economic development create conflicts that could undermine existing marine tenure regimes? • Are small-scale fishers landless, making them more vulnerable to coastal development and changes in land use? • Are there mechanisms in place (e.g., MSP) to address conflicting economic uses for the coastal and marine environment? 	<ul style="list-style-type: none"> • Review fiscal policies in order to phase out subsidies that fuel overcapacity and competition with small-scale fisheries for limited fishery resources. • Assess environmental and socio-economic impacts of economic development initiatives at national and local levels on existing marine tenure regimes. • Secure land tenure for small-scale fisher families to support their homes, fish landing sites, and fish drying and processing sites. • Develop educational and alternative employment/entrepreneurial opportunities for young men and women from fishing families to address overcapacity in small-scale fisheries. • Support analyses and public dialogues on the economic implications of transferring extraction rights to foreign fishing vessels. • Support integrated land and MSP and zoning to protect tenure rights and minimize conflicting economic uses such as oil and gas, marine transportation, and tourism.

CONFLICT MANAGEMENT AND MITIGATION

MAKING THE CASE

1. More than a billion people live in conflict-affected, post-conflict, or fragile countries (USAID, 2012a). Depletion of renewable natural resources, combined with environmental degradation and climate change, pose fundamental threats to human security. Separately or in combination with other factors, they can destabilize livelihoods, negatively affect ecosystems, and undermine peace and development. Fisheries are a key component of food and income security in regions of the world where civil conflict has been most prevalent during the past half-century.
2. Civil war can have a strong, negative effect on total fish catch and consequently on food and economic security. An analysis of 123 countries from 1952 to 2004 demonstrated a statistically robust and negative relationship between civil conflict and fisheries, with civil wars (1000+ battle deaths) depressing catch by over 16 percent relative to pre-war levels (Hendrix & Glaser, 2011). The magnitude of this effect, which is confined to the first two years of conflict, is large: the cumulative contraction in total fish catch associated with civil war onset is roughly 13 times larger than the estimated effect of an extraordinarily strong El Niño, the ocean-atmosphere phenomenon associated with global declines in fisheries. Post-conflict fisheries do not quickly bounce back to pre-war catch levels due to more rapid growth. On average, a post-conflict country requires almost nine years of growth to recover pre-war catch levels.

3. The most significant impacts of civil conflict on fisheries likely operate through the more general phenomenon of crowding out investments of time and energy in productive enterprises (fishing) and diverting time and energy to violent or security-seeking activities, such as participating in rebellion or seeking refuge across borders (Hendrix & Glaser, 2011). Analysis of conflict episodes indicates that conflict intensity, measured by battle deaths, negatively affects fish catch, while population displacement and conflict proximity to the coast do not. While these findings contribute to the growing literature on the economic effects of civil conflict, they also are important for regional fisheries management organizations, which must increasingly pay attention to socio-political factors that dramatically affect the utilization of aquatic resources.
4. Even in politically stable countries, conflicting and competing uses of fisheries and other marine and coastal resources are among the persistent problems affecting the security of food, livelihoods, and fishing environments crucial to poor fishing communities. Access to fishing grounds, types of fishing gear, condition of the fishery, and impacts to the fishery from other human activities including coastal and offshore development are all sources of resource-use conflicts. As economic and population growth increase levels of global consumption, declining and overfished small-scale nearshore fisheries can increase conflicts and social tensions between and among different user groups, leading to coastal “fish wars” (Pomeroy et al., 2007). Conflict management strategies must account for at least three interacting and reinforcing drivers of conflict (UNEP, 2012) in the fisheries sector: competition over increasingly scarce renewable resources, poor governance of renewable natural resources and the environment, and transboundary natural resource dynamics and pressures. Effective co-management arrangements in Southeast Asian countries have led to reduced resource conflict levels, providing examples for future efforts (Pomeroy et al., 2007).

GUIDING QUESTIONS

OPPORTUNITIES IN CONFLICT MANAGEMENT AND MITIGATION PROGRAMS	
Guiding Questions	Potential Interventions
<ul style="list-style-type: none"> • Are small-scale fishers competing for fisheries resources with large-scale fisheries? • Are small-scale fishers competing with each other or with neighboring communities over rights to fisheries? • Are other economic uses of the marine and coastal environment displacing small-scale fishers? • Are civil conflicts crowding out the investment of time and energy of small-scale fisheries and diverting time and energy to either violent or security-seeking activities? 	<ul style="list-style-type: none"> • Secure tenure rights and build capable co-management arrangements for managing small-scale fisheries sustainably. • Establish MSPs and zoning to manage competing and conflicting use of marine and coastal resources. • Support conflict resolution dialogues that give voice to different interests and provide small-scale fishers with negotiating power. • Develop transboundary management efforts to reduce conflict over fisheries resources.

CLIMATE RESILIENCE

MAKING THE CASE

1. Climate resilient international development is a cross-cutting requirement for all USAID programming (The White House, 2014a). USAID’s Climate-Resilient Development Framework supports the systematic inclusion of climate considerations in development decision-making (USAID, 2014a). This policy is especially important to communities highly dependent on fisheries and other marine and coastal resources for food and livelihood.
2. The impacts of climate change are expected to alter the interaction between fishers and the resources on which they depend. Changes in the abundance and distribution of fish stocks may create new conflict and competition for marine resources as fishers follow changes in distribution patterns or highly mobile fish stocks. Human migration from inundated low-lying coastal areas and islands to higher ground will change the demographics and social fabric of communities dependent on natural resources. Fishing communities highly vulnerable to changing environmental conditions will suffer disproportionately if policy responses to climate change exacerbate their tenure insecurity.
3. Marine tenure regimes will face social and ecological pressures from a changing climate. On the other hand, secure access to fisheries resources may help to stabilize and reduce potential conflicts as populations shift. Management objectives for climate change adaptation are to maintain capacity and flexibility to take actions to reduce vulnerability to climate change in the short-term and long-term. This means reducing both ecological and social vulnerability because of the high co-dependence of coastal communities on marine ecosystems (Marshall et al., 2009).

GUIDING QUESTIONS

OPPORTUNITIES IN CLIMATE RESILIENCE PROGRAMS	
Guiding Questions	Potential Interventions
<ul style="list-style-type: none"> • How will population migration and influx due to climate change create conflicts that could undermine existing marine tenure regimes? • How could the establishment of robust tenure regimes and conflict resolution mechanisms help to alleviate conflicts as conditions change? • How will changing spatial distributions of marine and coastal resources (e.g., fish and mangroves) impact existing marine tenure regimes or necessitate conflict resolution mechanisms? • What is the dependency of the population on fisheries and other marine and coastal resources? 	<ul style="list-style-type: none"> • Examine the fishery sector and coastal tenure regimes in vulnerability assessments. • Consult with and engage local institutions and all people, women and men, who may be displaced due to climate change in developing strategies to adapt to climate change and discussions over tenure regimes. • Design marine protected areas and networks that address multiple objectives of biodiversity conservation, food security, and climate change. • Incorporate the tenure aspects of land and fisheries in preventing, preparing, and responding to disaster events.

GENDER EQUALITY

MAKING THE CASE

1. Gender equality and female empowerment are fundamental to the realization of human rights and are key to effective and sustainable development outcomes (USAID, 2012b).
2. As with other natural resource sectors, women’s role in the fisheries sector remains largely invisible. One of the main reasons is that the fisheries sector has been largely focused on production, fisheries catch, and the problem of overexploitation where it is assumed that the role of men is the primary driver (Bennett, 2005). Yet, studies show that women are active in capture (especially shoreline seafood collection), processing, and marketing sectors, as well as credit provision (Harper, Zeller, Hauzer, Pauly, & Sumaila, 2013).
3. Gender roles in the fishing economies vary dramatically. A study of nine major fish producing countries estimated that women represent between 5 and 73 percent of the total capture fisheries workforce (Weeratunge, Snyder, & Sze, 2010). There are clear interdependencies between men and women that need to be recognized through gender-disaggregated data collection that covers the full range of fisheries sector activities. This could be easily carried out by governments through regularly conducted national census questionnaires (Harper et al., 2013).
4. Although there have been numerous studies on gender and fisheries over the last two decades, the lack of quantitative data, especially for small-scale fisheries, has been an obstacle to gender transformative change. As such, men still dominate decision-making within most fisheries management arenas, and traditional gender roles remain unchallenged (Fröcklin, de la Torre-Castro, Lindström, & Jiddawi, 2013). There is now a push to develop a systematic picture of gendered dimensions of fisheries operations so that it can lead to needed reforms within the national fisheries policy agenda that support both food security and income generation enhancement (Bennett, 2005; Harper et al., 2013).

GUIDING QUESTIONS

OPPORTUNITIES IN GENDER EQUALITY PROGRAMS	
Guiding Questions	Potential Interventions
<ul style="list-style-type: none"> • What is the role of women and children in small-scale fisheries and their value chains? • How do gender disparities limit access to, control over, and benefits from natural resources, wealth, opportunities, and a range of services? • Do women and those involved in wild fisheries have access to financial services and agricultural extension services, and do the services include tenure considerations? • Are young men or women entering the fishery as a result of lack of alternative livelihoods or employment opportunities, thereby exacerbating fishing overcapacity? 	<ul style="list-style-type: none"> • Conduct gender analyses in fishing communities and along the wild fish value chains. • Reduce gaps in knowledge, skills, and participation of women in sustainable fisheries management, co-management arrangements, and processing and marketing of fish products. • Increase women’s rights and role in tenure governance of small-scale fisheries. • Ensure that agricultural extension agents and service providers have received training in fisheries management, tenure regimes, and gender inclusivity.

SUPPORT TOOL 4: DEFINING THE BUNDLE OF MARINE TENURE RIGHTS AND RESPONSIBILITIES IN PROJECT DESIGN

PURPOSE AND NEED

All marine tenure arrangements involve a decision-making institution, such as by traditional leaders or devolved community-based institutions, that develop rules for addressing the five major bundles of rights and responsibilities: exclusion, access/withdrawal, management, enforcement, and alienation/transfer. National and subnational government often play a role in securing marine tenure rights through legal means and supporting local institutions through co-management arrangement. From a national development programming perspective, a good starting point is to develop a systematic understanding of the range and diversity of marine tenure institutions among coastal communities.

Marine tenure rights are recognized either through formal legally sanctioned processes or through “social” recognition. An understanding of the diverse forms of marine tenure institutions in project design is an essential first step to strengthen responsible governance of tenure. The current lack of secure tenure incentivizes open access, a root cause of overexploitation of fishery and other resources. Without an understanding of how marine tenure rights and responsibilities are allocated in a country and geographic location, project interventions could miss opportunities to improve tenure security or cause unintended conflicts among resource users in the marine and coastal environment.

This tool is designed to conduct a rapid review of the bundle of marine tenure rights and responsibilities at national, subnational, and local levels to support project design. Understanding who makes decisions about who and how resources are used is fundamental to designing projects that support sustainable fisheries, food security, livelihoods, and other objectives. In many cases, the trend in small-scale fisheries management has been to decentralize or devolve tenure rights and responsibilities to subnational government and local institutions composed of fishers and other local stakeholders. Co-management arrangements between national or subnational government and local institutions may be weak or complex with overlapping rights and responsibilities. While co-management arrangements can provide valuable support to local institutions, these multiple jurisdictional roles can also be abused.

INSIGHTS FROM THE FIELD

The bundle of tenure rights and responsibilities is rarely considered in project design. In reviewing project design documents, work plans, and in discussions with USAID staff and partners, the consideration of marine tenure in project design has been largely implicit and iterative as new projects are designed building on the lessons of previous projects. One of the challenges identified in the field is that marine tenure is considered an abstract concept that is further complicated by the use of a diverse range of roughly equivalent terminology, such as limited access areas, territorial use rights in fishing, and catch shares.

Coastal and fisheries projects supporting biodiversity conservation objectives typically focus on management responsibilities and not the rest of the bundle, especially exclusion or alienation rights. In cases when small-scale fishers have been given preferential use rights to nearshore waters by national government, subnational governments can undermine this right through alienation or transfer of the use of a fishing ground or area for other purposes and without compensation to those affected. Other interventions, such as establishing marine protected areas for biodiversity conservation, could inadvertently undermine existing tenure rights of local fishers.

A more explicit approach would seek to characterize the full bundle of tenure rights and identify and build the capacity of national, subnational, and local tenure governance bodies to secure these rights. Approaches to strengthen rights could include examining the role of local resource users in decisions making; supporting more effective co-management arrangements and dispute resolution mechanisms; and providing the administrative, legislative, and other mechanisms to recognize tenure rights. An initial review of existing legal, customary, and informal tenure rights and responsibilities is needed in order to identify successes, conflicts, and gaps that could be addressed through project design. Several examples of marine tenure bundle reviews were prepared as part of the field assessments (Courtney et al., 2016; Courtney et al., 2017; Pomeroy et al., 2016) as well as included in the Sourcebook (Courtney & Jhaveri, 2017b).

DESCRIPTION AND USE

This tool provides guiding questions that can be used to conduct a desk review of the bundle of marine tenure rights and responsibilities from national to local levels. This review should first examine the existing legal and policy framework for marine tenure. Once project sites are identified this desk review should be validated in the field in order to identify informal marine tenure systems that may be recognized in a particular location. Strategic actions to strengthen tenure institutions should be designed based on an understanding and assessment of both formally and informally recognized marine tenure rights and responsibilities.

GUIDING QUESTIONS

Tenure Right	Guiding Questions			
	National Government	Sub-national Government	Local Institution	Project Intervention
<p>Exclusion</p> <p>What institutions decide what fishers are excluded from a particular fishing ground or area?</p>	<p>What is the role of the national government in the right to exclude fishers from various fishing grounds?</p> <p>Does the national government recognize informally or formally the rights of small-scale fishers to exclude others from a fishing ground?</p> <p>Is preferential use of nearshore waters for small-scale fishers protected by national law?</p> <p>How are exclusion rights recorded, maintained?</p>	<p>What is the role of subnational government in the right to exclude fishers from various fishing grounds?</p> <p>How are exclusion rights recorded, maintained?</p>	<p>What rights do local institutions have to exclude others from a fishing ground?</p> <p>How are these rights recognized by other local stakeholders?</p>	<p>How will the project work to establish or strengthen the exclusion rights for local institutions?</p> <p>Is there a need to strengthen preferential use rights for small-scale fishers?</p> <p>Is there a need to better delineate fishing grounds?</p> <p>Is there a need to resolve conflicts between local institutions?</p>
<p>Access/Withdrawal</p> <p>What institutions decide who has the right to fish or have access to a particular fishing ground or area?</p>	<p>What is the role of the national government in determining access the fishing ground and catch limits?</p> <p>Does the national government maintain a registry of small-scale fishers?</p>	<p>What is the role of the national government in determining access the fishing ground and catch limits?</p> <p>Does the subnational government maintain a registry of small-scale fishers?</p>	<p>What rights do local institutions have in determining who has access the fishing ground and catch limits?</p> <p>To what extent do local institutions decide on access?</p>	<p>How will the project work to establish or strengthen the access/withdrawal rights at national, subnational, and local institutions?</p> <p>Is there a need to build capacity to manage a registry of small-scale fishers?</p>
<p>Management</p> <p>What institutions are responsible for</p>	<p>What is the role of the national government in managing small and large-scale fishery?</p>	<p>What is the role of the sub-national government in</p>	<p>What are the co-management arrangements with national or subnational</p>	<p>How will the project strengthen co-management among local stakeholders and the government?</p>

Support Tool 4: Defining the Bundle of Marine Tenure Rights and Responsibilities in Project Design

Tenure Right	Guiding Questions			
	National Government	Sub-national Government	Local Institution	Project Intervention
<i>managing and maintaining management practices to support sustainable small-scale fisheries and achieve other goals such as livelihood support, food security, and biodiversity conservation?</i>	<p><i>Does the national government establish fishing regulations for small-scale fishers?</i></p> <p><i>Does the national government develop fisheries management plans that include small-scale fisheries?</i></p>	<i>managing small-scale fisheries?</i>	<p><i>government for small-scale fisheries management?</i></p> <p><i>What role do local institutions have in establishing fishing rules and marine protected areas? Is it an advisory role to national or subnational government or independent?</i></p> <p><i>Do local institutions develop fisheries management or coastal management plans?</i></p>	<p><i>Is there a need to conduct studies to help establish limits on number of fishers and fish catch?</i></p> <p><i>Is there a need to build capacity of local institutions to define and achieve multiple goals?</i></p> <p><i>Is there a need to build capacity for fisheries and habitat management and monitoring?</i></p>
<p>Enforcement</p> <p><i>What institutions are responsible for enforcing rules, resolving resource use conflicts, and applying sanctions?</i></p>	<i>What is the role of national government in enforcing small and large-scale fisheries?</i>	<i>What is the role of sub-national government in enforcing small and large-scale fisheries?</i>	<i>What is the role of local institutions in enforcing small and large-scale fisheries?</i>	<p><i>How will the project support better enforcement of fishing rules?</i></p> <p><i>Is there a need to build local enforcement capacity?</i></p>
<p>Alienation/Transfer</p> <p><i>What institutions have the right to sell, mortgage or lease resources or areas to others?</i></p>	<i>What is the role of national government in leasing land and nearshore waters used by small-scale fishers for other uses?</i>	<p><i>What is the role of sub-national government in leasing land and nearshore waters used by small-scale fishers for other uses?</i></p> <p><i>Do fishing families and fish landing sites have secure land tenure arrangements?</i></p>	<p><i>Do local institutions have the right to lease or transfer rights to nearshore waters used by small-scale fishers to others?</i></p> <p><i>Are there conflicts between local institutions and national or subnational entities?</i></p>	<p><i>How will the project address issues related to alienation/ transfer rights of small-scale fishers?</i></p> <p><i>Is there a need to resolve loss of preferential use rights of nearshore waters to small-scale fishers?</i></p>

SUPPORT TOOL 5: INTEGRATING MARINE TENURE ISSUES IN A PROJECT SITUATION MODEL

PURPOSE AND NEED

Small-scale fisheries are increasingly being characterized as interdependent social-ecological systems whose behavior is inherently complex, dynamic, and in many ways unpredictable (Basurto, Gelcich, & Ostrom, 2013; Cinner, Basurto, et al., 2012; Gutierrez, Hilborn, & Defeo, 2011; Holling, 1996; McGinnis & Ostrom, 2012; Ostrom, 2007, 2009; Schlüter & Madrigal, 2012). As such, problems in these systems, such as overfishing, are rarely attributed to single causes and need to be addressed through a multisectoral, integrated, and ecosystem-based approach. Developing an understanding of the cause and effect relationships that lead to loss of wild marine fisheries and other ecosystem services is an essential component of developing a theory of change and designing project strategies.

A situation model is a useful tool to help define the problem statement recognizing the causal links and identifying gaps in data and information that may need to be incorporated as part of the project design (USAID, 2015). Recognizing the integral role that tenure and property rights play in successful development, the purpose of this tool is to:

- Support the development of a situation model that explicitly considers the role marine tenure security and governance in achieving biodiversity conservation and other development objectives; and
- Highlight potential strategic actions to strengthen marine tenure security and governance.

Some of the causal relationships between marine tenure governance and security in the blue development space are depicted in a simplified situation model (Figure 6). From this situation analysis, a theory of change can be developed for securing sustainable small-scale fisheries where marine tenure plays a central role (Box 3).

Box 3. Theory of change for securing sustainable small-scale fisheries with marine tenure as a key theme

If marine tenure systems provide secure rights for resource users, engage stakeholders in decision-making, and create rules that promote sustainable resource use, then these systems will support increased compliance with rules, reduced resource user conflicts, and result in positive ecological, social, and economic benefits. If these systems are embedded within an effective co-management arrangement that includes the government and other partners who maintain a demonstrated capacity to recognize and support the community's resource use rights, then these systems can be resilient under changing conditions. Further, if macro-scale drivers of change and ecosystem-scale pressures beyond the control of local resource users and communities, such as population growth and urbanization in the coastal environment, overfishing from competing large-scale fishers, habitat degradation from land-based pollution and land reclamation, and climate change are identified and addressed at multiple scales of governance for multiple sectors, then community-scale marine tenure institutions will have the capacity to support a range of broader development goals including economic growth, food security, and climate resilience.

Finally, both “top-down” and “bottom-up” strategies are needed to improve tenure governance for small-scale fisheries (Conservation and Community Investment Forum, 2013). Example strategies and illustrative interventions to support the theory of change are provided as guidance in Table 6 building on the *Land Tenure and Property Rights Framework* (USAID, 2013c), *SSF Guidelines* (FAO, 2015), and the good practices and emerging themes highlighted in the accompanying Sourcebook (Courtney & Jhaveri, 2017b).

INSIGHTS FROM THE FIELD

Project scopes of work, situation models, strategic actions, and results frameworks were reviewed as part of the field assessment. In most cases, marine tenure issues were not explicitly factored into project design. Coastal and fisheries management projects typically focus on only one or two of the “sticks” in the bundle of tenure rights and responsibilities (see Figure 2). As a result, a variety of open access issues are often not addressed, thus jeopardizing the sustainability of the project’s interventions. Some of the marine tenure challenges identified during the field assessment included the following:

- Open access to fishing grounds with no limits on who or how many fishers are allowed to access the same fishing ground;
- Government leasing nearshore waters to private companies for mariculture operations without consultation or compensation to small-scale fishers for loss of fishing grounds;
- Tourism facilities restricting access of fishers to the shoreline and nearshore waters;
- Repetitive, illegal intrusion of large-scale fishing boats into waters allocated only to small-scale fishers without consequences such as revocation of commercial fishing license; and
- Absence of land tenure and property rights for fishing communities that live along coast and farm upland areas when seasonal weather conditions make the waters too dangerous to fish.

Project interventions can be informed by a situation model that integrates marine tenure issues. In some cases, existing national and local laws and policies do not provide a foundation for addressing marine tenure issues. As such, project design could include legal and policy reforms to provide a basis for strengthening marine tenure rights and responsibilities. In other cases, existing national laws and policies already provide a foundation for strengthening marine tenure. In these cases, interventions on the ground should be based on an assessment of existing tenure systems and issues that could be addressed by the project.

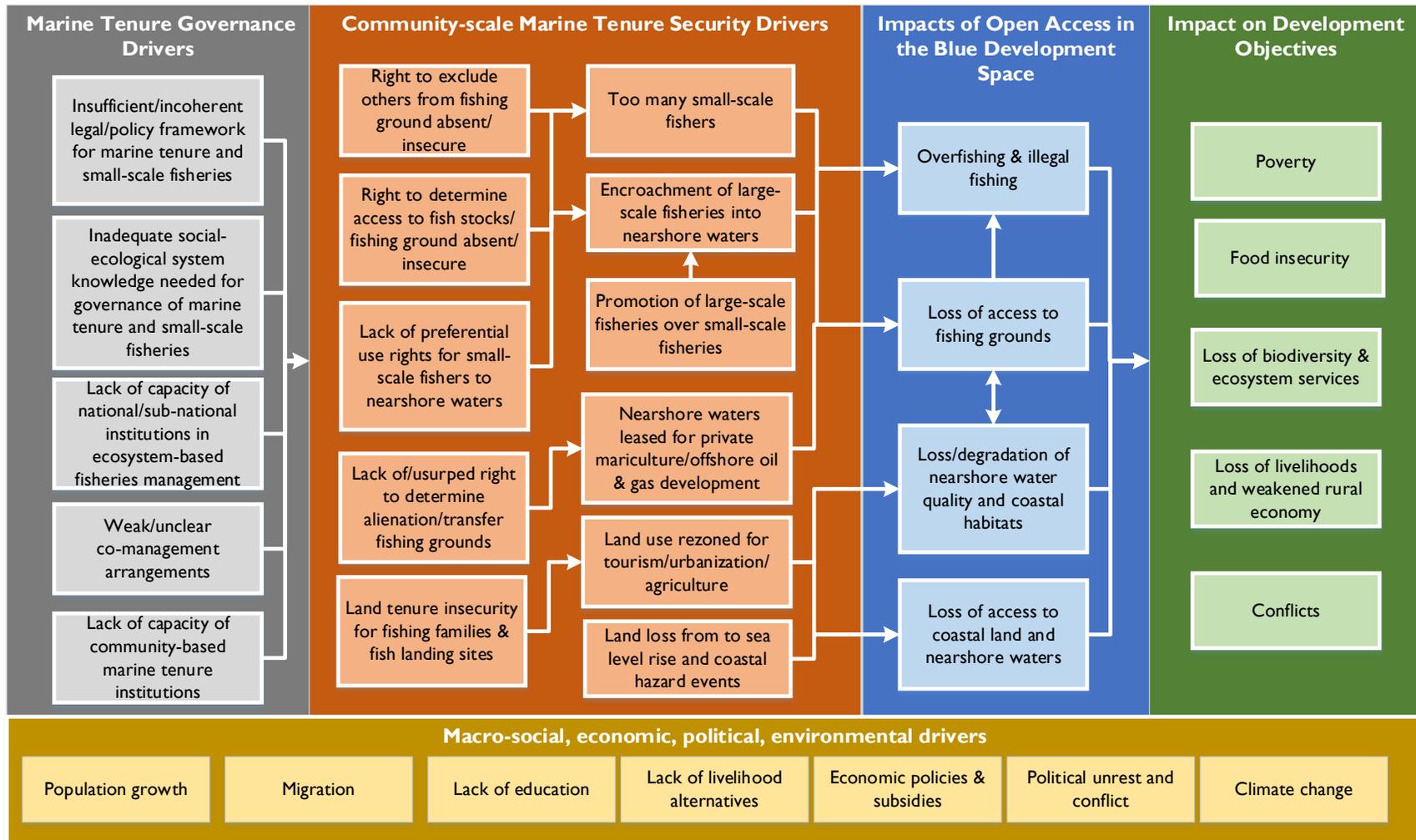


Figure 6. A simplified situation model depicting some marine tenure and governance drivers that impact the blue development space

Table 6. Strategies for addressing marine tenure security and governance to support sustainable small-scale fisheries

Strategy	Issues	Illustrative Interventions
<p>Establish national legal and policy framework to secure marine tenure rights as part of an integrated, ecosystem-based management approach</p>	<ul style="list-style-type: none"> • Lack of secure tenure rights for community-scale institutions • Conflicting laws and policies on fisheries and marine resource management and tenure • Overlapping and conflicting jurisdictions creating confusion and insecure tenure regimes • Lack of public and government awareness of marine tenure rights • Lack of or inadequate national legal and policy framework for sustainable fisheries management resulting in open access conditions threatening the health of marine fisheries 	<ul style="list-style-type: none"> • Legally recognize existing land and marine resource tenure for small-scale fishers • Review the extent to which national legal and policy frameworks support the SSF Guidelines • Build awareness of customary law and rights of local communities and indigenous peoples • Apply marine and coastal spatial planning to define development spaces that reduce conflict and competition for natural resources • Develop or reform fisheries laws to support ecosystem-based fisheries management
<p>Strengthen community-scale marine tenure regimes</p>	<ul style="list-style-type: none"> • No exclusion rights, resulting in an open access fishery • Lack of capacity to manage resources locally • Overcapacity of small-scale fishers in terms of too many fishers, boats, and gear • Use of destructive fishing gear and practices • Loss/destruction of fish habitat • Conflict among small-scale fishers • Intrusion of large-scale fishing vessels • Conflicting and competing uses of the marine and coastal environments 	<ul style="list-style-type: none"> • Identify existing marine tenure regimes (e.g., informal, devolved, customary) and potential conflicting uses • Seek legal recognition of existing marine tenure regimes • Build technical capacity of community-scale institutions to manage small-scale fisheries • Integrate scientific knowledge and local-traditional knowledge to support community-scale management • Diagnose and address threats to marine resources beyond the capacity of local institutions
<p>Establish effective co-management arrangements to protect and support community-scale</p>	<ul style="list-style-type: none"> • Poorly defined co-management arrangements between local resource user groups, government, and partners 	<ul style="list-style-type: none"> • Clarify co-management roles and responsibilities between all stakeholders • Develop capacity of local institutions, including fishing associations, to manage fisheries sustainably

Table 6. Strategies for addressing marine tenure security and governance to support sustainable small-scale fisheries

Strategy	Issues	Illustrative Interventions
marine tenure and address ecosystem-scale threats and drivers of change	<ul style="list-style-type: none"> • Lack of capacity of community-scale and government to manage fisheries sustainably • Lack of recognition of government responsibilities in devolved marine tenure regimes • Infringement on informal and formal land and sea tenure systems from competing and conflicting uses (tourism, large-scale fisheries, coastal development) • Environmental impacts from mining, agriculture, and other poor land use practices on fish stocks and coastal habitats 	<ul style="list-style-type: none"> • Develop capacity of government institutions (technical, research, monitoring, adaptive management) for ecosystem-based management • Apply land and marine spatial planning as a tool to clearly delineate spatial dimensions of marine tenure regimes and identify and resolve conflicting resource uses • Adopt an ecosystem-based management approach to promote sustainability and resiliency
Strengthen government capacity to sustainably manage large-scale fisheries	<ul style="list-style-type: none"> • Inadequate management of large-scale fisheries affecting nearshore resources • Weak implementation and enforcement of national fisheries laws and regulations • Lack of awareness of fisheries issues and management approaches • Lack of inclusion of wild fisheries in national food, security, and economic development plans 	<ul style="list-style-type: none"> • Address overcapacity and intrusion of large-scale fleets into nearshore waters that threaten marine tenure regimes of small-scale fishers • Diagnose threats and drivers of change affecting the effectiveness, flexibility, and durability of community-scale institutions and provide support to address threats beyond the capacity of the community to address • Develop technical, financial, and organizational capacity of national and subnational entities to manage fisheries sustainably • Improve fisheries management curricula in community colleges and universities
Address constraints and opportunities from social and economic drivers	<ul style="list-style-type: none"> • Population growth and migration • Urbanization • Economic growth and development • Upland mining and agriculture • Offshore oil and gas development • Coastal tourism • Land reclamation 	<ul style="list-style-type: none"> • Apply marine and coastal spatial planning to define development spaces that reduce conflict and competition for natural resources and promote sustainability • Assess impacts of social and economic drivers on existing marine tenure regimes and marine and coastal ecosystems • Develop integrated land and marine use plans that protect marine tenure rights of small-scale fishers and coastal communities

Table 6. Strategies for addressing marine tenure security and governance to support sustainable small-scale fisheries

Strategy	Issues	Illustrative Interventions
	<ul style="list-style-type: none"> • Corruption • Political unrest and conflict 	<ul style="list-style-type: none"> • Once secure tenure is established, provide alternative livelihood opportunities to young men and women from fishing families to reduce overcapacity

DESCRIPTION AND USE

Support Tool 5 provides questions related to marine tenure issues that can be integrated into the process of developing a situation model. The gap assessment conducted using Support Tool 3 and definition of the bundle of tenure rights and responsibilities in Support Tool 4 can help lay the groundwork for identifying causal links between marine tenure problems and other resource management issues and for developing strategies to address these problems. Given that a single project may not be able to address all contributing factors, the situation model can also serve as a tool to raise awareness of the potential opportunities that could be addressed by other programs and projects within the country.

GUIDING QUESTIONS

HUMAN WELL-BEING AND RESILIENCE

1. What are health and safety concerns for vulnerable and marginalized coastal populations?
2. What are the poverty levels and economic disparities in the population?
3. What are areas of dependence of the people on fishing and other coastal and maritime industries?
4. What are population vulnerabilities to natural and climate-related hazards?
5. What is the adaptive capacity of the people to change?
6. What are the goals and aspirations of marginalized coastal populations?

ECOSYSTEM SERVICES

7. What ecosystem services (e.g., provisioning, regulating, supporting, and social/cultural) are supporting the coastal population?
8. What are the market and non-market values of these services? Have values been assessed?

ECOSYSTEM FOCUS

9. What are the key components of the marine and coastal ecosystems (e.g., species, habitats, water) that support ecosystem services?
10. What are the conditions and trends of these ecosystem targets?
11. What is the state of knowledge of ecosystem processes and connectivity?
12. What are ecosystem targets' vulnerabilities to climate change?
 - a. What changes are predicted in the distribution and abundance of fish species and health and resilience of marine and coastal ecosystems?
 - b. To what extent are target resources and habitats sensitive to climate threats?
 - c. What is the recovery potential of target resources and habitats?

PRESSURES

13. Who are the actors/resource users on land and at sea who impact ecosystem targets (small-scale and large-scale fishers, oil and gas industry, watershed/coastal development activities)?
14. What are the nature and severity of threats to marine and coastal ecosystems?
15. What are local threats to the ecosystem that can be addressed at the community scale?
16. What are local threats to the ecosystem that must be addressed through co-management arrangements?
17. What are larger ecosystem-scale threats that must be addressed through co-management arrangements?

DRIVERS

Competition and Conflict for Resources

18. What is the nature of competition and conflict between fishers (e.g., small-scale vs. small-scale and small-scale vs. large-scale fishers)?
19. What conflicts occur between small-scale fishers and other marine resource users (e.g., oil and gas, tourism, and ocean ranching)?
20. What other types of conflicts exist that might interface with small-scale fishing?

Marine Tenure Rights for Small-scale Fisheries

14. To what extent does national legislation ensure that small-scale fishers, fish workers, and their communities have secure, equitable, and socially and culturally appropriate tenure rights to fishery resources and fishing areas and adjacent land?
15. Are marine tenure rights legally recognized and recorded?
16. What bundle of rights are devolved/allocated to small-scale fishers/local fishing institutions (e.g., access/withdrawal rights, management, enforcement, exclusion, and transfer)?
17. To what extent are impartial and competent judicial and administrative mechanisms in place to resolve disputes over tenure rights?

Local Institutional Organization and Capacity

18. How are resource users organized (e.g., in cooperatives or associations)? How is membership defined?
19. To what extent are local goals and policies articulated and aligned with sustainable fisheries, biodiversity conservation, and climate change adaptation?
20. Do local institutions establish resource use rules?
21. How are resource users and the community engaged in making decisions about resource use?
22. To what extent do local institutions have the capacity to manage marine resources?
 - a. To what extent is membership clearly defined?
 - b. What is the capacity for management?
 - c. To what extent do fishers participate in making decisions about resource use?

Local Rules and Regulations

23. What types of rules are in place to limit resource use (e.g., catch, spatial, temporal restrictions, gear, effort, and species restrictions)?
24. How and to what extent are resource users and the community engaged in developing the rules?
25. To what extent is traditional/local knowledge used to define rules and adapt them based on changing conditions?
26. To what extent are adjacent communities knowledgeable of the rules?
27. Do national or subnational laws support or contradict locally developed rules?

Enforcement and Compliance

28. Do resource users with tenure rights comply with rules?
29. Are rules enforced and who enforces them?
30. Is there a graduated scale of sanctions based on repeated offenses?
31. Is enforcement effective in promoting voluntary compliance?
32. What conflict resolution mechanisms are in place to address conflicts within the community and with outside actors?

Knowledge of Social-Ecological System

33. What data and information are available about the social-ecological system at the community scale and larger scales to make decisions about resource access, use, and management?
34. To what extent is scientific knowledge integrated with local/traditional knowledge to improve management?
35. How is knowledge of the social-ecological system shared to support effective co-management?
36. To what extent are larger ecosystem processes and projections of future conditions from climate change identified and shared with local communities?

National Legal and Policy Framework and Institutional Capacity

37. To what extent do national laws and policies support tenure rights for small-scale fisheries and ecosystem-based approaches to marine and coastal management?
38. To what extent are national/local policies aligned to reduce conflicting resource use?
39. What national laws and policies support or constrain sustainable marine and coastal use?
40. Do subsidies support sustainable fisheries or promote overcapacity and overfishing?
41. What is the capacity of national/local government to support resource management at multiple scales?

Co-Management Arrangements

42. What co-management arrangements exist to support local resource management?
43. To what extent are co-management arrangements effective in supporting community-scale management?
44. To what extent are roles and responsibilities among partners clearly defined?
45. To what extent are co-management arrangements effective in reducing larger ecosystem-scale threats as well as local threats beyond the capacity of community-scale management?

Social, Economic, Political, Environmental Setting

46. What are the social, economic, political, and environmental contexts and trends (e.g., poverty, economic development, and political stability)?
47. What are population growth and migration trends?
48. Do economic policies and subsidies favour large-scale fisheries over small-scale fisheries?
49. Are investors engaged in ocean grabbing or pushing small-scale fishers off traditional fishing grounds?
50. What political structures and power relationships undermine marine tenure and small-scale fisheries?
51. What new fish harvesting and processing technologies have emerged?
52. To what extent is land-based pollution and siltation degrading essential fish habitat?
53. To what extent are fish stocks declining at different trophic levels?
54. To what extent is ocean warming, acidification, and changes in ocean circulation affecting fish stocks and habitats?

SUPPORT TOOL 6: ANALYSING POTENTIAL PROJECT IMPACTS ON MARINE TENURE AND SMALL-SCALE FISHERIES

PURPOSE AND NEED

Various analyses, assessments, or evaluations may be conducted or commissioned as part of the project design process. Some analyses (e.g. environment, gender, and climate risk) are required other analyses—like political economy analysis, cost-benefit analysis, and conflict analysis—may be needed to make design decisions. The results of these project analyses, included in the Project Appraisal Document, explain how the findings have informed the project design and/or will affect subsequent implementation (USAID, 2011a, 2011b). The project design analysis phase examines the potential beneficial and negative impacts on project stakeholders and sustainability, as well as a range of social, economic, and environmental factors. Project analyses that integrate marine tenure and small-scale fisheries considerations will support improvements in the design of a full range of projects that support multiple development objectives. The purpose of this tool is to support consideration of marine tenure and small-scale fisheries in conducting project analyses to:

- Maximize beneficial impacts;
- Minimize unintended negative consequences;
- Improve development performance and successful achievement of the project purpose;
- Increase the likelihood of sustainability;
- Anticipate potential external factors or future conditions that could affect project performance; and
- Highlight areas of potential synergy or conflict with other programs and projects.

INSIGHTS FROM THE FIELD

USAID has comprehensive guidance for use in conducting required project design analyses (USAID, 2013a, 2013b) as well as other analyses that may be useful in improving project design. Instead of developing a new analytical framework, USAID staff recommended the development of guiding questions that could be integrated into existing project analyses such environmental impact assessment, gender analysis, political economy analysis and other important analytical requirements to stimulate and focus thinking and analysis about marine tenure and small-scale fisheries.

DESCRIPTION AND USE

Support Tool 6 provides questions to consider when analyzing the impacts of any project design that may occur in the coastal zone or could potentially have unintended impacts on coastal resources and small-scale fisheries. These questions should be reviewed and discussed with the project design team and used to refine the scope of the analysis as relevant.

GUIDING QUESTIONS

Guiding Questions	Marine and Coastal Considerations
Gender Analysis	
<ul style="list-style-type: none"> — Will the project beneficiaries and partners include coastal communities with fishing families? — Have the differentiated roles of men, women, and children in fishing communities been assessed and considered? — What are the roles of men and women in local institutions that make decisions about resource use? 	<p>Gender analysis is critical for any project that may involve coastal communities, in particular, fishing families, and it must address multiple levels of institutional roles and responsibilities including macro-level institutions (national fisheries associations, government ministries responsible for fisheries, and fisheries research institutions), intermediate-level institutions (subnational governments, district administrations, village councils, input suppliers of boats and nets, engines, marketing agents, wholesalers, exporters, and health care service providers), and micro-level institutions (fishing families; women, men, and children; non-fishing families; and community-based organizations). Women play an important role in responsible governance of marine tenure in small-scale fisheries. They are fishers, gleaning marine resources from shorelines, reefs, and mangroves, and play an important role in selling fish. The role of women is often invisible in fishing communities, and women are often excluded from local marine tenure institutions or management bodies where formal decision-making occurs.</p>
Environmental Analysis	
Project Setting	
<ul style="list-style-type: none"> — Are proposed activities located in or rely on the coastal and marine environment and ecosystem services? — Are proposed activities site-specific or do they encompass larger landscapes and seascapes? — Are proposed activities located in or near sensitive marine ecosystems? — Are proposed activities located in watersheds immediately upland or near an important fishing ground or sensitive marine ecosystem? 	<p>The project interventions need to be evaluated in the context of the highly interconnected nature of social-ecological systems to avoid unintended negative consequences and identify potential benefits. A project located in upland areas may have socio-economic and environmental impacts on coastal areas and vice versa. Considering geographic scale is critical to improving the likelihood of successful biodiversity outcomes and sustainability due to the interconnectedness of marine and coastal ecosystem.</p>
Potential Environmental Impacts	

Support Tool 6: Analyzing Potential Project Impacts on Marine Tenure and Small-scale Fisheries

Guiding Questions	Marine and Coastal Considerations
<ul style="list-style-type: none"> — Will proposed activities create an unsustainable demand for marine and coastal resources or threaten protected species? — Will existing pressures on marine and coastal ecosystems be exacerbated by project activities? — Will proposed activities reduce or exacerbate threats from land-based pollution to nearshore waters? — Will proposed activities result in loss or degradation of coastal and marine habitats needed to support fisheries? 	<p>Most marine and coastal resources in developing countries are fully exploited or overexploited. Any project that contributes directly or indirectly to an increased demand for marine capture fisheries may exacerbate this condition. Land-based activities can threaten small-scale fisheries from run-off from agriculture and mining or urbanization or economic development activities that results in loss or degradation of the often multiple types of habitats needed for small-scale fisheries.</p>
Potential Socio-economic Impacts	
<ul style="list-style-type: none"> — Will the proposed activities alienate or result in displacement of small-fishers or coastal communities? — Will proposed activities displace or disrupt existing informal or customary marine tenure regimes? — Will the proposed activities result in population migration or influx to coastal areas? — Will proposed activities provide positive or negative benefits to small-scale fishers and coastal communities? 	<p>Urbanization and large-scale maritime development in marine and coastal areas can displace small-scale fishers and fishing communities. Civil unrest and conflict and changes in land use can result in migration to coastal areas, increasing the number of fishers.</p>
Potential Cultural Impacts	
<ul style="list-style-type: none"> — What is the nature of customary or indigenous rights to resources in the area? — Will proposed activities compromise or strengthen existing informal, indigenous, or customary rights in coastal areas? 	<p>Existing customary and indigenous rights to resources may be threatened by a variety of socio-economic and political trends such as immigration, decentralization, and other activities that increase the engagement of government in fisheries management.</p>
Climate Change Vulnerability Analysis	
<ul style="list-style-type: none"> — How will the project address risks to coastal communities due to climate variability and climate change? — What are areas of dependence of project beneficiaries on small-scale fisheries for food and livelihoods? 	<p>Fishing families and coastal communities are typically dependent on marine and coastal ecosystems, hence their vulnerability to climate change is linked. Degraded marine and coastal ecosystems create social exposure to climate impacts. Fishing communities living in coastal areas and fishing landing sites are vulnerable to sea level rise and other coastal hazards. Many fishing families do not own property or have</p>

Support Tool 6: Analyzing Potential Project Impacts on Marine Tenure and Small-scale Fisheries

Guiding Questions	Marine and Coastal Considerations
<ul style="list-style-type: none"> — What are vulnerabilities of small-scale fisheries and associated marine and coastal ecosystems to climate change? 	<p>tenure over coastal land and fishing grounds. Managed retreat strategies will need to help fishing communities relocated. These strategies also need to enable beaches and mangroves to migrate landward as sea level rise to maintain access to fishing grounds and habitats needed for fish nursery grounds.</p>
Sustainability Analysis	
<ul style="list-style-type: none"> — Does the existing national legal and policy framework support responsible governance of marine tenure for small-scale fisheries? — What are the co-management arrangements for small-scale fisheries? — What is the commitment and institutional capacity of national and subnational levels of government to support responsible governance of marine tenure? — What is the capacity of local institutions to support marine tenure rights and responsibilities? — Can the project be designed to meet multiple objectives of biodiversity conservation, food security, livelihoods, and climate resilience? 	<p>Sustainability analysis involves assessing the institutional capacity that should be in place or developed through the project, including systems, policies, and skills. Localizing development through funding local actors and supporting government to meet existing government objectives could help achieve sustainability goals.</p>
Economic and Financial Analysis	
<ul style="list-style-type: none"> — Has cost-benefit analysis factored in the value of ecosystem goods and services? — What are the estimated market and non-market values of ecosystem services to project beneficiaries? 	<p>Economic analyses can be extremely powerful in mobilizing political interest and justifying investment in particular areas of governance work.</p>
Youth Analysis	
<ul style="list-style-type: none"> — What are the different roles of youth in the small-scale fisheries value chain? — How will the proposed activities engage youth from fishing communities? 	<p>The role of youth in fishing communities should be examined. Young people, both male and female, play a role in the fisheries value chain. Youth often learn fishing from their families. To reduce overall fishing effort, skill building and alternative livelihoods should focus on young men as well as young women from fishing families. Providing</p>

Support Tool 6: Analyzing Potential Project Impacts on Marine Tenure and Small-scale Fisheries

Guiding Questions	Marine and Coastal Considerations
<ul style="list-style-type: none"> — How will proposed activities improve the ability of youth to attend school or develop new skills beyond fishery-related activities? 	<p>education and skills development is essential for young people to reduce the number of fishers and fishing effort.</p>
<p>Institutional Analysis</p>	
<ul style="list-style-type: none"> — How will proposed activities develop the capacity of local institutions (community-level and local government) to manage marine and coastal resources? — Will proposed activities improve local institutional networks? — How will the proposed activities build the capacity of national government, civil society, and the private sector to support the co-management arrangements needed for sustainable small-scale fisheries management? — What is the leadership of relevant institutions for successful co-management? 	<p>Considering the institutional scale is critical to improving the likelihood of successful biodiversity outcomes and sustainability due to the interconnectedness of marine and coastal ecosystem.</p>
<p>Conflict Analysis</p>	
<ul style="list-style-type: none"> — Will the project involve coastal areas and communities? — What is the nature of existing conflicting and competing uses of the marine and coastal environment that could create instability? — Is there a history of traditional or indigenous use of the marine and coastal environment? — What are trends in human uses of the marine and coastal environment that could lead to greater stability or instability, conflict or reconciliation? — Are there conflicting national laws, policies, and programs that contribute to conflicting and competing uses in the coastal zone? 	<p>Human uses of the marine and coastal environment typically consist of a complex and diverse set of conflicting and competing activities. These uses can result in winners and losers that can create instability when left unmanaged. Informal, traditional, and indigenous uses are typically invisible and easily overtaken or extinguished.</p>
<p>Political Economy Analysis</p>	

Support Tool 6: Analyzing Potential Project Impacts on Marine Tenure and Small-scale Fisheries

Guiding Questions	Marine and Coastal Considerations
<ul style="list-style-type: none"> — What social, economic, and political forces support or constrain the achievement of sustainable small-scale fisheries? — What trends in population growth and migration to coastal areas need to be accounted for? — What are the trends in urbanization of coastal areas? — What are existing practices and trends in the use of coastal and marine environment such as coastal tourism, oil and gas, and land reclamation? — What are existing practices and trends in the use of upland use that could impact the coastal zone from mining and agriculture? — What are conflicting and competing uses of the marine and coastal environment? 	<p>The success of a project must take into account external drivers of change. The lack of policy coherence is one driver that can constrain project implementation.</p>

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